Auckland Evaluation Framework

An evaluation framework for the Auckland governance reforms

September 2010
This report is based on material prepared for the Department of Internal Affairs by Martin, Jenkins & Associates Limited. MartinJenkins is a New Zealand-based consulting firm providing strategic management support to clients in the public, private and not-for-profit sectors.
Executive Summary

Purpose

1. This report contains a high level framework on which ongoing monitoring and a longer-term programme of research and evaluation of the Auckland governance reforms can be based. This report deals mainly with the evaluation activities. A separate report identifies activities associated with monitoring.

2. The report was originally commissioned by the Department of Internal Affairs (The Department) from Martin, Jenkins & Associates Limited. The Department is expected to be a key user of the framework and the findings that result. Due to the significance of the reforms, the framework (and subsequent monitoring and evaluation activities and findings) is also likely to be of interest to a wide range of stakeholders with an immediate interest in the region. This includes the new Auckland Council and other central government agencies.

The Auckland governance reforms

3. The reforms are a response to a report by the Royal Commission on Auckland Governance. The Royal Commission identified a need for far reaching governance changes to improve the growth of the Auckland economy, the health and vitality of its communities, and the amenities necessary to attract a talented work force. Specific problem areas identified by the Royal Commission included urban growth, infrastructure, social disparity and the low quality of urban design.

4. Legislation (passed in 2009 and 2010) provides a statutory framework for the reforms. Unlike other local authorities, the Auckland Council will have a two-tier governance structure comprising a governing body and 21 local boards. Decision making responsibilities of the Auckland Council will be shared between the two tiers.

- The governing body will comprise the mayor and 20 elected members. The Mayor for Auckland will have a distinctive role and powers compared to other cities in New Zealand (including articulating and promoting a vision for Auckland, providing leadership and having the power to appoint a deputy mayor).

- The local boards will be responsible for many non-regulatory activities and for communicating local priorities to regional decision makers.

- Other governance structures will include a Māori Advisory board and additional Pacific and Ethnic Advisory panels.

5. Other key components of the reforms (provided for in the legislation) include:

- The establishment of the Auckland Transition Agency to oversee and execute the new Council’s establishment (until 30 October 2010), including the appointment of an interim chief executive.
• The establishment of the new Auckland Council as a single unitary authority from 1 November 2010.
• The dissolution of existing council controlled organisations (CCOs) and the establishment of new CCOs, the allocation of their assets and the appointment of directors.
• A new kind of statutory planning document (the Spatial Plan), designed to contribute to Auckland’s social, economic, environmental and cultural well-being through a comprehensive and long term strategy for growth and development.
• The establishment of a Social Policy Forum comprised of senior political leaders that will discuss and agree on social priorities.

Overview of the framework

6 Monitoring and evaluation will enable lessons to be learnt from the Auckland governance reforms, and impacts and outcomes to be identified. The large scale, broad scope and complexity of the governance reforms, their uniqueness, the economic importance to Auckland and New Zealand as a whole and the speed of implementation, all highlight the importance of monitoring progress and evaluating impacts.

7 The overall framework includes a complementary package of evaluation and monitoring activities:

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8 The core components of the monitoring and evaluation framework are:
• collection of baseline and ongoing monitoring information, based on an initial set of indicators to enable changes over time to be identified and analysed.
• a short-term evaluation of the lessons learned from the establishment process\(^\text{1}\) of the new Auckland Council.
• outcome evaluation activities to understand the impacts and outcomes of the reforms over the short, medium and longer-term. This might be focused on four central areas.

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\(^\text{1}\) The short timeframe of the establishment evaluation is driven by the need for an early report back to Ministers on establishment issues. Actual establishment of the new Auckland Council will continue beyond this time.
The evaluation activities will allow a range of aspects of the reforms to be better understood. These include:

- understanding the role and contribution of the Auckland Transition Agency (ATA) in the establishment of the new Auckland Council
- understanding the components (enabling mechanisms) needed to successfully implement reform
- identifying which aspects of the reforms are of most relevance to which audiences and stakeholders (including the Mayor, governing body, local boards, the statutory board for Māori, the ethnic panels, the new Auckland Council organisation and the new CCOs)
- understanding the roles and relationships required for effective regional governance, and
- identifying the types of evidence required for assessing long term outcomes and impacts achieved by the governance reforms.

### Outcome frameworks

This evaluation framework is grounded in a high level outcomes framework, which provides a big picture view of the intended impacts and outcomes of the Auckland governance reforms.

The overarching outcomes framework is based on four areas for focus, each of which reflects a broad policy objective of the reforms. Each area also represents a key medium-term outcome. Additional frameworks have been developed for each area of focus. The four areas for focus are:

- effective local representation and community engagement
- strong regional governance and leadership
- integrated planning and decisive action, and
- consolidated and integrated resources and service delivery.

The overarching outcomes framework and details of the areas of focus are presented and discussed in the main body of the report.

### Monitoring

A monitoring framework is designed to accompany the evaluation framework. This will enable reporting of trends and changes in outcomes to which the Auckland governance reforms are intended to contribute. Monitoring outcome indicators is one way of measuring progress in Auckland, and of benchmarking Auckland against other city-regions domestically and internationally. Monitoring is intended to complement qualitative evaluation of the impacts of the reforms.

The monitoring framework will have two specific purposes:
• To underpin the production of a baseline study. A baseline aims to capture the recent past and ‘current state’ prior to the initiation of the reforms. This will provide a reference point for future monitoring and evaluation activity, and

• To provide a framework for ongoing monitoring of key outcome indicators to allow progress to be assessed over time. This type of framework will evolve and change over time, however having some consistency of measurement is important to allow trends and changes to be observed.

The scope of any monitoring framework will largely be restricted to the upper tiers of the overarching outcomes framework. This is because the nature of the outcomes at these levels is more easily subject to measurement, and because it is at these levels of the framework where existing measures are readily available.

Details of the monitoring framework will be discussed in a separate document.

Evaluation of the establishment

Because of the complexity of the reforms, their speed of implementation and the unique circumstances surrounding the establishment of the Auckland Council, it is important to document this process and, in particular, to learn lessons from it. An evaluation of the establishment should aim to:

• identify lessons learnt from the establishment process (for use in other major local government reform process which may occur in the future);

• document the processes and the issues involved in the creation of the Auckland Council for the subsequent outcomes evaluations; and

• identify gaps and issues with the statutory framework that require amendment (if any).

The evaluation of the establishment process will be a relatively small, short-dated exercise covering the period from around March 2009 (when the Royal Commission reported) to February 2011 (three months post-establishment). This evaluation has been deliberately short-dated to fulfil reporting requirements.

Areas of focus identified for this type of evaluation include:

• Transition management – exploring what worked well and not so well with the approach to the transition (e.g., communications, staff transfer, relationships with existing local authorities and central government agencies)

• Business continuity – exploring the extent to which service levels were maintained in the period immediately following establishment

• Induction and support for elected members – exploring the support provided by the Council to elected members, including whether elected members understand their roles, responsibilities and relationships between different parts of the governance structures, and
• Mayoral campaign – exploring the way in which candidates campaigned, including the extent to which campaigns were centred on a vision for the region.

20 This report also details some evaluation activities that could be undertaken. These include document review, stakeholder analysis and surveys (of candidates, governing body and local board members, and citizens).

Evaluation of the outcomes

21 A programme of evaluation activities has also been identified for each of the four areas of focus in the outcomes framework. This report identifies an evaluation scope and purpose for each, together with a separate framework diagram. Specific evaluation questions and some possible evaluation activities have also been identified.

22 A work programme based on the outcomes could include a package of activities such as:

• case studies;

• stakeholder analysis, qualitative interviews and focus groups;

• document review;

• surveys; and

• roundtable discussions.

23 Details of any evaluation programme will be identified at a later date.
1. Introduction

This section introduces the report by:

- Setting out the purpose, objectives and scope of the project
- Summarising the approach, and
- Outlining the structure and content of this report.

Purpose

The Department of Internal Affairs (the Department) commissioned Martin, Jenkins and Associates to help develop a framework\(^2\) and high-level plan\(^3\) to monitor and evaluate the Auckland governance reforms. The framework will form the basis for ongoing monitoring, and for planning a longer-term programme of research and evaluation activities.

Objectives

The objectives of this project included identifying:

- an agreed outcomes framework for the reforms, with appropriate indicators and measures of success;
- key objectives and specific evaluation questions;
- methodologies appropriate for answering the evaluation questions and collecting information for the monitoring framework;
- a prioritised and scheduled range of work programme elements; and
- potential costs and resource implications associated with elements of the work programme.

Scope

Within the context of the purpose and objectives set out above, the framework was to have three central components:

- A monitoring framework – to identify an initial suite of baseline indicators that could be measured to enable changes over time to be identified and analysed
- A plan for undertaking a short-term evaluation of the establishment of the Auckland Council – as an opportunity to identify lessons that could be applied elsewhere

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\(^2\) A monitoring and evaluation framework is intended to provide a conceptual basis for understanding the impacts and outcomes of the reforms.

\(^3\) An evaluation and monitoring plan describes the specific questions of interest for users of evaluation and monitoring information, and suggest appropriate methods and activities to answer those questions.
• Impact and outcome evaluations - to identify the impacts of the reforms and evaluate whether the intended outcomes have been achieved, and whether there were any unintended consequences over the short, medium and long-term.

Approach

The project involved three distinct phases of work:

• Phase one – Develop an initial conceptual framework for evaluation and monitoring, including an overarching outcomes framework, specific sub-outcome frameworks, and a set of draft evaluation questions. This included the development of a draft monitoring framework. To inform the development of these outputs key documents were reviewed, and approximately 30 key informant interviews undertaken. Existing monitoring data was also reviewed and an initial meeting held with the Advisory Group. Key informant interviews were particularly useful for testing our understanding of the key drivers of the reforms, their intended outcomes, the risks and concerns of stakeholders, and for suggesting specific areas of focus for evaluation and monitoring.

• Phase two - Further desk review and interviews and four workshops to test and further develop the outcomes framework, refine areas of evaluation focus and identify specific evaluation questions. The monitoring framework was also further developed.

• Phase three - Feedback received during phase two was incorporated into a substantially revised evaluation and monitoring framework. This phase also involved the development of a suggested programme of evaluation and monitoring activities. This included an assessment of potential resource requirements, recommendations for the prioritisation of evaluation activities and suggested governance arrangements for the evaluation. Consultation was also undertaken with several key stakeholders and the Advisory Group to test the thinking prior to preparation of this report.

Scope of this report

This report is set out as follows:

• Section 2 - briefly summarises the background and key elements of the reforms.

• Section 3 - is an overview of the framework including presentation of the overarching outcomes framework. It outlines why the reforms should be monitored and evaluated, the core components of the framework, potential users

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4 A list of documents reviewed is included in the References section of this report.
5 Key informants were drawn from across local government, central government, the Auckland Transition Agency, business and community groups, and the Auckland Region Mana Whenua Forum.
6 Specific data sources considered are outlined in section 5 and Appendix 2 of this report.
7 Workshops were held with: Department of Internal Affairs officials, central government officials, local government officials, and a small group of representatives of community groups. A workshop with business representatives was cancelled but follow up meetings were undertaken where possible.
of monitoring and evaluation findings to serve as the foundation for the monitoring and evaluation framework.

- Section 4 - describes an evaluation process for the lessons learned. This includes the purpose and scope, areas of focus, some specific evaluation questions, a suggested evaluation and monitoring activities.
- Section 5 - introduces some questions and details for each of the four areas of focus.
2. Setting the scene

This section summarises the background, and describes key elements of the reforms.

Background to the reforms

29 In October 2007, the Labour-led Government established the Royal Commission on Auckland Governance (the Royal Commission) in response to growing concerns about the workability of local government arrangements in Auckland. The government’s concern with Auckland was twofold, namely to maximise in a cost effective manner:

- the current and future well-being of the region and its communities; and
- the region’s contribution to wide national objectives and outcomes.

30 The report of the Royal Commission, published in March 2009, identified a need for far reaching change to improve the growth of the Auckland economy, the health and vitality of its communities, and the amenities necessary to attract a talented work force. Problems identified by the Commission included “messy and inefficient urban growth, infrastructure constraints, social disparity, and poor urban design”.8

31 According to the Royal Commission, two broad systemic problems underpinned or contributed to these and other problems, namely: weak and fragmented regional governance; and poor engagement by local government with their communities. The Commission concluded that “Auckland's regional council and seven territorial authorities lack the collective sense of purpose, constitutional ability, and momentum to address issues effectively for the overall good of Auckland.”9

32 The current National-led Government agreed with the substance of the report but proposed significant changes to the second-tier of the governance structure (and to Māori representation) proposed by the Royal Commission. The government has since given high priority to legislation that provides for a united Auckland governance structure, stronger regional governance, integrated decision-making, greater community engagement and value for money. Key elements of the reforms are described below.

Key elements of the reforms

Legislation

33 Three pieces of legislation have been enacted to provide a statutory framework for the reforms.

34 The Local Government (Tamaki Makaurau Reorganisation) Act 2009:

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9 Ibid. para 18, pg. 4.
Provided for the establishment of the Auckland Council as a single unitary authority to govern the entire Auckland region from 1 November 2010.

Established the Auckland Transition Agency to oversee and execute the transition to the new governance arrangements.

Required existing local authorities and other local government organisations to support the reorganisation (e.g. cooperating with requests of the Transition Authority) and constrained them from making decisions that may adversely affect the transition process or the new Auckland Council.

The Local Government (Auckland Council) Act 2009 further developed the statutory framework for the reforms. In particular it:

- Provided the high level framework for the governing structures of the new Auckland Council:
  - The two-tier governance structure comprising the governing body and local boards.
  - A decision-making framework for the new Council.
  - A distinctive role for the new Mayor, to be elected by the electors of Auckland as a whole.
  - A funding and accountability framework for local boards.

- Empowered the Local Government Commission (LGC) to determine the boundaries of Auckland, the number and boundaries of local board areas and wards, and the number of elected members for each ward and local board area.

- Provided for the Transition Authority to oversee the integration of Auckland’s water infrastructure by Watercare Services Limited.

The Local Government (Auckland Transitional Provisions) Act 2010 principally amends the two aforementioned Acts. It is intended to complete the legislative framework for new local governance arrangements in Auckland. The Act:

- Enables the establishment of new local governance arrangements for Auckland.

- Facilitates the smooth transition of staff and assets from existing local government organisations to entities forming part of the new arrangements.

- Prepares for the October 2010 local government triennial general elections in Auckland.

- Provides clarity in respect of planning and reporting arrangements for existing Auckland local authorities and other entities in the period until 1 November 2010.

- Provides further detail regarding the relationship between the Council’s governing body and its local boards.

The information in this section is based on the third bill reported back by the Select Committee, to which minimal changes were subsequently made.
• Establishes arrangements for the management of transport, water supply and wastewater services.
• Establishes arrangements relating to the governance of substantive council-controlled organisations (CCOs).
• Provides for the development of a spatial plan for Auckland.
• Establishes arrangements for a board to promote matters of significance for mana whenua and Māori for Tamaki Makaurau.
• Outlines transitional planning, funding and rating arrangements for the Auckland Council until at least July 2012.

Governance Structures

Unlike other local authorities, the Auckland Council will have a two-tier governance structure comprising the governing body and 21 local boards. Decision-making responsibilities of the Auckland Council will be shared between the governing body and the local boards (which are different to the Community Boards found in other areas). In addition, the Mayor for Auckland will have a distinctive role and powers compared to other cities in New Zealand.

Mayor of Auckland

The Auckland city-region is to have a single mayor elected by the electors of Auckland as a whole. The Mayor’s role is to articulate and promote a vision for Auckland, and provide leadership for the purpose of achieving objectives that will contribute to that vision. This includes leading the development of Council plans (e.g. the LTCCP and the annual plan), policies and budgets for consideration by the governing body, and ensuring there is effective engagement between the Auckland Council and the people of Auckland.

In support of this role, the Mayor will have the power to:
• Establish processes and mechanisms for the Auckland Council to engage with the people of Auckland, whether generally or particularly (e.g., with a cultural, ethnic, geographic or other community of interest).
• Appoint the deputy mayor.
• Establish committees of the governing body.
• Appoint a chairperson of each committee of the governing body.
• Establish and maintain an office of the mayor, with resources not less than 0.2% of the Council’s total budgeted operating expenditure.

Governing Body

The governing body of the Auckland Council will comprise the mayor and 20 members elected from 13 wards. The governing body will be responsible for:
The regulatory functions of the Auckland Council (i.e., decisions that relate to any regulatory responsibility, duty or power, for example under the Resource Management Act, Health and Building Acts, Civil Defence).

Making decisions on non-regulatory activities where an Auckland-wide approach will better promote the wellbeing of communities across Auckland$^{11}$.

The establishment and maintenance of capacity to provide, or ensure the provision of, services and facilities.

Management of the finances, assets, staff and other resources of the Auckland Council.

The agreement reached with each local board in respect of local activities for the local board areas.

The exact allocation of decision-making responsibilities between the governing body and the local boards is yet to be determined. It is currently the subject of consultation by the Auckland Transition Agency.$^{12}$

**Local Boards**

Local boards are intended to enable democratic decision making by and on behalf of communities and to better enable the promotion of social, economic, environmental, and cultural well-being of communities.

The number, boundaries and membership of local boards were determined by the Local Government Commission. Further details are available from www.lgc.govt.nz but, in sum, there are to be 21 local boards with membership ranging between five and nine members.

Each local board is responsible and democratically accountable for:

- Decision making in relation to the non-regulatory activities of the Auckland Council that are allocated to the local board by the governing body.

- Identifying and communicating the interests and preferences of the people in its local board area in relation to the content of the strategies, policies, plans, and bylaws of the Auckland Council.

- Identifying and developing bylaws specifically for its local board area, and proposing them to the governing body.

- The agreement reached with the governing body in respect of local activities for its local board area.

In addition, local boards must:

$^{11}$ The tests for this are where: the impact of the decision will extend beyond a single local board area, or effective decision making will require alignment or integration with other decisions that are the responsibility of the governing body, or the benefits of a consistent or coordinated approach across Auckland will outweigh the benefits of reflecting the diverse needs and preferences of the communities within each local board area.

$^{12}$ Auckland Transition Agency (28 February 2010) Discussion Document – Auckland Council local boards.
• monitor and report on the implementation of the local board agreement for its local board area
• communicate with community organisations and special interest groups within its local board area, and
• undertake any responsibilities or duties delegated to it by the governing body.

Local boards may also consider and report on any matter of interest or concern to the local board, whether or not the matter is referred to it by the governing body.

The exact allocation of decision-making responsibilities between the governing body and the local boards is yet to be determined and is currently subject to consultation by the Auckland Transition Agency. In reporting back the third bill, the Auckland Governance Legislation Committee provided a list of examples of non-regulatory activities where local boards can expect to make decisions, as well as other aspects of decision making that could be delegated. Further details are included in Appendix 1.

The third Act provides for a dispute resolution mechanism in the event that one or more local boards and the governing body disagree about the allocation of decision-making responsibilities or proposed bylaws. The provision requires the relevant parties to make reasonable efforts to reach a mutually agreeable and timely resolution of the dispute. If the dispute remains unresolved, it may be referred to the Local Government Commission for a determination.

Each local board must adopt a triennial local board plan, the purpose of which is to:
• Reflect the priorities and preferences of the communities within the local board area in respect of the level and nature of local activities to be provided by the Auckland Council over the next 3 years
• Identify and describe the interests and preferences of the people within the local board area for the purposes of enabling the local board to communicate those interests and purposes
• Provide a basis for developing the local board agreement for each of the next 3 years
• Inform the development of the next LTCCP, particularly in relation to the non-regulatory activities of the Council for which decision-making responsibility should be allocated to the local board
• Provide a basis for accountability of the local board to the communities in the local board area, and
• Provide and opportunity for people to participate in decision-making processes on the nature and level of local activities to be provided by the Council within the local board area.

Initial funding and budgets for the local boards are to be determined by the Auckland Transition Agency. In the future, the Auckland Council will be required to adopt a local boards funding policy, setting out the formulas by which funds (for local activities and
administrative support) are to be allocated to local boards. The first such policy is required to be in place no later than the date of adoption of the LTCCP for the period commencing 1 July 2012.

Māori Advisory board

51 The third Act establishes an independent statutory board to promote issues of significance for mana whenua groups and mataawaka of Tamaki Makaurau. The purpose of the board is to assist the Auckland Council to make decisions, perform functions and exercise powers by:

- Promoting cultural, economic, environmental and social issues of significance for mana whenua groups and mataawaka of Tamaki Makaurau
- Ensuring that the Council acts in accordance with the statutory provisions referring to the Treaty of Waitangi.

52 The Board is to be independent of the Auckland Council and mana whenua and mataawaka groups, and the board members are required to act in the interest of achieving the board’s purpose, and not in any other interest. The legislation makes provision for the Board to appoint two of its members to sit on each of the Auckland Council’s committees that deal with the management and stewardship of natural and physical resources, and other Council committees if invited by the Council.

53 The Board’s general functions include:

- Developing and maintaining a schedule of issues of significance to mana whenua groups and mataawaka of Tamaki Makaurau, and giving a priority to each issue, to guide the Board in carrying out its purpose
- Advising the Auckland Council on matters affecting mana whenua groups and mataawaka of Tamaki Makaurau

54 The Auckland Council’s duties to the board include:

- Providing the board with the information the board needs to identify business of the Council that relates to the board’s purpose
- Consulting the board on matters affecting mana whenua groups and mataawaka of Tamaki Makaurau
- Taking into account the Board’s advice on ensuring that the input of mana whenua groups and mataawaka of Tamaki Makaurau is reflected in the Council’s strategies, policies and plans
- Making an agreement with the Board each year to provide the funding the Board needs to carry out its purpose

55 The Auckland Council and the board are required to meet at least four times a year to discuss the board’s performance of its functions. It is important to note that the existence of the Board is not intended to relieve the Auckland Council of its obligations.
under the Local Government Acts, the Resource Management Act, and other legislation that requires it to consult with Māori.

Pacific and Ethnic Advisory Panels

56 The third Act also requires the Mayor to establish a Pacific Peoples Advisory Panel (PPAP) and an Ethnic Peoples Advisory Panel (EPAP) by no later than 31 March 2011. The purposes of each panel are to:

• Identify and communicate to the Council the interests and preferences of Pacific/Ethnic peoples of Auckland in relation to:
  - The content of strategies, policies, plans and bylaws of the Council, and
  - Any matter that the panels consider to be of particular interest or concern to Pacific/Ethnic peoples of Auckland

• To advise the Mayor, and the Council’s governing body and local boards, of the Council processes and mechanisms for engagement with Pacific /Ethnic peoples and communities in Auckland.

Organisational Structures

New Council Organisation

57 The Local Government (Tamaki Makaurau Reorganisation) Act 2009 provided for the establishment of the Auckland Council as a single unitary authority to govern the entire Auckland region from 1 November 2010 and established the Auckland Transition Agency to, among other things, oversee and execute the new Council’s establishment. This Transition Agency’s role includes:

• The appointment of an interim chief executive

• The development of an organisational structure for the Auckland Council so that it can operate efficiently and effectively on and from 1 November 2010

• The development of a change management plan that includes protocols and processes for managing the transition of:
  - Staff from existing local government organisations to the Council structure
  - Assets from existing local government organisations to the Council structure

58 The interim chief executive, or the Transition Agency in the absence of such a person, may employ staff for the Council and enter into contracts, leases and other agreements to enable the Council to operate efficiently and effectively on and from 1 November 2010, provided that the change management plan and any other protocols or processes developed by the Transition Agency are followed.

Council-Controlled Organisations

59 There are currently more than 300 CCOs and other entities in the Auckland Region. The legislation requires the Auckland Transition Agency to rationalise the wholly local
authority owned entities to enable the new Auckland Council to operate effectively and efficiently.

The three Acts provide for the process for the dissolution of existing-council controlled organisations (CCOs), the establishment of new CCOs, the allocation of their assets, and the appointment of directors of substantive CCOs. They also provide accountability requirements for substantive CCOs. In relation to substantive CCOs, the following points are of note:

- The Acts together provide for the specific establishment of three CCOs:
  - Watercare, to plan and manage integration of water supply and wastewater services from 1 July 2012
  - Auckland Transport, to contribute to an effective and efficient land transport system to operate on and from 1 November 2010, and
  - An entity with responsibility for development of the Auckland waterfront to operate on and from 1 November 2010.

- Auckland Transport is to be a statutory CCO, meaning that legislative change would be required for it to be disestablished

- In addition to the CCOs provided for in legislation, Cabinet also agreed in principle for other CCOs to be set up dealing with economic development, tourism and events, property holdings, major regional facilities and Council investments [Cab Min (19) 42/12 refers]

- The third Act therefore provides for the Transition Agency to be directed to establish one or more CCOs (i.e., to facilitate the rationalisation of the current CCOs of Auckland’s eight existing councils)

- The third Act also provides for the Minister for Local Government to appoint the initial directors of CCOs, while authorising the Auckland Council to be able to subsequently remove initially appointed directors

- The accountability framework for substantive CCOs is a strengthened version of the existing standard accountability framework that applies throughout the local government sector, including the following additional provisions:
  - A requirement for the Auckland Council to have an accountability policy for its substantive CCOs
  - A requirement on all substantive CCOs to give effect to all relevant aspects of the Auckland Council’s LTCCP and to act consistently with all relevant aspects of other strategies and plans of the Auckland Council, including its local boards, as specified by the governing body
  - The ability for the Auckland Council to appoint the chair and deputy chair of each of its substantive CCOs

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13 It is noteworthy that the spatial plan is deliberately not referenced as it is yet to be developed and its scope and possible legal linkages will become clearer during the second phase of reforms to the Resource Management Act 1991.
The Auckland Council can require substantive CCOs to report quarterly rather than half-yearly, and can also require them to have their meetings open to the public.

The Auckland Council may require a substantive CCO to: (a) include in its statement of intent a narrative on how the organisation will contribute to the Council's and, where appropriate, the Government's objectives and priorities for Auckland, (b) to prescribe requirements for the management of strategic assets, and (c) prepare and adopt a 10 year plan describing how the organisation intends to manage, maintain and invest in its assets, maintain or improve service levels, respond to population growth and other changing environmental factors, and give effect to the Council's strategies, plans and priorities.

### Transition Arrangements

61 The Local Government (Tamaki Makaurau Reorganisation) Act 2009 established the Auckland Transition Agency to:

- Plan and manage all matters in relation to the reorganisation to ensure the Auckland Council is ready to function on and from 1 November 2010
- Advise the Minister of Local Government on any matter associated with the reorganisation, including in relation to existing or proposed legislation
- Report to the Minister at regular intervals on progress in relation to the reorganisation and at the end of the transition period
- Approve a process for, and oversee, the planning and management of the integration of Auckland’s water supply and wastewater services by Watercare Services Limited
- Provide information to existing local government organisations and their employees in relation to the reorganisation
- Provide information to the public of Auckland in relation to the reorganisation
- Second employees from any existing local government organisation to the Transition Agency
- Carry out other functions conferred on it by statute, including:
  - appointing an electoral officer and determining certain electoral matters
  - appointing an interim chief executive for the Auckland Council
  - preparing a planning document for the Auckland Council for the period 1 November 2010 to 30 June 2011
  - reviewing and confirming decisions made by existing local government organisations

62 The Auckland Transition Agency was established in May 2009, is governed by a 5 person board. The Agency appointed an interim chief executive for the Auckland Council in March 2010.
Spatial Planning

The third Act also provides for a new kind of statutory planning document, called a spatial plan. The purpose of the spatial plan is to contribute to Auckland’s social, economic, environmental and cultural well-being through a comprehensive and effective long-term (20- to 30-year) strategy for Auckland’s growth and development.

The spatial plan is intended to:

- Set a strategic direction for Auckland and its communities that integrates social, economic, environmental and cultural objectives
- Outline a high level development strategy that will achieve that direction and those objectives
- Enable coherent and coordinated decision making by the Auckland Council and other parties to determine the future location and timing of critical infrastructure, services and investment within Auckland in accordance with the strategy
- Provide a basis for aligning the implementation plans, regulatory plans, and funding programmes of the Auckland Council

In terms of content, the spatial plan must:

- Recognise and describe Auckland’s role in New Zealand
- Visually illustrate how Auckland may develop in the future, including how growth may be sequenced and how infrastructure may be provided
- Provide an evidential base to support decision making for Auckland, including evidence of trends, opportunities and constraints within Auckland
- Identify the existing and future location and mix of:
  - Residential, business, rural production and industrial activities within specific geographic areas within Auckland, and
  - Critical infrastructure services and investment within Auckland (including, for example, services relating to cultural and social infrastructure, transport, open space, water supply, wastewater, and stormwater, and services managed by network utility operators)
- Identify nationally and regionally significant:
  - Recreational and open space areas within Auckland
  - Ecological areas within Auckland that should be protected from development
  - Environmental constraints on development within Auckland (for example, flood-prone or unstable land)
  - Landscapes, areas of historic heritage value, and natural features within Auckland
- Identify policies, priorities, land allocations, and programmes and investments to implement the strategic direction and specify how resources will be provided to implement the strategic direction.
The Auckland Council must involve central government, infrastructure providers (including network utility operators), the communities of Auckland, the private sector, and other parties (as appropriate) throughout the preparation and development of the spatial plan. It must also endeavour to secure and maintain the support of those parties in the implementation of the spatial plan.

The third Act provides for the continuity of regional plans, district plans, and regional policy statements from 1 November 2010. However, the relationship between the spatial plan and other national planning instruments and policy, including resource management plans, is yet to be determined. This is being considered as part of the second phase of reforms to the resource management urban planning.

Social policy forum

The Auckland Social Policy Forum is one part of the Government’s response to the Royal Commission’s concerns about the lack of coordinated action to address social policy issues across Auckland. It is intended to be a formal structure for senior political leaders in Auckland and central government to meet, discuss social priorities, agree on a shared vision and align priorities that will, in turn, drive action on the ground.

The Government’s specific objectives for the Forum include:

- progressing social issues in Auckland at the political level
- demonstrating strong leadership on social issues
- setting a clear strategic direction and identifying long-term social goals and strategies
- clearly identifying the roles and responsibilities Government and Auckland Council have in responding to critical social issues
- driving the alignment of thinking and action on social issues, including:
  - identifying guiding social priorities and discussing proposed social policy responses and strategies, both at a regional level and for specific geographic communities
  - considering and agreeing on joint venture action plans and projects
  - identifying duplicated activity, identifying gaps, and highlighting activity that would undermine positive social outcomes
  - influencing wider regional strategies to actively support good social outcomes
  - monitoring and reporting on agency activities, plus social outcomes at regional and prioritised neighbourhood levels.
3. Overview of the framework

This section provides an overview of the framework by:

- Summarising why the reforms should be monitored and evaluated
- Describing the overarching outcomes framework
- Outlining the components of the framework, and
- Describing the range of potential users of monitoring and evaluation findings.

Why monitor and evaluate the reforms?

The successful implementation of the Auckland governance reforms is one of the Government’s primary objectives and is of critical importance to Aucklanders and to New Zealand more generally. These large scale reforms are unique in the current New Zealand local government context in terms of their broad scope, complexity and the relative speed of implementation. They are also important given the economic importance of Auckland to New Zealand as a whole. This highlights the importance of monitoring progress and evaluating impacts. Monitoring and evaluation will enable lessons to be learned and, ultimately, impacts and outcomes identified.

It is considered good practice for government agencies to evaluate significant policy or administrative changes. The expected benefits of a systematic approach to monitoring and evaluation include:

- Enabling stakeholders to understand whether the anticipated benefits are being realised over time
- Identifying unanticipated impacts and outcomes of the reforms
- The capture of changes over time in a cost-effective, straight-forward way through appropriate monitoring
- Identifying barriers or constraints to the reforms achieving what was intended
- Learning what worked well and not so well in setting up the Auckland Council, as a guide for future local government reform processes; and
- Ensuring that the knowledge, experience and understanding of managing a complex local governance reform are retained.

Components of the framework

The framework comprises a complementary package of evaluation and monitoring activities (Figure 1).
73 Core components of the monitoring and evaluation framework are:
- collection of baseline and ongoing monitoring information, based on an initial set of indicators to enable changes over time to be identified and analysed.
- a short-term evaluation of the lessons learned from the establishment process of the new Auckland Council.
- outcome evaluation activities to understand the impacts and outcomes of the reforms over the short, medium and longer-term. It is proposed that this is focused on four central “areas for focus”.

74 The activities shown in Figure 1 will fulfil a range of evaluation and monitoring requirements including:
- understanding the role and contribution of the Auckland Transition Agency (ATA) in the establishment of the new Auckland Council
- identifying appropriate baseline information to track over time
- understanding the components (enabling mechanisms) needed to successfully implement reform
- identifying which aspects of the reforms are of most relevance to which audiences and stakeholders (including the Mayor, governing body, local boards, the statutory board for Māori, the ethnic panels, the new Auckland Council organisation and the new CCOs)
- understanding the roles and relationships required for effective regional governance, and
- identifying the types of evidence required for assessing long term outcomes and impacts achieved by the governance reforms.

14 The short timeframe of the establishment evaluation is driven by the need for an early report back to Ministers on establishment issues. Actual establishment of the new Auckland Council will continue beyond this time.
Users of monitoring and evaluation findings

75 The Department of Internal Affairs leads the government’s relationship with local government. This includes responsibility for local government policy and legislation and local government services. The Department has led and coordinated advice to government on the Auckland governance reforms. As a result, the Department has specific interest in the governance reforms and their short, medium and longer-term impacts. The Department is therefore expected to be a key user of the framework and the resulting findings from monitoring and evaluation work.

76 Due to the significance of the reforms, a wide and diverse range of stakeholders are also likely to have an interest in the results of any monitoring and evaluation. These stakeholders include those with an immediate interest in the region’s economy, environment and social outcomes (i.e., the Auckland Council, Auckland citizens and ratepayers, NGOs and community sector groups, business groups, Māori groups); residents and politicians in neighbouring regions; the wider local government sector in New Zealand (including the Local Government Commission); and those with an interest in local government and the wider New Zealand economy.

77 As the largest city-region in New Zealand, Auckland has a key role in the ongoing prosperity of the nation. Central government therefore has a particular interest in the reforms as a whole. Central government was also responsible for the intervention to drive and shape the subsequent reforms. Central government agencies with an interest in monitoring and evaluating the Auckland governance reforms include the Ministry of Transport, the Ministry for the Environment, Department of Prime Minister and Cabinet, Ministry of Economic Development, Ministry of Social Development, Te Puni Kōkiri and the Treasury.

78 A wide range of potential users were consulted in the process of developing this framework. The framework therefore takes account of the strategic interests of a diverse range of stakeholders. However, the framework is strategic in nature and does not address every aspect of the governance reforms. In significant policy areas, such as transport, agencies such as the Ministry of Transport and the New Zealand Transport Agency may undertake their own monitoring, evaluation and research activities.

79 A distinguishing feature of this framework is that it is centred on understanding the impact of the governance structures and the extent to which they function as intended. It is expected that this framework and the associated programme will be able to inform the approach to evaluation and monitoring work by other stakeholders. These stakeholders include the Auckland Council, other central government agencies, and others with an interest in the region including academics, community and social groups.
Overarching outcomes framework

80 The evaluation framework is grounded in a high-level outcomes framework. This provides a big picture view of the intended impacts and outcomes of the Auckland governance reforms.

81 The outcomes framework is based on four areas of focus that reflect the broad policy objectives of the reforms. Each area of focus is essentially a key medium-term outcome.\(^{15}\) The four areas of focus are:

- effective local representation and community engagement
- strong regional governance and leadership
- integrated planning and decisive action, and
- consolidated and integrated resources and service delivery.

82 Figure 2 depicts the overarching outcomes framework for the Auckland governance reforms. The framework illustrates how the intervention (governance reforms) translates into a range of outcomes. These outcomes are expected to show over various timescales from short, to medium and long-term. The framework also shows how the outcomes at each level are likely to contribute to outcomes at the next level\(^ {16}\) (i.e., the relationship is not necessarily one of ‘cause and effect’).

83 The outcomes framework provides a basis for:

- identifying key evaluation focus areas and questions
- developing an evaluation and monitoring work programme including key activities, methods, data sources and timelines, and
- identifying priorities and timeframes for subsequent evaluation activity.

84 Each element of the outcomes framework is discussed briefly below.

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\(^{15}\) Sub-outcome frameworks have also been developed for each of these four central areas for focus. These are presented in section six of this report.

\(^{16}\) Note the relationship is not necessarily one of ‘cause and effect’.
### Figure 2: Overarching outcomes framework for the Auckland governance reforms

<table>
<thead>
<tr>
<th>Transformative Phase</th>
<th>2018 and beyond</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prosperous regional economy that drives NZ economic performance</td>
<td>Improved growth in economic activity and productivity</td>
</tr>
<tr>
<td>Auckland performs well on city competitiveness measures</td>
<td>Auckland companies well on city competitiveness measures</td>
</tr>
<tr>
<td>Positive investment climate</td>
<td>Dynamic and innovative Auckland businesses</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Longer term From 2015 onwards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Greater awareness and participation in local democracy</td>
</tr>
<tr>
<td>City-wide issues are being identified and addressed across agencies</td>
</tr>
<tr>
<td>Auckland has a clear and positive identity</td>
</tr>
<tr>
<td>Auckland has confidence in the system of regional and local governance</td>
</tr>
<tr>
<td>There is pride in the vision identified for Auckland</td>
</tr>
<tr>
<td>City-shaping projects have been effectively planned and completed</td>
</tr>
<tr>
<td>Urban growth is being managed sustainably</td>
</tr>
<tr>
<td>Urban and regional infrastructure supports growth and the city vision</td>
</tr>
<tr>
<td>It is easier to do business with Auckland Council</td>
</tr>
<tr>
<td>There is improved alignment between effective regulatory and service delivery</td>
</tr>
<tr>
<td>A customer-driven culture provides the Auckland Council</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Enhancement Phase Medium term 2012–2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective local representation and community engagement</td>
</tr>
<tr>
<td>Effective citizen participation</td>
</tr>
<tr>
<td>Elected members are accessible, responsive and representative</td>
</tr>
<tr>
<td>Local priorities are understood and reflected in decision-making</td>
</tr>
<tr>
<td>The NGO and community sector are engaged and working in partnership</td>
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</table>

<table>
<thead>
<tr>
<th>Consolidation Phase Short term 2010–2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auckland Council established and post-establishment transition proceeds smoothly</td>
</tr>
<tr>
<td>Auckland Council established and ready for business</td>
</tr>
<tr>
<td>CCOs established and ready for business</td>
</tr>
<tr>
<td>Core public services delivered with minimal disruption</td>
</tr>
<tr>
<td>System and process improvements identified and being implemented</td>
</tr>
<tr>
<td>Auckland Council established as a Legal Authority</td>
</tr>
<tr>
<td>Two part governance structure</td>
</tr>
<tr>
<td>Mayor’s powers and responsibilities</td>
</tr>
<tr>
<td>Establishment and rationalisation of CCOs</td>
</tr>
<tr>
<td>Auckland Transport Agency, Watercare</td>
</tr>
<tr>
<td>NZN Statutory Board</td>
</tr>
<tr>
<td>Paicu-ethnic panels</td>
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<tr>
<td>Single AC organisation and alignment of interim CE</td>
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<table>
<thead>
<tr>
<th>Effective support to elected members and governance structure</th>
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<tbody>
<tr>
<td>Effective mechanisms in place for coordinating governing body local boards and CCOs</td>
</tr>
<tr>
<td>Effective mechanisms for stakeholder engagement and high-quality engagement</td>
</tr>
<tr>
<td>Progress on spatial plan and major regional investments prioritised and staged</td>
</tr>
<tr>
<td>Ongoing enhancements to service delivery and integration of assets and employees</td>
</tr>
<tr>
<td>Key stakeholders are confident and satisfied with the transition process</td>
</tr>
<tr>
<td>Staff are engaged and committed to a culture of service</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Day One Readiness Period to 30 October</th>
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<tbody>
<tr>
<td>Auckland Council established and post-establishment transition proceeds smoothly</td>
</tr>
<tr>
<td>Auckland Council established and ready for business</td>
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<td>Single AC organisation and alignment of interim CE</td>
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</tbody>
</table>
Legislative mechanisms and levers

The lower tier of the framework identifies the key elements of the reforms. These are the legislative mechanisms and levers that were used to implement the reforms. Together these represent the ‘structural reforms’ and are the basis on which the new Auckland Council will function as a unitary authority from 1 November 2010.

It is important to note that these are not the only mechanisms and levers that will influence the ultimate direction of Auckland. Other influences, such as existing relationships and partnerships, will also shape Auckland governance in the future.

Different components of this layer are likely to be implemented at different speeds. Therefore, examination of the impact of some components may look to focus on changes associated with the establishment and short-term outcomes.

The way the new entities emerge and develop will also have a key impact on the future of the new governance structure. This includes the influence and leadership of the Mayor, which is likely to have a significant impact on the direction of the Auckland Council and therefore on the subsequent decisions and actions. This in turn may influence public perception of the reforms.

Establishment phase

The establishment phase is the period around the immediate establishment of the new Auckland Council. The expected outcome from this phase, is that the Auckland Council and the related entities are setup, supported and functioning effectively on Day 1 (1 November 2010). This includes having clear understanding and delineation of roles and responsibilities. Success would be seen in terms of minimal disruption to council services and planned projects. The Auckland Transition Agency, working with existing local authorities, central government, Ministers and officials, will play a key role in this exercise.

Short-term outcomes

The short-term outcomes are described as the consolidation phase. This represents a two-year transitional timeframe where the direction for the new Auckland Council will be set, and major operating and supporting mechanisms put in place.

In the two-years following the establishment of the Auckland Council, it will be important for effective mechanisms to be in place to enable all components of the new Auckland Council structure and key stakeholders to work well together. Decisive and visible leadership from the Mayor and interim chief executive will be important to enabling a clear articulation of the Council’s vision and strategic direction.

As some processes make take longer to implement than others, there will be a degree cross-over between the establishment and the subsequent medium-term outcomes.
Medium-term outcomes

93 The medium term (or enhancement phase) is seen as the time when significant progress around the four areas of focus would be expected. Placing these at the centre of the outcomes framework reflects the significant influence the previous establishment and consolidation phases will have on the eventual achievement of these objectives.

Longer-term outcomes

94 Longer-term outcomes (expected from around 2015) are described as the transformative phase. These refer to the ultimate outcomes desired for the Auckland-city region. These are depicted in the top two-tiers of the framework and represent the eventual results that the reforms are intended to contribute to (but not be solely responsible for).

Other influences on outcomes in Auckland

95 Boxes to the right of the diagram represent key additional factors that will influence the long term outcomes for Auckland. These highlight the important role central government will need to play if the longer-term outcomes are to be fully achieved. This includes how central government’s plans for Auckland align with those of the Auckland Council.
4. Learning lessons from the establishment

This section describes some of the components for an evaluation of lessons learned, including:

- purpose of evaluating and monitoring the establishment process
- scope and focus areas for the evaluation
- specific evaluation questions to be explored
- some suggested evaluation and monitoring activities.

Purpose

96 Because of the complexity of the reforms, their speed of implementation and the unique circumstances of the establishment of the Auckland Council, it is important to document and understand the establishment process. It is also important to identify any lessons that can be learned from this process.

97 Evaluation of the establishment process would aim to:

- Identify lessons learnt from the establishment process (for use in any future reform process)
- Document the processes and the issues involved in the creation of the Auckland Council for the subsequent outcomes evaluations, and
- Identify any gaps and issues with the statutory framework that may require amendment.

98 The evaluation of lessons learned is not intended to be a report-card for the Auckland Transition Agency. Rather it should be seen as an opportunity to reflect on the broad approach taken to the transition. While unique because of their scale, the experience of the Auckland reforms may inform the approach taken if there are future local government amalgamations. This evaluation will also assist in understanding the process for implementing any major structural reform (not just local government).

Scope and focus areas

99 The evaluation of lessons learned will cover the period from around March 2009 (when the report from the Royal Commission was received) to February 2011 (just after establishment). The timing for post-implementation evaluation has been designed to meet Ministerial reporting requirements. Work on elements of this type of evaluation is therefore likely to continue as part of the subsequent (short-term) outcomes evaluation programme.

100 Some of the components identified for this evaluation include:
• Transition management – exploring what worked well and not so well during the transition (e.g., communications, staff transfer, relationships with existing local authorities and central government agencies)

• Business continuity – exploring the extent to which service levels were maintained in the period immediately following establishment

• Induction and support for elected members – exploring the support provided by the Council to elected members, including whether elected members understand their roles, responsibilities, and how relationships between different parts of the governance structures, and

• Mayoral campaign – exploring the way in which candidates campaigned, including the extent to which campaigns were centred on a vision for the region.

Evaluation questions

101 The following evaluation questions have been identified.

Transition management

• To what extent did the transition process meet its objectives, for example were all Day 1 deliverables achieved? What gains were realised? Were the objectives of the Auckland Transition Agency and central government met?

• How were the objectives of the various Auckland Transition Agency work streams identified? Were these objectives met?

• Which aspects of the transition appear to have been managed well, and which did not work so well? What factors helped or hindered the transition process? What might have been done differently?

• How effectively were the changes communicated to key stakeholders? (such as staff of existing councils, NGOs and the community sector, business groups, citizens)

• What role did the existing mayors and chief executives play in the transition? Have there been any issues with maintaining business as usual? Has there been any impact on staff morale and retention?

• Were suitable mechanisms in place for coordinating initial alignment between the governing body, local boards and CCOs?

• How effective was the support provided by central government agencies to the transition?

• Have any post-establishment issues arisen that may require statutory amendment?

Continuity – business and council

• Was service delivery maintained during the transition and immediate post-establishment phase? If there were there any major disruptions, what issues arose and how were these managed?

• Do the changes appear to have been seamless from a customer perspective?
• Was the new Auckland Council ready (in terms of resources, information and understanding) to continue with planning and business? Does the new organisational structure appear to be working effectively?

Support for elected members
• What induction or other support did elected members receive after the election? Did elected members feel supported and ready to govern?
• Do elected members have a clear understanding of their role, particularly in the relationship between the governing body and local boards? How is this relationship developing?
• Is there any early indication of tension between the governing body and local boards? If so what are the areas the tension has been identified?
• How did Mayoral candidates articulate their vision for the region?
• Upon election, how has the Mayor communicated this vision and direction?
• How did the Mayor set up office? Was there clarity of understanding around the roles of the Mayor, the local boards and the governing body?
• How did the Mayor and elected members treat the decisions/directions inherited from the Auckland Transition Agency?

Key evaluation activities
102 A mix of methods and activities could be used to answer the evaluation questions. These are outlined below.

Document review
103 Document review is a critical first step to capture the overarching context for this evaluation. The aim is to document the broad approach taken to the establishment (e.g., the decision to establish the Transition Agency, the roles different entities played in the process, costs incurred) and any issues arising from the various reports produced as part of the transition process. Key documents include:

• Cabinet papers recording key decisions
• Auckland Transition Agency documents (e.g., progress reports and material from work streams)
• Department of Internal Affairs monitoring reports
• Reports from the Office of the Auditor General and other agencies (if available)
• Relevant legislation.
**Stakeholder analysis**

104 Key stakeholders could be interviewed to gain their perspectives on the process. Interviewees could include: the elected Mayor, members of the governing body, local board members, directors of CCOs, Ministers of the Crown, the Auckland Council chief executive and senior management (including those associated with CCOs), senior officials of the Auckland Transition Agency, and local and central government officials involved in the transition process.

105 The interviews could be supplemented with a small number of focus groups. These could capture the views of citizens, NGO/community group representatives, Māori, special interest groups, business groups, and Auckland Council organisation/CCO staff. Such focus groups would look to provide an “outsider’s” perspective on the establishment process.

**Surveys**

106 Targeted surveys can provide efficient, cost-effective feedback from a broad range of people. Examples of surveys that could be used in this part of the evaluation include:

- **Candidates** - a short focussed online survey to explore the reasons why candidates are standing for elections. This includes candidates for both the governing body and local boards. Demographic details and levels of prior governance experience could also be collected.

- **Governing body and local board members** - a short, focussed online survey to explore the induction and support provided by the Council to elected members. It could also include question to gain an insight into their understanding of the role and the broader governance structures, including the allocation of decision-making between the governing body and local boards.

- **Citizens** – to gather public perspectives on Auckland prior to the transition and aspects of the transition (looking at areas such as communications and business continuity).
5. Outcomes evaluation

This section describes the sub-outcome frameworks for each area of focus that will anchor the evaluation, the specific evaluation questions, and some suggested evaluation activities.

Structure of this section

107 The evaluation of the reforms is anchored by the overarching framework outlined in Section 3. The development of this framework identified four medium-term areas of focus for effective regional and local governance. These form the basis for the subsequent evaluation. The four areas of focus are:

- Effective local representation and community engagement
- Strong regional governance and leadership
- Integrated planning and decisive action
- Consolidated and integrated resources and service delivery.

Effective local governance and community engagement

Purpose and scope

108 Providing effective local and community governance is a key outcome of the new governance structure. It is therefore a core focus for the evaluation. Local governance will be conducted through both the governing body and the local boards. The establishment of local boards is considered to be an integral way to provide an opportunity for strengthened community representation.17 Local boards are a new structure in New Zealand local government, sharing a legislated level of decision-making for the Auckland Council with the governing body. Local boards will also take the lead in decision-making for many non-regulatory activities at community level. They will have an important role in communicating local priorities to regional decision-makers.

109 A programme of evaluation would explore how the governing body, local boards and other legislative mechanisms and levers are operating to achieve effective local governance, representation and community engagement in Auckland. This area of focus could examine:

- How diverse communities, stakeholders and partners understand, and are engaged by, local boards and the governing body
- The extent to which elected local boards and governing body members are accessible, responsive to their constituents

• How local interests and priorities are understood and represented in local and regional plans and decisions, and
• The extent to which local services, facilities and programmes have changed as a result of the reforms (and the reasons for this).

Outcomes framework

110 The framework for this area of focus is presented in Figure 3. The framework shows the outcomes expected in the short and medium term that will contribute to effective local representation and community engagement.

Evaluation questions

111 The following evaluation questions have been identified for each phase of the sub-outcome framework.

Short term (consolidation phase)

• Are local boards and the governing body clear about what they are (and are not) responsible for?
• What process did the governing body use to determine roles and responsibilities of the local boards in relation to the legislation? Have any changes been made to local board delegations?
• Are citizens and stakeholders aware of the roles and responsibilities of local boards? Are they aware of the roles and responsibilities of the governing body? Are the differences in roles and responsibilities between the governing bodies well understood? Are stakeholders satisfied with the initial allocation of roles and responsibilities?
• Are local boards and the governing body open to partnerships with NGOs and the community sector? What happened to existing relationships and partnerships?
• Are effective mechanisms being put in place to engage citizens and stakeholder groups in local government processes? How and in what ways is this engagement occurring? Are the opportunities for engagement understood by citizens and stakeholders?
• How are local boards engaging with their communities? How have local board plans and agreements been developed in consultation with communities and stakeholders?
• Are the governing body and CCOs actively engaging with local boards to obtain local perspectives on regional issues?
• Are the governing body and local boards receiving appropriate administrative and management support from the Auckland Council to operate effectively?
• Are there differences between the way that individual local boards operate (for all the above questions)? What are the reasons for these differences?
• How accessible are the governing body and local board members to citizens?
There is effective community engagement and representation for communities of interest. Linkages and integration between the different tiers of local government mean local priorities are clearly identified. Elected members are accessible and accountable to their constituents.

Figure 3: Framework for area of focus - effective local governance and community engagement

Transformative phase
2018 and beyond

Prosperous regional economy that drives NZ economic performance
Strong, vibrant neighbourhoods and healthy communities
Distinctive, world class built environment
Healthy and resilient natural environment

Longer term
From 2015 onwards

The public have confidence in the direction of the Auckland Council
Citizens and communities participate actively in council planning & decision-making
Innovative initiatives and projects are encouraged and supported
Communities have the services, facilities and programmes they require
Distinctive neighbourhood character is preserved and enhanced
There is an effective balance between regional and local priorities

Enhancement phase
Medium term
2012 – 2015

Effective local governance for neighbourhoods and communities

Communities participate and engage with their elected members
Priorities are understood and reflected in local and regional decision making and service provision
Local boards have effective relationships with stakeholders and the rest of the Auckland Council
Electoral boundaries and structures effectively represent communities of interest
Communities and stakeholders are engaging with the council

Consolidation Phase
Short term
2010 – 2012

Embedding a new model of local governance

Elected members receive ongoing administrative support
Local board agreements and plans developed in consultation with stakeholders
Local Boards are engaging with their communities and the Auckland Council
Opportunities to improve local services, facilities and programmes are identified and actioned
There is dear allocation of decision-making between governing body and local boards
Relationships are being developed or continued with the NGO and community sector

Establishment Phase
Period to February 2011

Day 1

Elected members have the training and support to start work
Committees and procedures for the new council are in place
Budgets are in place for local boards and elected members
Resources and systems to ensure local services continue to be provided
Communities are aware of the new council structure and their elected members

Auckland Council established as a Unitary Authority

Legislative mechanisms and levers to implement reforms

Two part governance structure
- governing body
- local boards
Mayor’s powers and responsibilities
Electoral systems and boundaries
Establishment and rationalisation of CCO’s eg Auckland Transport Agency, Watercare
Māori Statutory Board
Pacific ethnic panels
Single AC organisation and appointment of interim CE

Grey boxes would not be the main focus of this part of the evaluation
• What are citizen and stakeholder perspectives of their ward and board boundaries? Do they feel they represent their particular communities of interest?

• Are local programmes, facilities and services being delivered with minimal disruption?

• What role do the Māori Statutory Board and other panels played at a local level?

**Medium term (enhancement phase)**

• Do citizens consider local board plans to be effective mechanism for identifying and progressing local priorities?

• Do citizens consider the Māori Statutory Board and other panels are an effective mechanism for identifying and progressing local priorities?

• Has participation and engagement in local government processes changed? How and in what ways has enhanced stakeholder and community engagement in local processes been achieved? How does this link to the actions of the governing body and local boards?

• Are there examples of changes to local services, facilities and programmes as a result of the governance changes? How are these identified and funded?

• How are local priorities communicated to the governing body? How are they reflected and/or taken account of in regional strategies, policies, plans and by-laws?

• Do stakeholders feel there is effective allocation of decision-making between local boards and the governing body? What changes have occurred over time?

• How transparently and consistently are the criteria for allocating decisions between the two governance tiers applied? What tensions or disputes have occurred regarding the allocation of decision-making and how have these been resolved?

• Have the roles and responsibilities allocated to local boards changed over time? If so, how?

• What is the nature of the relationship between local boards and CCOs? Does this vary depending on the activities of the CCOs? What input do CCOs seek from local boards?

**Longer term (transformative phase)**

• Do citizens and stakeholder groups have confidence in their local boards and in local government processes?

• Are citizens and stakeholder groups able to interact with the governing body and local boards with ease and confidence?

• To what extent is community representation and engagement at local board level valued by Aucklanders, and by the Auckland Council?
• How are local boards encouraging and supporting innovative local initiatives and projects?
• To what extent have local services, facilities and programmes changed? Do these changes reflect regional or local priorities? What was the role of the local board?
• Do Aucklanders continue to identify with the areas they live in? Are the local board boundaries in the right place?

**Key evaluation activities**

112 A mix of methods, data sources and evaluation activities is proposed to help to answer the questions outlined above:

- **Document review.** This could include high-level analysis of a sample of local plans and associated documents to identify how local priorities are incorporated in local plans. It could also explore the alignment between local priorities and regional strategy and planning documents.

- **A survey of citizens and ratepayers in Auckland to assess attitudes.** These include public awareness of the role of local boards and their relationship to other governance structures; perceived value of and confidence in local boards (and members); whether citizens feel adequately engaged in the process; whether communities are receiving the services they need (or expect) and whether any changes are evident.

- **Case studies of 4-6 local boards.** This would include interviews and focus groups within the communities and representatives from the Auckland Council, staff from the Auckland Council organisations and relevant CCOs involved with the local boards and communities. The interviews will be supplemented by analysis of documentation relating to the local boards.

- **Stakeholder analysis.** Conducted throughout the evaluation period, it would involve interviews with key stakeholders including local board members; governing body members; community leaders, and representatives from CCOs, Māori Statutory Board and other ethnic panels. It could also include focus groups with citizens. The findings would inform the direction of the case studies.

113 **Topic areas that could be covered by these methods include:**

- Evidence for increased/more effective citizen and stakeholder engagement (with local boards, the Auckland Council and CCOs)

- Whether local communities are receiving the services they expect/need while retaining their own identities within the wider region

- Whether local priorities are being taken into account by the governing body in region-wide decision-making

- How representative local board members and governing body members are perceived to be and whether their role is valued
• Local board interactions with other governance structures (including the
governing body, CCOs, the Māori Statutory board and ethnic panels) and the
extent that this advances local needs/priorities
• Stakeholder understanding of the relationship between local boards and other
governance structures
• Transparency of, and support for, the allocation of roles between local boards
and the governing body.

Strong regional governance and leadership

Purpose and scope

114 The Royal Commission concluded that Auckland needed inspirational leadership that
was inclusive in approach, and decisive in action. It also noted the need for stronger
regional governance to support a clear region-wide vision and direction. Through
the two-tier governance structure, the governance reforms specifically strengthen
regional governance and leadership. In particular the governing body now has a clear
responsibility and accountability for region-wide decision-making. This is supported by
an enhanced role for the Mayor.

115 Examining this area of focus will help to assess the extent that the governance
reforms have enabled stronger region-wide leadership and governance. This includes
having a clearer articulation of a strategy and vision for the region, the setting of
regional priorities, and timely decision-making in support of the direction and priorities.
A key focus could be on progress on regionally important projects (e.g., the
Waterfront).

116 This area of focus could examine:
• Roles and relationships between different elements of the governance structure.
  These include the governing body, local boards, the Māori Statutory Board, the
  ethnic panels, the Auckland Council organisation, and substantive CCOs. The
  aim would be to determine whether the system of governance functions
effectively and efficiently from a regional viewpoint.
• The interface and relationships between the Auckland Council, central
government and the private sector in support of the region-wide vision and
strategy.
• How effectively the Mayor and the Auckland Council engage stakeholders in the
region and develop support for the region-wide vision and strategy.

Royal Commission on Auckland Governance, Executive Summary, Part 1, p3-6, 21/04/2010.
• The Mayor’s role, the effectiveness of the Mayor and the extent to which strong leadership has contributed to the progression and achievement of key projects and priorities within the Mayor’s vision.

• How effectively the governance and accountability model for CCOs is able to support the Auckland Council’s region-wide strategies and vision.

• The role of local boards in the development and promotion of the vision.

• Aucklanders’ perceptions about the vision and direction of the region, how effectively Auckland is being led and governed, and how this affects their sense of pride and identity.

Outcomes framework

The sub-outcomes framework for this area of focus is presented in Figure 4. The framework diagram shows the outcomes expected in the short and medium term that will contribute to strong regional governance and leadership.

Evaluation questions

The following evaluation questions have been identified for each phase of the sub-outcome framework.

Short term (consolidation phase)

• Has a clear vision and strategic direction been articulated for Auckland?
  – What information did the council need to start to develop the vision?
  – What was the role of elected members in developing the vision (governing body and local board)?
  – What engagement has occurred with key stakeholders in developing this vision? How was the community involved?
  – Have clear goals and priorities been identified for the vision? How is the vision aligned to the budget?
  – How and in what ways has that vision and direction been conveyed?
  – How effective is the Mayor in developing and communicating a clear vision and strategic direction?
Figure 4: Framework for area of focus - Strong regional governance and leadership

A clear vision guides the overall direction of the council. Leadership from the mayor and elected members provide the public with confidence in their decision-making. Major regional projects are planned and completed with effective community involvement. There is an effective relationship with central government that enables enhanced access to resources.

Transformative Phase
2018 and beyond

Longer term
From 2015 onwards

Enhancement Phase
2012 - 2018

Consolidation Phase
2010 - 2012

Establishment Phase
Period to February 2011

Legislative mechanisms and levers to implement the reforms

Auckland offers world class living standards

Prosperous regional economy that drives NZ economic performance
Strong, vibrant neighbourhoods and healthy communities
Distinctive, world-class built environment
Healthy and resilient natural environment

Strong regional governance and leadership

Auckland has a clear, positive identity
Aucklanders and stakeholders have confidence in system for regional governance
There is pride in Auckland and its future direction
City-shaping projects have been completed
Urban growth is being managed sustainably
Infrastructure is supporting growth and the vision

Key stakeholders support and promote the Mayor’s vision & strategy for Auckland
Council decision making is consistent with the vision & strategy
Stakeholders have confidence in Auckland’s ability to make good decisions and deliver
Major regional priorities are funded and implemented
Central government plans, funding and programmes are aligned with Auckland’s priorities
Local and regional decisions are appropriately allocated between the governing body and local boards
CCO direction is aligned with, and supporting the vision

The Auckland Council is established and providing a clear direction for the future

A clear vision has been developed and articulated by the Mayor and council
Council leadership and decision-making are aligned to the vision
The Auckland Council has developed effective relationships with key stakeholders
Council has clear business, reporting and accountability processes
Staff are working toward a common goals and development of an organisational culture
The public have have been engaged in setting the direction of the Auckland Council
All parts of Council (including CCOs) are promoting the vision

Day 1

Council has the background information to start to develop its vision
Elected members and panels are ready to contribute to development of the vision
The Mayor’s Office has been established
Frameworks for key processes have been developed
Staff have certainty over terms and conditions
Staff understand their new roles and responsibilities
CCOs Boards are established

Auckland Council established as a Unitary Authority

Two part governance structure
- governing body (1 mayor + 20 councillors)
- local boards
Mayor’s powers and responsibilities
Electoral systems and boundaries
Establishment and rationalisation of CCO’s eg Auckland Transport Agency, Watercare
Māori Statutory Board
Pacific/ethnic panels
Single AC organisation and appointment of interim CE

Grey boxes would not be the main focus of this part of the evaluation
• How is the vision/direction understood by the Auckland Council (local boards and governing body), CCOs, key partners and the public? How are they supporting it?
  – How has this support been achieved?
  – Are priorities understood by management and staff and reflected in the structures, delegations and decision-making processes of the Auckland Council?
  – Are effective mechanisms in place to align decisions, budgets, behaviours and activities of staff of the Auckland Council organisation and CCOs?

• How are local boards promoting the vision for the Auckland Council?

• How are CCOs governed? How clear and effective are their relationships with other parts of the governance structure? How effectively do the CCO directors interact with elected members and Auckland Council organisation management?

• How are the relationships between the governing body, local boards, Auckland Council organisation, the Māori Statutory Board (and other panels) and CCOs working? Are they effectively aligned? What role is the Mayor’s office playing?

• Do members of the Māori Statutory Board and ethnic panels feel their voices are being heard? Are the contributions of the Māori Statutory Board and other ethnic panels valued by the Mayor and the Auckland Council?

• How are key decisions being taken by the governing body? To what extent has the Auckland Council begun to deliver on key priorities? For example, have new major regional investment priorities been identified, and if so has funding been agreed?

• How was the office of the Mayor established? What role has the Mayor chosen for this office?

• What is the culture within the Auckland Council organisation, governing body, local boards and CCOs? How are the cultures developing over time? How might this affect the achievement of the vision?

Medium term (enhancement)

• To what extent has agreement been reached on long-term strategic issues and priorities for the Auckland region (i.e. development and infrastructure)? How have other agencies been involved?

• How are the Auckland Council and CCOs working in a unified direction towards the vision and priorities? How is this reflected in their operating statements and activities?

• Has visible progress been made on major regional priorities, such as Waterfront development?

• To what extent are relationships between the new governance structures bedded-in and working well? What are stakeholder perceptions of this?
• Has the vision and direction of the Council been clearly and consistently articulated? Is the vision and direction of the Auckland Council widely known and accepted?
• What is the perception of the role of the Mayor and the Mayor’s Office?
• How confident are council staff, key partners and the public in the ability of the Council to make good decisions and deliver on major regional priorities?
• To what extent have relationships between Auckland and central government strengthened and become more partnership-based? To what extent have the governance changes reshaped the way in which central government relates to Auckland? How has central government aligned its strategies, plans, programmes and funding with Auckland’s priorities?
• Is there any evidence of fragmentation (geographical or political), and if so what has the impact been?
• Has the role of the Office of the Mayor changed over time?

Long term (transformation)

• Do Aucklanders feel they have benefited from inspirational leadership, that is inclusive in approach and decisive in action?
• To what extent do Aucklanders trust and value local government and support the direction of the Auckland Council?
• Do Aucklanders have a positive perception of the region? Do they have a greater sense of pride in their city-region? How does this compare to their local area?
• How have Aucklanders’ attitudes to the governance reforms changed over time? Is there general acceptance that the new structures are a better way to govern Auckland?
• Are major city shaping projects being planned and completed? Are Aucklanders making use of new and existing spaces, such as the Waterfront and parks? Are they proud of what’s been achieved?
• Does Auckland have a more effective and efficient transport network? Has usage of public transport significantly improved?
• Has urban growth been well managed, for example through intensification in growth nodes?
• What role have [successive] Mayors (and their Office) played in the development of Auckland?
Key evaluation activities

A mix of methods, data sources and evaluation activities could be used to answer the questions outlined above:

- **Document review.** To document key processes, including how strategic prioritisation decisions have been made. Documents relating to the development and communication of the vision and the funding and prioritisation of key projects (and the way decisions had been made by different parts of the governing body) would be included.

- **Case Studies.** To identify the impact of the reforms on the region’s ability to progress major regional initiatives, such as the Waterfront. This would include document review, and interviews/focus groups with citizens, developers, infrastructure providers, planners, environment court experts, local board members, governing body members and the private sector.

- **Survey.** A survey of citizens and ratepayers to assess, citizens and ratepayers understanding of the vision for Auckland; perceptions of regional leadership and governance including confidence in decision-making; and perceptions of progress on regional priorities. This could be repeated.

- **Stakeholder analysis.** This could be conducted throughout the evaluation period. It would involve interviews with key stakeholders including local board members; governing body members; community leaders, and representatives from CCOs, and statutory boards.

Integrated planning and decisive action

**Purpose and scope**

Because decisions about transport systems, the form of urban development, and land-use all impact on each other, there is a strong need for an integrated planning approach. The governance reforms enable and anticipate integrated planning in several ways, including by:

- **Requiring the Auckland Council to produce a single Spatial Plan to cover the entire region that:**
  - sets a strategic direction for Auckland
  - outlines a high level development strategy to achieve that vision

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provides the basis for coherent and coordinated decision making and for aligning implementation plans, regulatory plans, and funding programmes of the Auckland Council

- Requiring the Auckland Council to involve central government, infrastructure providers, the communities of Auckland and the private sector in the preparation and development of the spatial plan, and to endeavour to secure and maintain support for that plan, and
- Including provisions, within the accountability framework for substantive CCOs, that enable to the Auckland Council to ensure they act in a manner consistent with the strategies and plans of the Auckland Council.

121 Evaluating this area of focus will explore the extent to which the governance reforms have enabled a more integrated approach to planning and how this has impacted on they types of decisions being made. This includes consideration as to whether the reforms have strengthened the ability of the Auckland Council and infrastructure providers to identify regional priorities and implement major regional initiatives. It will be important to understand the process for developing the Spatial Plan, and how the priorities and decisions flow from it. This includes looking at relationships between key parties so as to enable integrated planning and decisive action, including the degree of support from funders and infrastructure providers.

122 This area of focus could look to examine:

- The process of development of the Spatial Plan and the LTCCP, and the degree of support and buy-in for it and for the development priorities they identify.
- The extent to which there is alignment of investment and other decisions with the development priorities identified in the Spatial Plan and other documents.
- The extent to which there is alignment between the Spatial Plan and other strategies and plans including the LTCCP, the district plan, the regional policy statement, the regional land transport strategy and relevant central government strategies and plans.²⁰
- How other policies, systems and processes that support integrated planning and decision making were developed and implemented.
- How the vision links all the various planning documents.
- The effect that the integration of planning might have on the ability to advance major regional initiatives, and the impact on the region’s social and economic development.

²⁰ We note that the exact relationship between the spatial plan and other policy instruments is currently under policy consideration and the final shape of decisions by government will need to be reflected in this evaluation.
Outcomes framework

The sub-outcomes framework for this area of focus is presented in Figure 5. The framework shows the outcomes expected in the short and medium-term that will contribute to integrated planning and decision-making.
Figure 5: Framework for area of focus - integrated planning and decisive action

The region has an integrated planning environment based on the sustainable management of growth and retention of the unique characteristics of Auckland. The Spatial Plan provides certainty that enables appropriate infrastructure to be provided to support future development.

Transformative Phase
2018 and beyond

Longer term
From 2015 onwards

Enhancement Phase
Medium term
2012 - 2018

Consolidation Phase
Short term
2010 - 2012

Establishment Phase
Period to February 2011

Legislative mechanisms and levers to implement the reforms

Auckland Council established as a Unitary Authority

Effective integrated planning, decision-making and funding

Integrating planning and decision-making systems

Day 1

Grey boxes would not be the main focus of this part of the evaluation
Evaluation questions

The following evaluation questions have been identified for each phase of the sub-outcome framework.

Short term - consolidation

- Have inclusive mechanisms been put in place to develop the Spatial Plan, with key parties (local government, central government, infrastructure providers, CCOs, private sector) around the table? Do key partners come together and buy into the process?
- Has the process led to agreement in the short-term across the key parties about major regional investment priorities? Have short-term wins been identified? Is there evidence of decisions leading to identifiable actions?
- How are CCOs undertaking their planning processes? How are other council plans being reflected in the operation of CCOs?
- How is central government participating in the development of the plan?
- Do local boards and communities feel they have adequate opportunities to contribute toward the development of the Spatial Plan? Does this differ from previous opportunities?
- Is the development of the various plans well coordinated, including the LTCCP and other Auckland Council planning documents?
- Are clear priorities identified in the various plans to enable the Auckland Council and its CCOs to plan, fund and make decisions?

Medium term (enhancement)

- Is the Spatial Plan seen by stakeholders as providing an effective long term strategy for the growth and development of the region? Does it establish clear priorities that enable coordinated investment decisions to be made?
- Is there a clear relationship and alignment between the Spatial Plan and other elements of the planning framework (e.g., long-term council community plan, district plan, regional policy statement, regional land transport strategy, the National Infrastructure Plan)?
- Are the decisions made by the governing body, local boards and CCOs aligned with the Spatial Plan and LTCCP? What is the link between the Spatial Plan and the LTCCP?
- Has progress been made on major city-shaping regional initiatives, such as the Waterfront? Are major priorities/projects progressing in line with expectations? Are public spaces being enhanced and well utilised?
- How is central government interacting with the plan? Has any funding committed? Is there alignment between the National Infrastructure Plan and the Spatial Plan?
- Are all the necessary strategies, policies and processes in place to support integrated, planning, decision making and funding?
• Are important decisions (e.g., waterfront, roading) being made in a timely way?

**Long term (transformation)**

• What effects have the new planning and decision making processes had on the social and economic development of the region?

• Do citizens believe they have benefited from improved region-wide planning and decision-making? Do they believe decision-making to be clear and transparent?

• How enduring has support from key parties for the Spatial Plan proven to be? Has it withstood changes in representation and economic fluctuations?

• Is central government’s investment in Auckland more certain/agreed?

• To what extent have major project goals been met or achieved?
  – What changes can be seen? To what extent are they attributable to the integration of planning and decision making?
  – How has transport/infrastructure/environment/housing improved?
  – Has urban growth been better managed?
  – Is the vision of the Spatial Plan beginning to be realised?

**Key evaluation activities**

A mix of methods, data sources and evaluation activities is proposed to answer some of the questions outlined above:

• Document review. Focus on the suite of planning documents, and other supporting research and information.

• Case study. Focus on the Spatial Plan to capture its development over time, and the outcomes that flow from it. Work on this would be undertaken at a number of points during the development of the plan. The case study would involve extensive interviews and focus groups (with citizens, developers, infrastructure providers, planners, environment court experts, local board members, governing body members, local and central government officials and the private sector. It would also entail review of key documents.

• Stakeholder analysis. Interviews with key stakeholders to focus on planning issues across the region (not be specifically tied to the Spatial Plan).

• Survey. Asking citizens and ratepayers to assess: citizens’ and ratepayers perceptions of the consultation process regarding the development of the spatial plan and LTCCP, whether the Spatial Plan paints a coherent picture of Auckland’s development potential, overall support for the broad direction of the
Spatial Plan, and perceptions of whether and to what extent integrated planning has benefited Auckland.

Consolidated and integrated resources and services

Purpose and scope

126 Fragmentation and duplication of facilities, funding and management of services have all been identified as weaknesses in the current Auckland governance model. Service delivery and regulation may be inconsistent across the city and district councils and there are different fees and charges in place for similar activities. There is scope for efficiency gains from scale through amalgamation of functions, and through improved management of some council activities.

127 This area of focus will examine the process and impact of consolidating and integrating resources and service delivery from the existing local authorities and CCOs into new structures. One aim will be to identify examples of successful business transformations, some of which may also have general applicability elsewhere in the local government sector. The specific areas for the evaluation to look at include:

- The level of any improvements or changes in service delivery and regulatory quality that have been enabled by the reforms
- Process of integration and providing services across a diverse region
- Efficiency gains that have been realised
- Models for innovative service delivery
- Any changes in funding for service provision, and
- Stakeholders perceptions of changes in the ease of doing business with the Council.

Outcomes framework

128 The sub-outcomes framework for this area of focus is presented in Figure 6. The framework shows the outcomes expected in the short and medium-term that will contribute to consolidated and integrated resources and services.
Figure 6: Framework for area of focus - Consolidated and integrated resources and services

Services are delivered across the region in a consistent and cost-effective manner through streamlined business systems. Council assets and systems are also managed to provide for improved customer service. The role of Council organisations is clear and accountable, and there is clear allocation of costs to recognise local preferences.

Transformative phase
2018 and beyond

Longer term
From 2015 onwards

Enhancement phase
Medium term
2012-2015

Consolidation Phase
Short term
2010-2012

Establishment Phase
Period to 30 October

Legislative mechanisms and levers to implement the reforms

Auckland offers world class living standards/ Auckland is an engine of growth for New Zealand

Prosperous regional economy that drives NZ economic performance
Strong, vibrant neighbourhoods and healthy communities
Distinctive, world class built environment
Healthy and resilient natural environment

It is easier to do business with Auckland Council
Improved quality, more cost effective regulation and service delivery
Customer driven culture pervades the Auckland Council and CCOs

Service standards are transparent and equalised across the region
There is an improved customer service experience
Improved consistency of regulation (including policies and fees) across the region
Asset management is integrated across the region
Efficiencies in service delivery have been realised
Single systems and processes (e.g., IT, rates) are in place

There is ongoing consolidation and integration of resources
Integrated systems and processes have been identified and being implemented
Future service delivery and standards are being developed and activated
Council has clear and accessible business and reporting processes
The community is clear about the role of CCOs in service delivery
Council is able to procure services at favourable market rates

Facilities and support are ready for staff on Day 1
CCOs are established and ready for business
Assets and employees have been transferred
Integrated systems and processes have been developed
Core public services are delivered with minimal disruption
Suppliers are clear about council processes
The public are aware of the impact of the changes and know where to go for services

Two part governance structure
• governing body (1 mayor +20 councillors)
• local boards
Mayor’s powers and responsibilities
Electoral systems and boundaries
Establishment and rationalisation of CCO’s eg Auckland Transport Agency, Watercare
Māori Statutory Board
Pacific ethnic panels
Single AC organisation and appointment of interim CE

Grey boxes would not be the main focus of this part of the evaluation
Evaluation questions

The following evaluation questions have been identified for each phase of the sub-outcome framework.

**Short term (consolidation)**

- What progress has been made on consolidation of council services and services provided by CCOs? This includes consideration of a focus on aspects of service delivery, such as for regulatory services. Are roles clear?
- How have services been consolidated in CCOs?
- Have service standards been maintained post-establishment? How does the Auckland Council determine appropriate levels of services across the region? What role are local boards playing in this process?
- What initiatives are underway to change service delivery and region-wide consistency of regulation? Who is driving this process (the Auckland Council, CCOs, other)?
- What was the impact of the changes on service delivery in the short-term?
- What early evidence exists of efficiency gains?

**Medium term (enhancement)**

- How are CCOs operating and what is their relationship/alignment with the Auckland Council?
- Have resources and service delivery been successfully consolidated and integrated across the region? How have service levels been agreed across the region? What examples of transformative business change exist?
- Is there a regionally consistent approach to regulation? Is there any evidence that improvements have been made? How well are applicable regulations understood by citizens and stakeholders?
- What quality improvements and efficiencies in service delivery have been achieved?
- To what extent do citizens and interest groups perceive council services have changed in quality and cost effectiveness as a result of the structural reforms?
- Have the objectives of a single system been clearly outlined? Have these objectives been achieved (i.e., single rating system, single IT systems)?
- How have asset management practices changed? What has the impact been on funding and service delivery?
- Are the Auckland Council and CCOs perceived to have a customer-centric approach (is it easy to do business)? Is the Auckland Council responsive to customer needs across the region?
### Long term (transformation)

- Do Aucklanders believe that council services have improved (or equalised) as a result of consolidation? How does this reflect local preferences/priorities? Is it widely perceived as globally successful? How does the level of service provision compare to other places in New Zealand?

- To what extent have lower regulatory costs been achieved? Is council able to procure goods and services at more cost–effective rates than previously?

- Is the Council perceived by citizens, customers and business to be easy to do business with? How has the customer experience changed?

### Key evaluation activities

130 A mix of methods, data sources and evaluation activities is proposed to answer some of the questions outlined above:

- **Case studies of business/service transformations.** This would be a key method for identifying and understanding how consolidation and integration has achieved gains in specific areas of interest such as the new rating system, water pricing, building consenting and inspection. The case studies would incorporate document reviews (including service performance data) and interviews and focus groups with key players. Timing of the case studies would be dependent on when transformations are likely to have occurred. The case studies would aim to:
  - capture successful business transformations in specific regulatory or service development areas (with a focus on new processes/ways of doing things)
  - document what makes the projects successful, including efficiency and other benefits, and
  - identify lessons for local government beyond Auckland.

- **Stakeholder analysis.** Interviews with key stakeholders from the council, businesses, investors and other service users. This would inform the direction of the case study/studies as well as exploring the evaluation questions directly.

131 Some key question areas for this area of focus includes:

- progress towards achieving consolidations and integration of services and regulations
- evidence of efficiency gains, quality changes and cost savings
- regional consistency in service levels, development of a customer focus and ease of doing business with the Auckland Council
- development of a customer focus and ease of doing business with the Auckland Council.
References


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Local Government (Tamaki Makaurau Reorganisation) Act 2009

Local Government (Auckland Law Reform) Bill (as reported back by the Auckland Governance Legislation Committee on 24 May 2010)

McDermott, Philip (2009) The Call for Integrated Planning, Briefing paper prepared for the Royal Commission on Auckland Governance


Statistics New Zealand (2009) Good Practice Guidelines for the Development and Reporting of Indicators

Appendix 1:  Examples of local board roles

In reporting back on the third bill on 24 May 2010, the Auckland Governance Legislation Committee commented that:

For non-regulatory activities, local boards can expect to make decisions in the following areas:

Local board planning, financial and asset management: Decisions of local boards would have to deal with

- The content of local board plans and agreements
- Variations to region-wide service standards for local areas and their funding
- Local funding and operational grants
- Local renewal works
- Local capital expenditure, including prioritisation of projects
- Monitoring local board agreements

Governance: Decisions of local boards would deal with

- Local civic duties, engagements, and functions, such as citizenship ceremonies and recognition of volunteers
- Engagement with local communities and stakeholders, including the Māori Advisory board, local iwi, and the Pacific and Ethnic Advisory Panels
- Advocacy to the governing body, CCOs, central Government departments, and other agencies
- Local policy positions on draft regional strategies, policies, plans and bylaws
- Local policy positions on draft statements of intent for CCOs
- Local matters that should be reported to the governing body
- Submissions to the Government on legislation affecting the local board area and communities

Community development, arts and culture events: Decisions of local boards would deal with
- Local arts and culture facilities, including their location, design and use
- Service levels for local arts and culture facilities, such as opening hours, fees and charges
- Local public artwork
- Local arts and culture programmes
- Funding and advice to local arts and culture organisations
- Local community facilities, including their location, design and use
- Service levels for local community facilities, including opening hours, fees, and charges
- Providing community advisory services
- Local community safety programmes and projects
- Local community development programmes
- Providing funding and advice to local community organisations

Libraries: Decisions of local boards would deal with
- Local library facilities, including the location and design of new facilities and upgrades to existing facilities
- The facilities, programmes, and events to be provided within libraries
- Local library collections policy
- Service levels for local libraries, including opening hours, fees and charges

Parks, sport and recreation: Decisions of local boards would deal with
- Local parks and reserves, including the location, names and design of new parks, and upgrades to existing parks
- Beaches and camping grounds within local parks
- Reserve management plans for local parks
- Service levels for local parks, including mowing frequency, planting and weed control
- Local sports and recreation facilities, including their location, design and use
- Service levels for local sports and recreation facilities, including opening hours, fees and charges

- Local sports and recreation programmes

Economic development and town centre upgrades: Decisions of local boards would cover

- Town centre upgrades (with the exception of significant upgrades to the CBD and regional centres), recognising that in developing any upgrade affecting the Auckland transport system the local board would need to work with Auckland Transport

- Local centre branding and marketing strategies

- Targeted rates for local main streets and business improvement districts

- Representation of the local board on main-street associations and business improvement district programme executive boards

- Projects initiated by local main-street associations and business improvement district programme executive boards

Environmental management, protection, and enhancement: Decisions of local boards would deal with:

- Wetland restoration and beautification of waterways in local parks

- Local variations to region-wide refuse and recycling services, providing these changes can be accommodated in the region’s Waste Minimisation and Management Plan

- Local waste management projects and education programmes

Local boards would be making decisions about local bylaws to be proposed to the governing body. The governing body could also delegate regulatory functions to local boards.

Regarding transport, local boards could be delegated decisions (other than making bylaws) on such matters as:

- Levels of service for local roads, footpaths, and town centres in the local area

- Proposals for transport bylaws that impact on the operation of the transport network, but which also may have an impact on the character of the local area.