

Working Paper 2022/05

Best Practice:

Guidance for Policy Analysts Preparing
Government Department Strategy Documents

Title	<i>Working Paper 2022/05 – Best Practice: Guidance for Policy Analysts Preparing Government Department Strategy Documents</i> This paper forms part of the Institute’s StrategyNZ and CivicsNZ projects.
Author	McGuinness Institute
Citation	Please cite this publication as: McGuinness Institute. (July 2022). <i>Working Paper 2022/05 – Best Practice: Guidance for Policy Analysts Preparing Government Department Strategy Documents</i> . Retrieved from www.mcguinnessinstitute.org/publications/working-papers
	Copyright © McGuinness Institute Limited, July 2022 ISBN – 978-1-990013-90-4 (paperback) ISBN – 978-1-990013-91-1 (PDF)
	This document is available at www.mcguinnessinstitute.org and may be reproduced or cited provided the source is acknowledged.
2021/22	Thomas Augustowicz, Reuben Brady, Eilish Cartysquires, Gemma Coutts, Madison Crisp, Anna Kissock, Arne Larsen and Patrick Shonakan
2018/19	Reuben Brady, Wei Kai Chen, Holly Diepraam, Madeleine Foreman, Isabella Smith and Freya Tearney
2014/15	Annie McGuinness, Renata Mokena-Lodge, George Spittle, Karri Shaw and Hannah Steiner-Mitchell
Designers	Dana King and Sophie Wells
Editor	Caren Wilton
For further information	McGuinness Institute Phone (04) 499 8888 Level 1A, 15 Allen Street PO Box 24222 Wellington 6011 New Zealand www.mcguinnessinstitute.org
Disclaimer	The McGuinness Institute has taken reasonable care in collecting and presenting the information provided in this publication. However, the Institute makes no representation or endorsement that this resource will be relevant or appropriate for its readers’ purposes and does not guarantee the accuracy of the information at any particular time for any particular purpose. The Institute is not liable for any adverse consequences, whether they be direct or indirect, arising from reliance on the content of this publication. Where this publication contains links to any website or other source, such links are provided solely for information purposes, and the Institute is not liable for the content of such website or other source.
Publishing	The McGuinness Institute is grateful for the work of Creative Commons, which inspired our approach to copyright. This work is available under a Creative Commons Attribution-Noncommercial-Share Alike 3.0 New Zealand Licence. To view a copy of this licence visit: http://creativecommons.org/licenses/by-nc-nd/3.0/nz

Contents

1.0	Introduction	5
1.1	Purpose	5
1.2	Background	5
2.0	Checklist for policy analysts	6
2.1	Publication information	7
2.2	Content	8
2.3	Low-level systems – horizontal connections	10
2.4	High-level systems – vertical connections	11
3.0	Best practice strategy documents	13
3.1	How to ensure your strategy is transparent	13
3.1.1	Element 1: Opportunities and Threats	14
	Sub-element 1.1: Does it identify opportunities going forward?	14
	Sub-element 1.2: Does it identify threats going forward?	14
	Sub-element 1.3: Does it contain a clear statement describing the problem that this strategy is trying to solve?	15
3.1.2	Element 2: Capabilities and Resources	15
	Sub-element 2.1: Does it identify current and future capabilities?	15
	Sub-element 2.2: Does it identify what capabilities it does not have and needs to acquire or work around?	15
	Sub-element 2.3: Does it identify current and future resources?	16
	Sub-element 2.4: Does it identify what resources it does not have and needs to acquire or work around?	16
3.1.3	Element 3: Vision and Benefits (Purpose)	16
	Sub-element 3.1: Does it provide a clear vision as to what success would look like (a desired future condition)?	17
	Sub-element 3.2: Does it identify who the beneficiaries are and how they will benefit?	17
	Sub-element 3.3: Does it describe how success will be measured and over what time frame?	17
3.1.4	Element 4: Approach and Focus (Strategy)	17
	Sub-element 4.1: Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other?	18
	Sub-element 4.2: Does it identify a range of strategic approaches to solve the problem?	18
	Sub-element 4.3: Does it clearly describe the chosen approach, outlining what it will and will not do?	18
	Sub-element 4.4: Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)?	19
3.1.5	Element 5: Implementation and Accountability	19
	Sub-element 5.1: Does it identify who is responsible for implementing the GDS?	19
	Sub-element 5.2: Does it identify who will report on its progress?	19

	Sub-element 5.3: Does it explain how progress will be reported (e.g. reports and statistics) and over what time frame?	20
	Sub-element 5.4: Does it discuss whether the GDS will undergo a review once it is completed, updated or expired?	20
3.1.6	Element 6: Alignment and Authority	20
	Sub-element 6.1. Does it discuss predecessors to the strategy and identify any lessons learnt from these?	20
	Sub-elements 6.2 and 6.3: Does it align with its department’s statement of intent (6.2) and annual report (6.3)?	21
4.0	Policy knots, list of recommendations and final thoughts	22
4.1	Outstanding questions	22
4.2	List of recommendations	23
4.3	Final thoughts	23
	Glossary	24

List of Appendices

	Appendix 1: Examples of best practice for elements 1–6	25
	Element 1: Opportunities and Threats	26
	Element 2: Capabilities and Resources	35
	Element 3: Vision and Benefits (Purpose)	53
	Element 4: Approach and Focus (Strategy)	66
	Element 5: Implementation and Accountability	93
	Element 6: Alignment and Authority	103

List of Tables

	Table 1: 2021 GDS Index publication series	5
--	--	---

List of Figures

	Figure 1: GDS Scorecard	13
--	-------------------------	----

List of Boxes

	Box 1: Checklist for policy analysts	6
--	--------------------------------------	---

1.0 Introduction

1.1 Purpose

Government department strategies (GDSs) assist government departments in carrying out their roles by providing continuity despite ministerial and governmental change. Effective strategy helps government solve challenging problems, which is why GDSs are important instruments in managing the long-term interests of New Zealanders.

This paper is intended as a guidance document for policy analysts preparing GDSs. It presents examples of best practice across all 221 operational GDSs as at 31 December 2021, relevant insights from the 2021 *GDS Index* and recommendations for strengthening strategic capacity and capability across government departments.

1.2 Background

The 2021 *GDS Index* aims to illustrate how Aotearoa New Zealand might strengthen GDSs to be more effective, responsive, measurable, comparable and durable through public consultation, engagement and ownership. If government departments make the content of GDSs more useful, the users of these strategies will be better able to assess their quality and, where appropriate, to work with government to deliver better outcomes more cost-effectively. The Institute regularly updates the *GDS Index* so that information can be measured, analysed and tracked over time.

GDSs drive and guide public policy. These strategy documents provide citizens with a window into the workings of government and act as critical instruments for policymakers in bringing about change. GDSs help build trust in government activities through transparency, accountability and public engagement. The preparation of GDSs is a significant public investment, and although a great deal of thought and effort goes into their creation, they are often difficult to find within the machinery of government.

The content presented in this Paper has been extracted from *Working Paper 2022/04 – Analysis of Government Department Strategies between 1 July 1994 and 31 December 2021* (see Table 1 below). The Institute determined that best practice examples carry more weight if they are presented in a targeted guidance document. Through creating this paper, it is our intention to provide a useful starting and/or reference point for those working to ensure that Aotearoa New Zealand gets the public service it needs (namely through strategy documents that effectively drive change).

Table 1: 2021 GDS Index publication series

Title in 2021 GDS series	Type of publication	Title of publication
2021 <i>GDS Index</i> Handbook	<i>GDS Index</i> Handbook	<i>2021 Government Department Strategies Index Handbook – He Puna Rautaki</i>
Methodology	Working Paper	<i>Working Paper 2022/01 – Methodology for the 2021 Government Department Strategies Index</i>
Lists of GDSs	Working Paper	<i>Working Paper 2022/02 – Complete Lists of Government Department Strategies Between 1 July 1994 and 31 December 2021</i>
Scoring	Working Paper	<i>Working Paper 2022/03 – Scoring Tables Collating and Ranking Government Department Strategies in Operation as at 31 December 2021</i>
Analysis	Working Paper	<i>Working Paper 2022/04 – Analysis of Government Department Strategies Between 1 July 1994 and 31 December 2021</i>
Best Practice	Working Paper	<i>Working Paper 2022/05 – Best Practice: Guidance for Policy Analysts Preparing Government Department Strategy Documents</i> (this document)
Strategy Maps	Working Paper	<i>Working Paper 2022/06 – Strategy Maps: Copies of All Strategy Maps found in Government Department Strategies in Operation as at 31 December 2021</i>
Analysis of Climate Change	Working Paper	<i>Working Paper 2022/07 – Analysis of Climate Change in Government Department Strategies as at 31 December 2021</i>
Analysis of Poverty	Working Paper	<i>Working Paper 2022/08 – Analysis of Poverty in Government Department Strategies as at 31 December 2021</i>
Slideshare	2021 Overview	<i>Presentation slides from the 2021 GDS Index launch</i>

2.0 Checklist for policy analysts

This section contains an overview of characteristics that the Institute deems critically important for the development of an effective and successful GDS. In addition to the Scorecard (which outlines the information readers need to know to assess the quality of a GDS, see Figure 1), this section aims to provide further guidance and resource for those preparing GDSs.

Box 1 (below) contains a high-level summary of characteristics raised throughout Section 2.0. This checklist is also included in the *GDS Handbook* and is designed by the Institute to be a well-informed reference point for GDS preparers to familiarise themselves with.

Box 1: Checklist for policy analysts

The publication identity

On the front few pages:

1. The GDS's official title, in English and te reo Māori (ensure that the title is sufficient to portray the purpose of the strategy and is consistently referred to throughout the GDS),
2. The original date of publication (and the date of release to the public, if different from the publication date),
3. The name of the author/s (if more than one department jointly signed the strategy),
4. The identification of the lead department (if one department has an higher obligation to implement/lead than other departments listed),
5. The ISBN number, permalink and how the GDS is to be cited,
6. The GDS's genealogy:
 - If the strategy is republished with an addendum or update, this history should be acknowledged, using the original publication name and date as a starting point,
 - If the strategy replaces a previous strategy, the older strategy's name and publication date should be stated,
 - If the strategy is 'required by law' or is optional (e.g. the law states 'may issue a strategy'), the section and name of the legislation should be stated,
7. The GDS's place in the strategy hierarchy (what other strategies lie above and below the GDS and its connection to other GDSs inside and outside the department),
8. The names of any other organisations that are partners in the strategy, and
9. The signature of the responsible department(s)' chief executive(s). The Institute does not believe it is appropriate for a Minister(s) to sign a GDS.

The core content: the purpose and strategy

10. A purpose statement of what the GDS aims to achieve (or solve),
11. A strategy statement that summarises how the department will achieve the purpose,
12. A one-page strategy map,
13. The benefits: a target audience statement on who will benefit (and how),
14. The costs and risks: an estimate of the cost over time against a projected time horizon and what possible obstacles and limitations might impact the strategy over that period,
15. Clarify whether the strategy is internally focused (e.g. designed to improve the inner workings of the department), or externally focused (e.g. designed to bring about change in the wider environment),
16. Review the Scorecard to see what other information could be included, and
17. A date by which the GDS will be reviewed and/or a list of factors that would lead to a review.

Accessibility and accountability

18. Describe the consultation process: who was involved and when,
19. List the government priority/ies that relate directly to the GDS (if appropriate), and
20. Ensure the PDF of the GDS is easy to find and searchable:
 - Include a list of all GDSs in operation in the department’s annual report, statements of intent and briefings to the incoming Minister (BIM),
 - Include a list of all GDSs that were achieved in the last financial year in the department’s annual report,
 - Include a list of all GDSs in operation (and GDSs archived in the last ten years) on the department’s website.

Sections 2.1 to 2.4 provide more in-depth explanations regarding the Institute’s observations on various GDS characteristics. The Institute has also proposed various recommendations relating to each characteristic that are necessary for instilling stronger strategic capacity and capability across government departments.

2.1 Publication information

As mentioned above, GDSs carry an array of purpose for many different stakeholders. For the general public, they provide a window into the workings of government, communicate foresight, and help build trust in government activities through transparency, accountability and public engagement. The following section identifies the working components behind ensuring GDSs are as transparent and available as possible.

(i) Accessibility

As previously observed in the *2018 GDS Index*, there continues to be no formal process for publishing and archiving GDSs. There is no central platform on which strategy documents can be stored, nor is there a continually updated list that indicates which GDSs are currently operational, and which have been archived. It is difficult to locate GDSs on a department’s website or elsewhere, and difficult to determine their operative status. Research for the *2021 GDS Index* found that 26% of the documents failed to provide a publication date. This is an increase from the *2018 GDS Index* which found that 18% of the documents failed to provide a publication date.

Government department websites usually have a specific section for ‘corporate publications’ such as annual reports and statements of intent/strategic intentions. However, very few departments have a specific section on their websites for GDS documents. Even fewer clearly indicate which documents are operational and which documents were archived. The different treatment of GDSs in comparison to other corporate documents is surprising given both document types outline directions for the government department’s future. Statements of strategic intent (or strategic intentions) are useful but are only published every three years and therefore do not provide a regular update on GDSs in operation. Furthermore, they are not well known in the public arena.

Recommendation 1: The Institute recommends that the Public Service Commission creates a centralised list of all operational and archived GDSs to be updated regularly. This data could be copied from the *GDS Index*, which has PDFs of the 221 GDSs currently operational, and the 548 GDSs since July 1994. This recommendation was also made in the *2018 GDS Index*.

Since this recommendation was first made the Public Service Act 2020 has introduced a new foresight instrument into legislation – Long Term Insights Briefings (LTIBs). The requirement to produce LTIBs brings public accessibility into department foresight and long-term thinking. However, poor accessibility of operational GDSs means there is a public accessibility/transparency gap between public sector foresight and strategy.

Why does this gap matter?

Greater ease of locating GDSs would not only provide the public with increased visibility of department strategic planning and thinking, but also allow them to engage with the question of whether the dots connect between a department's preferred future and its means of achieving that future.

(ii) GDS document history

Information on the history of strategies tended to be largely undocumented or unavailable. This includes indication of: whether a strategy had been replaced by other strategies; whether it had been amended with updates or addenda; whether the department(s) that held it had changed; or whether there had been changes to its title. Without this historical information, it is difficult to know what department is responsible for what strategy, why strategies may have changed ownership, whether previous strategies had been successful and why they may have adapted/shifted over time.

GDS documents should be as user-friendly as possible. In practice, this means strategy documents should clearly present basic information such as publication dates and the names of those who have signed off the document on the document itself. This information could also be displayed on the department's website. In some cases, government departments were unable to provide the publication dates of GDSs when this information was requested under the OIA (e.g., Department of Corrections' *National Historic Heritage Strategy* [GDS03-01]).

Reviewers observed some improvement in the inclusion of institutional back story and history in more recent GDSs, particularly those published after 2019. An example of this is the *Diversity and Inclusion Strategy 2021-2025* (GDS07-01, GDS26-01) (jointly held by the Government Communications Security Bureau (GCSB) and the New Zealand Security Intelligence Service). This GDS discusses its own back story and history, referring to the previous strategy's dates, aims and development. It also sets out the goals/targets of the previous strategy and whether they have been met. The Ministry of Transport's *Road to Zero – New Zealand's Road Safety Strategy 2020-2030* notes the change in GDS title from the previous *Safer Journeys 2010-2020* to the current title. The improvement is encouraging. However, the existence of this information in GDSs, and the level of detail where it did exist, was still found to vary considerably.

Recommendation 2: The Institute recommends government departments include a section detailing the institutional back story and history of each GDS (previous strategies, versions, titles, addenda, dates, etc.). This should include the reasons behind any changes.

(iii) Accountability

Information on accountability processes and mechanisms was often unavailable or very brief and varied across GDSs and departments. This includes information about who (a person/particular position or organisation) holds responsibility for implementing the GDS or whether the GDS has met the objectives set out in the strategy necessary to achieve the overarching vision. Accountability is critical to building public trust and confidence in the public sector. When information is not available about GDS accountability mechanisms, it is difficult to understand what 'checks' are in place for that strategy.

(iv) External accountability mechanisms

Depth of information about accountability processes and mechanisms varied considerably across GDSs. Whereas the *GDS Index* has focused on internal accountability mechanisms (element 5 of the scorecard), an example of external accountability was highlighted by reviewers. The Ministry of Health's *Planned Care Strategic Approach 2019 – 2024* (GDS19-36) discussed the review of the previous strategy by the Office of the Auditor-General (OAG). While the GDS did not detail the OAG's findings at length, it highlights a possible accountability mechanism which could be used more frequently, where applicable.

2.2 Content

This section outlines observations regarding the content of GDSs across the 2021 *GDS Index*. It begins with some broad points and then breaks our observations down into five of the elements (and their sub-elements) assessed by the *GDS Index* Scorecard. Regarding GDS content, the Institute's overall observation is that there is a notable lack of consistency across strategy documents, which is most likely due to the absence of any overarching guidance document.

(i) Consistent strategic terminology

Strategic language is inconsistently used in GDSs. While there was an observed improvement in the consistency of language used in GDSs published since the 2018 *GDS Index*, a wide variety of strategic language is still used across government departments. Terms such as ‘approach’, ‘goals’, ‘objectives’, ‘outcomes’, ‘priorities’, ‘strategy’, ‘vision’ and ‘values’ were used to different affect by different departments. As observed in the 2018 *GDS Index*, the use of terminology less tied to strategy (e.g. ‘impacts’ and ‘themes’) further reduces the sense that there is a common, easily understood language in strategy development. As corporate documents, GDSs are vulnerable to the same weaknesses of corporate jargon.

When discussing what the Institute refers to as ‘goals’, some departments used the term ‘strategic objectives’ while others opted for ‘outcomes’, ‘objectives’, ‘priorities’ or ‘action areas’ in their GDS documents. When discussing what the Institute refers to as ‘visions’ (desired future conditions), some GDSs seemed to blur the line between a comprehensive description of future conditions and more implementation-based ‘outcomes’.

Terminology confusion issues can also carry over into structural problems. For example, there is an increase in GDSs setting out information according to ‘strategic themes’ or ‘principles’ without an explanation of what these are. These may be terms used in place of ‘strategic outcomes’, which in turn could suggest that departments are reluctant to commit to specific actions or outcomes.

Recommendation 3: The Institute recommends the Public Service Commission produce clear guidance outlining the proper use of relevant terminology to be applied consistently by all government departments in their strategy and corporate documents.

(ii) Visual communication

Visual features such as infographics, charts and strategy maps in GDSs help readers to quickly understand key processes, actions and opportunities, which then increases the likelihood that the public will engage and collaborate with the goals of the GDS. They also help highlight information, outline large amounts of data succinctly and draw connections between the different components of a strategy (resources, goals, threats, etc.). Illustrations and visual features are most beneficial when accompanied by explanatory text. Tables were found to be highly effective for communicating large volumes of information and were often used by high-scoring GDSs and best-practice examples.

Although illustrations can improve the readability of a GDS document, they risk having the opposite effect if they oversimplify the GDS. GDSs that do this may be operating on the assumption that an illustration sufficiently explains a strategy when in fact further detail is needed. For example, some GDS documents include lists of strategic outcomes/objectives that set out the components of desired future conditions as part of visually appealing graphs or tables. In this way, they become hybrids of incomplete strategic objectives and vision statements.

The observed use of strategy maps within GDS documents has been increasing since the Institute began such analysis. In the 2021 *GDS Index*, approximately 35% of GDSs (77 out of 221) included at least one strategy map. For a more in-depth look into the strategy maps of the 2021 *GDS Index*, see *Working Paper 2022/06 – Strategy Maps: Copies of All Strategy Maps Found in Government Department Strategies in Operation as at 31 December 2021*.

Recommendation 4: The Institute recommends the Public Service Commission produce clear guidance on the value and use of strategy maps.

(iii) Structure

GDSs should be structured logically to make them easy to read, navigate and understand. Interestingly, many high-scoring GDSs had a similar structure. They first introduced the current situation and strategic context and then outlined current and future threats and opportunities. This helps to communicate why the GDS is important and gives insights into the problem it is trying to solve (elements 1 and 2).

Second, these GDS documents commonly outlined broad goals and an overall vision of success. Goals were elaborated on in detail, outlining strategies and actions for achieving them. The best GDSs included

time frames for completing each individual action or sub-strategy, with some including visions of success for each individual goal (elements 3 and 4). Visions of desired future states were included in almost all GDSs. They ranged from overall visions for a successful strategy, to specific visions of success for each separate goal (sub-element 3.1).

Finally, after outlining their goals, the highest-scoring GDS documents included a section on how they would implement, monitor and review the GDS (element 5). There was considerable variation in the depth of discussion in respect of review processes. Many GDSs briefly mentioned the need to review or update the GDS in the future, without further elaboration. However, very few GDS documents, including high scoring ones, completed a final review before the GDS was archived (sub-element 5.4).

Recommendation 5: The Institute recommends the Public Service Commission produce clear guidance outlining a logical structure for GDSs to be applied consistently by all government departments.

2.3 Low-level systems – horizontal connections

This section explores how (with alignment, stewardship and inter-departmental partnership) GDSs could be more collaborative, useful and efficient. In this section, the Institute discusses the horizontal relationships across departments.

(i) Collaboration across departments

On occasion, GDS documents described the relationships involved in their implementation. Such relationships varied from meaningful collaboration and joint ownership of GDSs to simple engagement and consultation between departments. Descriptions of relationships also included discussion of which agencies might be contributing to strategic outcomes, as well as involvement of other outside-of-government entities.

Since July 1994, 59 GDSs have been jointly held across government departments. Of the 221 operational GDSs as at 31 December 2021, 33 (15%) are jointly held. This is a significant increase from the 2018 *GDS Index*, where 11 out of 148 (7%) GDSs in operation as at 31 December 2018 were jointly held.

Observations from GDS analysis show a step-change in department practice towards greater collaboration on strategic planning. However, whilst an increase, less than a fifth of operational GDSs are still jointly held by more than one department. This raises the question: how far should collaboration extend? Is there further scope for collaboration on overlapping issues? The Institute undertook research in 2021 regarding joint LTIBs. It found significant interest (83% of survey respondents) in joint LTIBs. Given the relationship between strategy and foresight it is suggested there may be corresponding appetite for joint strategic planning. The Institute's view is that there exists further scope, and need, for collaboration across departments.

Recommendation 6: The Institute recommends government departments clearly state in the GDS document any parties that have collaborated on the GDS and outline the level of collaboration involved (e.g. public consultation, cross-department engagement, joint ownership).

(ii) Stewardship

There is no standardisation of what government departments consider to be GDSs, with operational GDSs indicated in OIA responses ranging from simple one-page posters to lengthy strategic reports. This means there is also no standardised way of producing GDSs, resulting in different structures, varied types of information and inconsistent terminology. A focus on standardisation and oversight would improve comparability between government departments as to the effectiveness GDSs. If there was some form of stewardship over what is expected from departments in the development of strategies, this could improve efficiency in resource allocation and communication between departments and the Crown. Stewardship might also increase the number of jointly held GDSs and reduce the number of GDSs in operation overall. Interestingly, the number of GDSs published by a department did not necessarily correlate with the number of GDSs the department jointly held. That is, more GDSs does not necessarily

mean more jointly held GDSs. For example, the Ministry of Health published 48 of the 221 operational GDSs (22%), and held just 2 of the 13 unique joint GDSs (15%). The Department of Conservation published 15 of the 221 operational GDSs (7%), but 5 of the 14 unique joint GDSs (35%).

Recommendation 7: The Institute recommends the Public Service Commission formalise the stewardship of GDS documents with an oversight role. This role could be responsible for preparing the standard guidance to be applied by all government departments.

2.4 High-level systems – vertical connections

(i) Alignment with broader government priorities

It is unclear where GDSs fit in the broader machinery of government. Currently GDSs are not required to be signed off by the Crown. Of the 221 operational GDS documents, just under half (44%) were ‘signed by the Crown only’. Only 68% of GDS documents in the 2021 *GDS Index* were signed. This suggests that there is misalignment between government priorities and the strategic processes of different departments. There appears to be a lack of communication vertically with the Crown. Furthermore, only 25 of the 221 operational GDSs are embedded in legislation, which raises concerns over the longevity and value of strategies that do not clearly align with the broader goals of government and legislation.

Recommendation 8: The Institute recommends the Public Service Commission formalise the relationship between GDSs and other corporate and strategy documents, possibly in legislation.

(ii) Political cycles and short-termism

GDSs developed as part of specific government programmes tend to be archived when a new government is elected. For example, the Better Public Services series of GDSs was discontinued when Labour took over from National in 2017. These GDSs ran across several departments and shared the Better Public Services brand and thinking to discuss how specific results would be delivered in a number of problem areas. The State Services Commission (now the Public Service Commission) confirmed in January 2018 that the Better Public Services programme would not continue in this form and the programme was archived (SSC, 2018). Since the 2015 *GDS Index*, 25% of GDSs were replaced by new ones.

Recommendation 9: The Institute recommends government departments ensure that replacement statuses are clearly indicated in new GDSs and outline the relationship between the previous strategy and its replacement.

(iii) Use of te reo Māori in title

Only 56 out of 221 operational GDSs (25%) have titles that use both te reo Māori and English. Of the 56, 15 were jointly held, leaving 41 unique GDS documents. One GDS that is jointly held, has a te reo only title, this is *Te Kaweka Takohaka mō te Hoiho 2019–2029* (jointly held between DOC and MPI). This is an increase from the 2018 *GDS Index*, where 25 out of the 148 operational GDSs (17%) had titles that used both te reo Māori and English. Of the GDSs that were signed by the Crown (98 of 221 GDSs), 23 of these GDSs had titles in both English and te reo Māori. Notably, there was an increase in the use of te reo Māori titles in GDSs published after 2019.

If departments are interested in increasing the accessibility of their GDS documents, they should be embracing use of both of Aotearoa New Zealand’s official spoken languages. It is the Institute’s view that all GDS documents should have both te reo and English titles, to aid public accessibility of the GDS documents and to demonstrate a commitment to all New Zealanders.

Recommendation 10: The Institute recommends government departments consider including both te reo Māori and English titles in all new GDS documents.

(iv) Strategic intentions/statements of intent

The link between statements of intent/strategic intentions and GDSs is weak. Statements of intent/strategic intentions do not always refer to operational GDSs because they are not required to. Statements of intent/strategic intentions are only required to be published every three years and they are further weakened by their inconsistency of form (e.g. separate statements or incorporated into other documents such as annual reports), making them difficult to locate.

Recommendation 11: The Institute recommends that statements of intent should be fully replaced with a 'strategic intentions' section in the annual report (and therefore should be produced annually). This section should list all operational GDSs held by the department, and provide an explanation of what was archived and why in the last 12 months. It would also be good practice to identify strategies and processes (e.g. out for consultation).

(v) Alignment with legislation

For the 2021 *GDS Index* the Institute analysed New Zealand legislation to identify what legislative requirements existed for GDS publications, and whether there was any difference between GDSs that were published as a result of a legislative requirement, and those that were not (in terms of quality of the strategy document, time horizons, review processes and frequency with which they were updated).

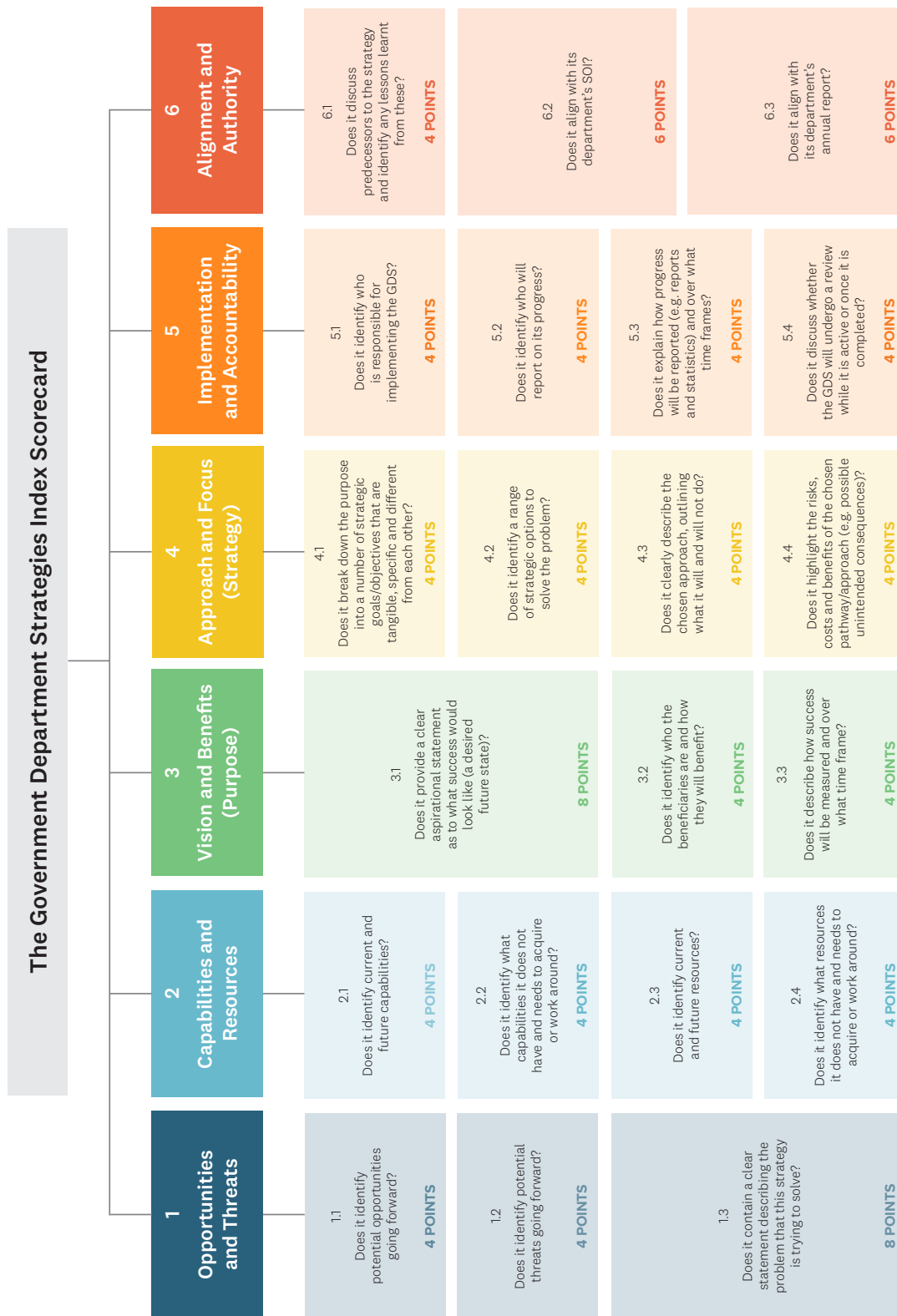
3.0 Best practice strategy documents

3.1 How to ensure your strategy is transparent

As previously mentioned, the development of an effective strategy document requires careful consideration across a range of characteristics (as seen in Section 2.0). Section 3.0 adds further resource and guidance necessary for instilling stronger strategic capacity and capability across government departments.

The Institute has provided an example of best practice for each sub-element of the Scorecard (see Figure 1 below). The actual examples using of GDSs in operation can be found in Appendix 1: Examples of best practice for elements 1–6.

Figure 1: GDS Scorecard



3.1.1 Element 1: Opportunities and Threats

(i) Overview

Element 1 asks ‘what is the external environment?’. The description of the ‘external environment’ is essential for a robust strategy as it requires drafters and users to examine the current situation, conceptualise threats, devise solutions and find ways to maximise opportunities that arise in the focus area. GDSs that scored well in this element have a clear picture of the external environment they operate within.

They describe the opportunities to be gained from the GDS's implementation and outline the potential threats to its vision.

GDSs often scored highly in either sub-element 1.1 (does it identify opportunities going forward?) or sub-element 1.2 (does it identify threats going forward?), but did not score highly in both. GDSs that excelled in sub-element 1.1 tended to focus on what benefits and opportunities the strategy could bring and did not explore potential or existing threats. Conversely, GDSs that excelled in sub-element 1.2 talked extensively about threats and how the GDS could prevent them, but did not mention any future opportunities.

GDSs that scored highly in sub-element 1.3 (is there a clear statement describing the problem the strategy is trying to solve?) described the contextual background and the current external environment of the GDS in significant detail. 'Problem articulation' was given a weighted score (out of eight) to demonstrate the importance of this sub-element. Our view is that without comprehensive and considered scoping of the problem, all following sections of the GDS lack context.

(ii) Best practice examples

Sub-element 1.1: Does it identify opportunities going forward?

Best practice example 1: Department of the Prime Minister and Cabinet
National Disaster Resilience Strategy – Rautaki ā-Motu Manawaroa Aituā (GDS05–01), pp. 46–47.

This GDS identifies the opportunities that exist within the GDS's external environment and discusses opportunities which may come about through the implementation of the strategy. Unique to this GDS is the identification and discussion of 'wild cards' – factors which will 'transform the way we live', presenting both challenges and opportunities in the external environment. This demonstrates understanding of how the external environment may change or be impacted in the future and the possible opportunities that may arise.

Sub-element 1.2: Does it identify threats going forward?

Best practice example 2: Ministry for Primary Industries
Harvest Strategy Standard for New Zealand Fisheries (GDS12–02), p. 13.

This GDS includes well-informed discussions on the various types of threats that exist in the GDS's focus area. The strategy has been applied to specific fishery situations, which provides more context and information about potential future threats – as they are expressed in present terms. This demonstrates that the strategy has effectively identified and communicated threats in a way that readers can understand.

Best practice example 3: Department of the Prime Minister and Cabinet
Cyber Security Strategy 2019 (GDS05–02), pp. 4–5.

This GDS discusses the nuances of the threats that exist in the GDS focus area, and uses examples and a case study to demonstrate the nature of the threats. The GDS also highlights where the extent or impact of some threats are not yet known. This demonstrates an in-depth understanding of the external environment, including the 'known unknowns'.

Sub-element 1.3: Does it contain a clear statement describing the problem that this strategy is trying to solve?

Best practice example 4: Ministry of Health
Smokefree Aotearoa 2025 Action Plan (GDS19–48), p. 7.

The problem – stated in the opening paragraph – clearly sets the context of the GDS. It is communicated with confronting and powerful statistics that instantly convey the severity of the issue at hand.

Furthermore, the GDS includes an appendix that more thoroughly describes the problem with respect to many issue areas, which widens the reader's awareness and understanding of its purpose.

3.1.2 Element 2: Capabilities and Resources

(i) Overview

Element 2 asks 'what are the internal strengths and weaknesses?'. GDSs scored well based on whether they sufficiently acknowledged i) any constraints on the strategy due to shortages in skills or resources, ii) how the department would best utilise what was available, and iii) what the department might do in the future to gain greater access to the resources/capabilities it requires.

GDSs tended to score higher in sub-elements 2.1 and 2.2 (does it identify what current and future capabilities it does and does not have?) than sub-elements 2.3 and 2.4 (does it identify what current and future resources it does and does not have?). Those that scored well tended to mention partnerships/relationships or future capabilities such as the integration of new technology infrastructure and systems. Few mentioned current and future resources, and for those that did, they were almost always of a financial nature, disclosing the amount of funding the department or strategy had been given. Even fewer indicated unavailable or desired resources. Documents that scored well in 2.3 and 2.4 were often financial-based, such as investment strategies, and discussed their financial resources in detail.

(ii) Best practice examples

Sub-element 2.1: Does it identify current and future capabilities?

Best practice example 5: Ministry of Defence

Defence White Paper 2016 (GDS16-01), pp. 11-12, 14-15.

This GDS discusses a wide set of capabilities, identifying available inter-departmental and international relationships that the Ministry currently has and will continue to need in the future. The GDS also acknowledges that there are challenges regarding their capabilities, given that the scope of the issue broadens each year. It also looks at harnessing emerging capabilities such as cybertechnology. The clarity with which the GDS outlines capabilities from a national level to an international level and acknowledges the need for further capabilities in the future makes this GDS exemplary.

Best practice example 6: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20-03), pp. 16-18.

The capabilities identified and discussed by this GDS are partnerships and relationships. The GDS identifies who the Ministry will partner with, and how these partnerships will support implementation of the GDS, including what capabilities the identified partner brings to helping achieve GDS implementation.

Sub-element 2.2: Does it identify what capabilities it does not have and needs to acquire or work around?

Best practice example 7: Ministry of Social Development

Elder Abuse in Aotearoa 2020 (GDS23-14), pp. 22-24.

This GDS identifies and discusses current gaps in elder abuse service-delivery capability, as well as possible ways to address gaps. These gaps relate to cultural capability, training/skill gaps, relationships, and personal gaps. This GDS provides specific information about the impact of the gaps in the GDS focus area and for the objectives.

Sub-element 2.3: Does it identify current and future resources?

Best practice example 8: Ministry of Transport

Government Policy Statement on Land Transport 2021/22-2030/31 (GDS24-08), pp. 31, 34-35.

This GDS discusses funding available for delivering the strategy transport priorities. It provides tables breaking down funding availability and purpose of funding, including future funding availability. It also identifies and discusses responsibility for managing the funding.

Sub-element 2.4: Does it identify what resources it does not have and needs to acquire or work around?

Best practice example 9: The Treasury

He Tirohanga Mokopuna 2021 – Combined Statement on the Long-term Fiscal Position and Long-term Insights Briefing (GDS32-03), pp. 75–76.

This GDS identifies various concerns associated with the public finance system that impede the efficacy and robustness of how the system currently operates. The GDS provides a detailed discussion about the areas of concern and relates insights back to the purpose of the strategy. Finally, the GDS communicates how the department is taking action to address these issues, which again is contextualised to explain how this action supports the vision and purpose of the GDS.

Best practice example 10: Ministry of Social Development

Family Violence Funding Approach (GDS23-06), pp. 10, 18–19.

This GDS discusses gaps in funding for the family violence sector, as well as the rationale and priorities behind funding which have given rise to those gaps. The GDS identifies the effect these funding gaps have on service provision, demonstrating in-depth understanding not only of where gaps exist and need to be filled, but the impact of those gaps. The GDS discusses work under way to address some of these gaps, particularly in relation to funding allocation models.

3.1.3 Element 3: Vision and Benefits

(i) Overview

Element 3 asks ‘what is the purpose?’. GDSs scored well if they provided a clear and succinct vision of their desired future, breaking this vision up into a set of specific outcomes and clearly indicating how the strategy aligns with the overarching vision. Part of a clear vision involves identification of stakeholders, who will benefit and in what way. It is equally important that the strategy has a set of measurements and metrics by which it can be reviewed over time to ensure that it remains aligned with its purpose. Our view is that a successful strategy has a considered purpose that enables it to continue on the initial trajectory it set out to follow.

On average, element 3 was the highest-scoring out of the six elements. The majority of GDSs scored well in sub-element 3.1 (does it provide a clear vision of what success would look like?) and most included an overarching statement of what success would look like. Those that scored highly went deeper into specific goals or provided evidence for the need of the strategy. ‘Vision articulation’ was given added weight (out of eight) to highlight the importance of a clear vision. GDSs tended to receive low scores in sub-element 3.2 (does it identify who the beneficiaries are and how they will benefit?). For some GDSs, the title of the strategy document implied who would benefit from the GDS.

The GDSs that excelled in sub-element 3.3 (does it identify how success will be measured and over what time frame?) either provided quantifiable metrics by which progress could be monitored (e.g. a percentage increase or decrease in certain measures) or outlined a set of indicators by which progress could be monitored. High-scoring GDSs included specific dates and time frames. Only a small number of GDSs did not disclose a set of measures.

(ii) Best practice examples

Sub-element 3.1: Does it provide a clear vision as to what success would look like (a desired future condition)?

Best practice example 11: Department of Conservation

Hector’s and Māui Dolphin Threat Management Plan 2020 (GDS02-15), pp. 4-6.

The vision of this GDS is succinctly and clearly communicated in the opening pages of the document.

The vision illustrates a desired future state of what success looks like that is not overcomplicated or diluted by excess information. The vision is then underpinned by a series of goals and objectives that provides readers with more information elaborating on how success will be achieved.

Sub-element 3.2: Does it identify who the beneficiaries are and how they will benefit?

Best practice example 12: Department of the Prime Minister and Cabinet
Child and Youth Wellbeing Strategy 2019 (GDS05-03), pp. 15–17.

This GDS uses statistics to describe, in specific detail, the demographic composition of the beneficiary group resulting from the implementation of the strategy. This demonstrates that the department has considered an in-depth approach toward understanding the intended GDS beneficiaries as part of its strategic development. The GDS also describes how the beneficiaries will benefit in qualitative terms, with associated qualitative and quantitative ‘indicators’ of benefit.

Sub-element 3.3: Does it describe how success will be measured and over what time frame?

Best practice example 13: Department of Internal Affairs
Regulatory Services Group Strategy 2021–2026 (GDS04-09), pp. 23, 25, 27, 29, 31.

This GDS contains a very clear set of measurements of success that keeps the strategy aligned with the purpose and on track to achieve what it has set out to achieve. The GDS has been broken down into the ‘key focus areas’, which in this case are the metrics used to measure success. A three-year timeline (expressed in months) has been included under each ‘key focus area’, which essentially acts as a checklist toward success. This transparently highlights and communicates to readers that a lot of planning has gone into ensuring that this GDS sets out to achieve what it was developed for.

Best practice example 14: Ministry for Primary Industries
Aquaculture Strategy and Five-year Action Plan to Support Aquaculture (GDS12-04), p. 4.

This GDS demonstrates clarity and concision in its measures of success. The GDS contains a specific section titled ‘Performance Measures (we will know we have succeeded when)’. These measures of success are detailed and contain both quantitative and qualitative measures. This information is located in a table, alongside the GDS objectives and associated actions, as well as time frames for completion.

3.1.4 Element 4: Approach and Focus

(i) Overview

Element 4 asks ‘what choices and trade-offs have been made?’. The implementation of any strategy, as with all decision-making, requires consideration of and trade-offs between risks, costs and benefits. Although generally financial, these considerations are the fundamental components of strategic decisions. GDSs scored well if they had weighed up different strategic approaches, connected the vision of the strategy to a particular set of action plans and clearly set out the scope of the overall strategy with tangible and specific goals, acknowledging potential setbacks along the road. Our view is that the process of decision-making should be included in a strategy to further evidence why the strategy has been chosen as the best approach to solve the problem.

Most GDSs scored well in sub-elements 4.1 (does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other?) and 4.2 (does it identify a range of strategic approaches to solve the problem?). The majority of GDSs divided their overarching visions into specific goals and detailed how each goal would be achieved. Few GDSs scored highly in sub-element 4.3 (does it clearly describe the chosen approach, outlining what it will and will not do?) and 4.4 (does it highlight risks, costs and benefits of the chosen approach?), as strategies tended to focus on the chosen approach without mentioning alternative paths to the vision. In general, GDSs did not critically assess whether implementation of the chosen strategic approach would result in undesired costs or risks.

Strategies that scored highly in these sub-elements attempted to foresee any unintended consequences in the implementation of the strategy.

(ii) Best practice examples

Sub-element 4.1: Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other?

Best practice example 15: Government Communications Security Bureau and New Zealand Security Intelligence Service (jointly held)
Diversity & Inclusion Strategy 2021–2025 (GDS07–01), pp. 7, 14–18.

This GDS clearly sets out the overarching vision, and why the vision is important. It discusses what the specific elements of the GDS mean, which makes the GDS content accessible for someone new to the policy area and helps to clearly show the relationship between the vision and subsequently set-out objectives. The objectives contain information and statistics explaining the context, as well as initiatives to meet the objectives.

Best practice example 16: Ministry for Primary Industries
Biosecurity Science Strategy for New Zealand – Mahere Rautaki Putaiao Whakamaru (GDS12–01), pp. ii, 34–37.

The overarching vision of this GDS is clearly broken down into three distinct goals, which are subsequently underpinned by a series of objectives. These goals are identified as the three key areas needing development to achieve the vision and are underpinned by specific and targeted actions. The discussion of goals and objectives, and the relationship between the two, is clear and in-depth.

Sub-element 4.2: Does it identify a range of strategic approaches to solve the problem?

Best practice example 17: Statistics New Zealand
Transforming the New Zealand Census of Population and Dwellings (GDS30–01), pp. 5–6, 13–16.

The GDS outlines a ‘phased’ approach that considers the implications of change over time for strategic direction. The four ‘phases’ correspond to four-year periods, outlining the strategic approach for each of those time frames. The GDS sets out possible options for Aotearoa New Zealand censuses and discusses the opportunities and challenges of each option.

Sub-element 4.3: Does it clearly describe the chosen approach, outlining what it will and will not do?

Best practice example 18: Statistics NZ
Transforming the New Zealand Census of Population and Dwellings (GDS30–01), pp 5–6.

This GDS explicitly discloses and details the chosen approach of the strategy in the executive summary, in which the specific characteristics associated with the approach are listed. The GDS also acknowledges the consideration of other approaches and communicates trade-offs that exist and the reasons why the desired approach was selected. This level of transparency, especially when disclosed in the executive summary, suggests that a lot of thought has gone into not only deciding the approach, but also communicating that process with readers.

Best practice example 19: Ministry of Housing and Urban Development
Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 3, 5, 8–9, 14, 39.

This GDS has a section titled ‘What’s in the GPS-HUD’ early in the document. This section specifically

outlines what is covered and what is not covered in the GDS. Communicating the scope of the GDS in this way means, readers have no doubt as to what approach the GDS is taking and why.

Sub-element 4.4: Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)?

Best practice example 20: The Treasury

He Tirohanga Mokopuna 2021 – Combined Statement on the Long-term Fiscal Position and Long-term Insights Briefing (GDS32–03), p. 56.

This GDS identifies and discusses trade-offs and consequences in relation to health spending. It outlines cost-benefit analysis across three key potential impacts in the focus area. This GDS demonstrates thorough understanding of potential trade-offs and is exemplary for the clarity and concision of the discussion.

3.1.5 Element 5: Implementation and Accountability

(i) Overview

Element 5 asks ‘who is responsible for what?’. GDSs that scored highly in this element identified the person/people responsible for the implementation and continual reviewing of the strategy, as well as detailing a method for the review process. This was a particularly important element for jointly held GDSs. Implementation and accountability was, on average, the lowest-scoring element among the six on the Scorecard. Due to the uncertainty of future events, regular reviews and progress updates are important to ensure that GDSs remain accurate, appropriate and efficient.

Several GDSs scored zero points on sub-element 5.1 (does it identify who is responsible for implementing the GDS?). Full points required those held accountable to have signed the document; however, less than 10% had the required signatures. GDSs that scored well in sub-elements 5.2 (does it identify who will report on its progress?) and 5.3 (does it explain how progress will be reported and over what time frame?) usually included a ‘future’ section that indicated the strategy would receive ongoing reviews throughout its operation, with the strategy adjusted where necessary. Very few strategies indicated that the GDS would undergo a formal final review (sub-element 5.4), creating uncertainty around what the next steps would be following its completion (or incompleteness).

(ii) Best practice examples

Sub-element 5.1. Does it identify who is responsible for implementing the GDS?

Best practice example 21: Ministry of Social Development

E Tū Whānau Mahere Rautaki: Framework for Change 2019–2024 (GDS23–12), p. 53.

This GDS provides a high level of detail about GDS implementation responsibility. The GDS sets out that the Māori Reference Group (MRG) is responsible for implementing the GDS, in collaboration with whānau, hapū, iwi and MSD. The GDS explains what the MRG’s role is, and details the membership of the group. This information is contained in a separate section in the GDS, clearly communicating this information to readers.

Best practice example 22: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 2–3, 43–44.

This GDS clearly identifies the HUD’s responsibility for GDS implementation and monitoring progress towards GDS goals. The GDS discusses tasks the HUD will be involved in, as well as responsibility areas of other agencies. The GDS is signed by the Minister of Finance and the Minister of Housing.

Sub-element 5.2: Does it identify who will report on its progress?

Best practice example 23: Ministry of Health

Faiva Ora 2016–2021 – National Pasifika Disability Plan (GDS19–27), p. 20.

The GDS clearly and succinctly sets out that the Ministry of Health’s Disability Support Services will

monitor and report on GDS implementation and progress. It discusses the process for progress reports, including information about who will report, to whom and when.

Sub-element 5.3: Does it explain how progress will be reported (e.g. reports and statistics) and over what time frame?

Best practice example 24: Ministry for Social Development

Better Later Life Action Plan – He Oranga Kaumātua: Action plan 2021–2024 (GDS23–18), p. 26.

This GDS clearly explains how progress will be reported, and access it provides to the reports. It states that progress will be reported every two years and published on the Office for Seniors website, and provides a link to the reports. This demonstrates an understanding of the important accountability function that reporting plays, including public access to that reporting.

Best practice example 25: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 45, 52–53.

This GDS identifies the detailed approach it takes to progress reporting. It focuses on three key aspects of progress it will report on: progress made towards the vision, impact of the strategy, and progress of delivery of work programmes. Each of these three reporting functions have associated time frames. The division of reporting into three separate categories demonstrates in-depth attention to how progress will be reported (the essence of this sub-category), taking a nuanced approach based on the specific reporting focus.

Sub-element 5.4: Does it discuss whether the GDS will undergo a review once it is completed, updated or expired?

Best practice example 26: Ministry for Primary Industries and Department of Conservation (jointly held)
National Plan of Action – Seabirds 2020 (GDS02–09), p. 20.

This GDS states when and how the strategy will be reviewed. It discusses who will be involved in the review process, and whether the strategy objectives and longer-term goals will need to be changed as a result of the review. The GDS is exemplary for its explanation of how the review will occur, situating it in the context of other reviews occurring in the wider GDS focus area.

3.1.6 Element 6: Alignment and Authority

(i) Overview

Element 6 asks ‘how does it align with the machinery of government?’. GDSs that scored highly in this element recognised the GDS’s position within a wider strategic framework by discussing it in relation to the department’s other corporate documents.

GDSs largely scored low in sub-element 6.1 (does it discuss predecessors to the strategy?), due to a lack of predecessors for the GDS to discuss. Instead, GDSs might discuss current related strategies that the department (or government) has implemented and how the GDS fits in with the other strategies. GDSs that scored highly in this sub-element enable readers to understand historical development, whereby lessons, failures and successes of previous strategies have shaped the current one.

The number of GDSs that discussed sub-elements 6.2–6.4 (does it align with its department’s statement of intent, four-year plan and annual report?) was considerably low, with strategies also not being mentioned in any of the three other corporate documents.

(ii) Best practice examples

Sub-element 6.1. Does it discuss predecessors to the strategy and identify any lessons learnt from these?

Best practice example 27: Ministry of Transport

Road to Zero – New Zealand’s Road Safety Strategy 2020–2030 (GDS24–06), pp. 5, 15–16.

This GDS contains a clear and concise discussion of the strategy that preceded it (Safer Journeys). The discussion is frank about successful elements of Safer Journeys, and where and why implementation fell short of what had been intended. *Road to Zero* contains a specific section titled ‘What can we learn from reviews of Safer Journeys’, highlighting lessons learnt, as well as the benefit of strategy review for improvement.

Sub-elements 6.2 and 6.3: Does it align with its department’s statement of intent (6.2) and annual report (6.3)?

Best practice example 28: Department of Corrections

Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Statement of intent: pp. 4–6, 9, 11–14, 18.

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170.

This GDS is explicitly mentioned across both the department’s statement of intent and annual report.

The corporate documents discuss the strategy in depth, including its development, and the role it plays in achieving department-wide objectives. The depth of discussion across both documents demonstrates a high level of horizontal integration.

4.0 Policy knots, list of recommendations and final thoughts

The Institute uses the term ‘policy knots’ to refer to high-level tensions – complex and interconnected issues that are often difficult to untie. Policy knots are usually caused by strategic issues, such as an unbalanced system, ill-defined purpose, conflicting goals, confusing processes, or a lack of regular reviews (meaning the system fails to refresh and recalibrate). When policy knots are resolved the system can operate without disruption and deliver on its purpose in a cost-effective and timely manner.

In this section, the Institute has posed the observed policy knots as questions that concern important issues regarding the provision of GDS information.

4.1 Outstanding questions

1. What are the roles of the relevant Ministers in relation to each department’s GDSs?
2. What are the implications of a GDS whose stated duration means it is technically finished, but that is still considered operational by a department?
3. Is there a lead department for jointly published GDSs? If not, how can the public determine who is ultimately responsible for the GDS’s implementation?
4. Why are some GDSs archived before the end of their stated duration?
5. When a GDS does not assign responsibility for reporting on progress or completing a final review, who is responsible for reviewing that GDS prior to it being archived, to gain insights as to what worked and what did not?
6. Can the success of a GDS be measured if it never included a duration of time that it was intended to be implemented over? What is the ideal time horizon for a GDS?
7. Is a standardised consultation process undertaken before a GDS is signed off by the chief executive or relevant Minister? If it is undertaken, how does this compare with the consultation process required for LTIBs?
8. Is there a hierarchy of GDSs within government departments and, if so, how is this communicated to staff and the public?
9. Where do strategy stewardship and policy stewardship connect? Does one have oversight over the other?
10. Who is the audience of a GDS? Ministers, government department officials, the public? To what extent are GDSs viewed by departments as a public engagement and communication tool?
11. Does intended audience affect style and content of GDSs? Would greater emphasis on GDSs as a tool for public communication change, for example, the clarity with which the strategy’s problem is articulated, the degree to which technical or sector specific language is used, or the frequency of use of strategy maps?
12. Does Aotearoa New Zealand have too many or too few GDSs in operation? Why is there so much variation in the number of GDSs produced across departments (in the 2021 *GDS Index* the Ministry

of Health produced 48 and the Ministry of Business, Innovation and Employment produced 25, whereas Crown Law produced none and the Education Review Office produced one.

13. Are GDSs an effective policy instrument? If yes, how can they be improved and better integrated?

4.2 List of recommendations

- **Recommendation 1:** The Institute recommends that the Public Service Commission creates a centralised list of all operational and archived GDSs to be updated regularly. This data could be copied from the *GDS Index*, which has PDFs of the 221 GDSs currently operational, and the 548 GDSs since July 1994. This recommendation was also made in the 2018 *GDS Index*.
- **Recommendation 2:** The Institute recommends government departments include a section detailing the institutional back story and history of each GDS (previous strategies, versions, titles, addendums, dates, etc.). This should include the reasons behind any changes. See example in Section 2.1.
- **Recommendation 3:** The Institute recommends the Public Service Commission produce clear guidance outlining the proper use of relevant terminology to be applied consistently by all government departments in their strategy and corporate documents.
- **Recommendation 4:** The Institute recommends the Public Service Commission produce clear guidance on the value and use of strategy maps.
- **Recommendation 5:** The Institute recommends the Public Service Commission produce clear guidance outlining a logical structure for GDSs to be applied consistently by all government departments.
- **Recommendation 6:** The Institute recommends government departments clearly state in the GDS document any parties that have collaborated on the GDS and outline the level of collaboration involved (e.g., public consultation, cross-department engagement, joint ownership).
- **Recommendation 7:** The Institute recommends the Public Service Commission formalise the stewardship of GDS documents with an oversight role. This role could be responsible for preparing the standard guidance to be applied by all government departments.
- **Recommendation 8:** The Institute recommends the Public Service Commission formalise the relationship between GDSs and other corporate and strategy documents, possibly in legislation.
- **Recommendation 9:** The Institute recommends government departments ensure that replacement statuses are clearly indicated in new GDSs and outline the relationship between the previous strategy and its replacement.
- **Recommendation 10:** The Institute recommends government departments ensure that all GDS documents have both te reo Māori and English titles.
- **Recommendation 11:** The Institute recommends that statements of intent should be fully replaced with a 'strategic intentions' section in the annual report (and therefore should be produced annually). This section should list all operational GDSs held by the department and provide an explanation of what was archived and why in the last 12 months. It would also be good practice to identify strategies and processes (e.g. out for consultation).

4.3 Final thoughts

As previously mentioned, this Paper is intended to guide policy analysts through the task of preparing strategy documents. Effective strategy helps government solve challenging problems, which is why GDSs are important instruments in managing the long-term interests of New Zealanders. It is critically important to ensure that preparers of GDSs have the best information and processes available to follow to ensure that GDSs can be as effective, responsive, measurable and comparable as possible to bring about positive change when it is needed most.

GDS Glossary

Aspirational statements

Statements that are future focused. Common aspirational statements are vision, values, purpose and mission statements. Although these terms have slightly different meanings, they are often used interchangeably.

Capabilities

Soft skills (including existing relationships and in-house expertise). See also resources.

Element

An element is a characteristic that is considered of primary importance in the publication of a GDS. In the *GDS Index*, there are six high-level elements that make up the Scorecard. See the Scorecard on p. 13.

Explicit mention of a GDS

This is where the exact title of the strategy was found in either English and/or Māori. There are a few exceptions to this rule, e.g. where the full title is not given (e.g. it is missing the subtitle), but there is supporting information and context that makes it clear which GDS it is. The test is that there is no doubt what strategy document is being referred to (e.g. it could be requested under the OIA by name).

Good strategy

Determining what makes a good strategy is a matter of judgement. The aim of the *GDS Index* is to provide the reader with sufficient information to make their own assessment on the quality of the strategy.

Government department

The term 'government department' refers to the entities on the list of 'Departments of the State Service' in Schedule 2 of the Public Sector Act 2020. On 1 July 2022, Te Kāhui Whakamana Rua Tekau mā Iwa—Pike River Recovery Agency is to be disestablished. The list in the Schedule reflects the *GDS Index*, in terms of the department's name and order.

Government department strategy

A 'government department strategy' must:

1. be a publicly available document accessible on a government department website,
2. be public-facing, therefore excluding a strategy only made public as the result of an OIA request,
3. be strategic, containing long-term thinking and setting out both the means (how) and the ends (the purpose),
4. be produced by a government department, therefore excluding situations where a strategy is written or published by another party (e.g. a Cabinet paper),
5. be national rather than local in focus, therefore excluding regional strategies,
6. guide the department's thinking and operations over two years or more, and
7. not be a statement of intent or annual report.

Implicit mention of a GDS

This is where the strategy is indirectly mentioned in the statement of intent or annual report, but its full title is not given in either English or te reo Māori. The test is that there is some doubt what strategy document is being referred to (e.g. it could not be requested by name under an OIA).

Operational statements

Statements that are action-orientated. Common operational statements include strategy, tactics, priority areas, focus areas, themes and plans. Although these terms have slightly different meanings, they are often used interchangeably.

Points

Points are allocated to each sub-element. In the *GDS Index* there are 21 sub-elements. Seventeen of those were given four points each for a reviewer to score. Two sub-elements (6.2 and 6.3) were allocated six points each. The remaining two (sub-elements 1.3 and 3.3) were allocated eight points each. This additional weighting was allocated to recognise the importance of these sub-elements. The highest possible total in the *GDS Index* is 96 points.

Purpose statement (the end)

An aspirational future-focused statement that explains in a concise, unique, coherent and specific manner what the strategy aims to achieve and provides an impetus for action.

Resources

Physical hardware (including physical and financial assets). See also capabilities.

Rank

The rank indicates where a GDS, department or sector is located in relation to its peers. In the *GDS Index* the rank depicts where the specific GDS, department or sector sits when its Scorecard totals are compared to the scores of all other GDSs (i.e. the average score), departments or sectors.

Reviewer

A person who is employed by the Institute to read and then score each GDS in operation against the Scorecard.

Score

The number of points a GDS has accumulated as a result of the scoring process.

Scorecard

The Scorecard is the lens through which each GDS has been assessed. The Scorecard is made up of six elements and 21 sub-elements. See the Scorecard on p. 13.

Sector

The term 'sector' refers to the groupings of departments based on the summary tables of the Estimates of Appropriations in the Treasury's Budget (in the 2021 *GDS Index*, it is the 2021 Budget). The 2022 Budget sector groupings are now: Economic Development and Infrastructure Sector, Education and Workforce Sector, External Sector, Finance and Government Administration Sector, Health Sector, Justice Sector, Māori Affairs Sector, Natural Resources Sector, and Social Services and Community Sector.

Strategic options

The term 'strategic options' refers to the range of options a government department might explore before deciding on the best approach. Exploring a range of strategic options often leads to a new and improved approach.

Strategy statement (the means)

The 'means' to an end. The approach is unique to a department as it indicates the approach the department has chosen to adopt to bring about change. It describes the choices made.

Strategy map

A visual illustration of the proposed strategy, usually on one page, showing the cause-and-effect relationships between the desired purpose and the choices made on how to achieve the strategy (e.g. types of goals/priorities/themes/actions).

Sub-element

In the *GDS Index* there are 21 sub-elements shared across six elements. See the Scorecard on p. 19.

Appendix 1:
**Examples of best practice
for elements 1–6**

Element 1:

Opportunities and Threats

- 1.1. Does it identify opportunities going forward?
- 1.2. Does it identify threats going forward?
- 1.3. Does it contain a clear statement describing the problem that this strategy is trying to solve?

Sub-element 1.1: Does it identify opportunities going forward?

Best practice example 1: Department of the Prime Minister and Cabinet
National Disaster Resilience Strategy – Rautaki ā-Motu Manawaroa Aitua (GDS05–01), pp. 46–47.

Opportunities

As well as strengths and barriers, it is important to consider what opportunities we have or may have on the horizon. The opportunities the strategy development process has identified are:

1. Awareness and understanding of disasters, disaster impacts and disaster risk, is at an all-time high following a series of domestic events over the last five-ten years, including the Canterbury and Kaikōura earthquakes. This includes a willingness to act on lessons, and to do so in a smart, coordinated, and collaborative way.
2. Our hazards are obvious and manifest. This is both a curse and an opportunity: we have high risk, but we also have an awareness, understanding, and willingness to do something about them, in a way that countries with less tangible risks might not. If we address risk and build resilience to our expected hazards, we will hopefully be better prepared for when the 'less expected' hazards occur.
3. We have an incredible wealth of resilience-related research underway, including several multi-sectoral research platforms that aim to bring increased knowledge to, and improved resilience outcomes for New Zealanders. Over the next few years there will be a steady stream of information about what works, and tried and tested methodologies we can employ in all parts of society.
4. We also have a lot of other work – in terms of resilience-related policy and practice – underway in organisations at all levels and across the country. Connecting the pieces of the jigsaw, sharing knowledge, and working together should enable even more improved outcomes.
5. There is a particular opportunity for building processes that support collective impact. Collective Impact is a way of organising a range of stakeholders around a common agenda, goals, measurement, activity, and communications to make progress on complex societal challenges (see page 48).
6. The introduction of the three post-2015 development agendas (Sendai Framework, Sustainable Development Goals, and Paris Agreement for Climate Change) brings an additional impetus and drive for action, as well as practical recommendations that we can implement. They also bring a strong message about integration, collaboration, and a whole-of-society approach.
7. The New Zealand Government has a strong focus on wellbeing, particularly intergenerational wellbeing, and improved living standards for all. Simultaneously, local government has a renewed interest in the four wellbeings, with those concepts being re-introduced to the Local Government Act as a key role of local government. These priorities are entirely harmonious, and lead swiftly into a conversation with both levels of government on how to protect and enhance living standards through a risk management and resilience approach.
8. We have only just begun to scratch the surface of best resilience practice, including how to make the most of investment in resilience. There is much to learn from the Triple Dividend of Resilience (see page 49) – ensuring our investments provide multiple benefits or meet multiple needs, and are the smartest possible use of limited resources. The Triple Dividend also supports better business cases, allowing us to better position our case for resilience and convince decision-makers of the benefits of investment.
9. We are a small agile nation. We are ambitious, innovative, motivated, and informed: we can lead the world in our approach to resilience.

Best practice example 1: Department of the Prime Minister and Cabinet
National Disaster Resilience Strategy – Rautaki ā-Motu Manawaroa Aituā (GDS05-01), pp. 46–47
 (continued).

‘Wild cards’

The world is changing at an unprecedented rate driven by technical innovation and new ways of thinking that will fundamentally transform the way we live. As we move away from the old structures and processes that shaped our past, a new world of challenges and opportunities awaits us. While there might be uncertainty about how some of these factors might shape our risk and our capacity to manage that risk, there are some common implications that are critical to take account of as we work to build resilience.

1. The revolution in technology and communication is a key feature of today's world. Regardless of the issue, technology is reshaping how individuals relate to one another. It shifts power to individuals and common interest groups, and enables new roles to be played with greater impact. Organisations and groups that can anticipate and harness changing social uses of technology for meaningful engagement with societal challenges will be more resilient in the future.
2. Local organisations and grassroots engagement is an important component. This is driven, in part, by shifts in technology and communication that give local groups more influence and lower their costs for organising and accessing funding, but also the rising power of populations in driving actions and outcomes.
3. Populations currently under the age of 30 will be a dominant force in the coming two decades – both virtually, in terms of their levels of online engagement, and physically, by being a critical source of activity. Younger generations possess significant energy and global perspectives that need to be harnessed for positive change.
4. The role of culture as a major driver in society, and one that desperately needs to be better understood by leaders across governments, and the private and not-for-profit sectors. Culture is a powerful force that can play a significant role (both positive and negative – if it is not handled sensitively), and is therefore a force with which stakeholders should prepare to constructively engage.
5. High levels of trust across organisations, sectors and generations will become increasingly important as a precondition for influence and engagement. This trust will need to be based on more than just the existence of regulations and incentives that encourage compliance. Organisations can build trust among stakeholders through a combination of “radical transparency” and by demonstrating a set of social values that drive behaviour that demonstrates an acknowledgement of the common good.
6. The possibility of new and innovative partnerships between government, the private and not-for-profit sectors, may provide new platforms for positive change. The challenge of disaster risk can no longer be the domain of government alone. A collective approach is needed, including to utilise all resources available to us, public and private, and to consider innovative approaches to managing and reducing risk. This requires active participation on the part of the private sector, and transparency, openness, and responsiveness on the part of politicians and public officials.
7. The need for higher levels of accountability, transparency, and measurement. More work is required to ensure that those tackling societal challenges have the appropriate means of measuring impact. These mechanisms will need to be technology-enabled, customised to the challenge at hand, and transparent.

Sub-element 1.2: Does it identify threats going forward?

Best practice example 2: Ministry for Primary Industries

Harvest Strategy Standard for New Zealand Fisheries (GDS 12–02), p. 13.

■ Application of the Harvest Strategy Standard to Specific Fishery Situations

New or developing fisheries

34. New or developing fisheries should be managed cautiously because there is generally little known about the size of the stock, or stock productivity, or stock status, during the development phase. The fishing mortality rate should not exceed F_{MSY} , and should probably be lower than this level.²⁰ Where F_{MSY} is unknown, it may be approximated by assuming equivalence between F_{MSY} and an estimate of natural mortality.²¹ Initial target catches should be set on the basis of the product of F_{MSY} (or appropriate proxies) and a conservative estimate of the average annual stock biomass (or appropriate proxies).

35. Explicit fishing-down phases that apply fishing mortality rates higher than F_{MSY} (or appropriate proxies) should generally be avoided, because these are unsustainable in the long term and usually result in a build-up of fishing capacity that often cannot easily be re-directed once the "fishing-down" phase is over. The combination of poor information, high fishing mortality rates, and overcapacity frequently results in targets being overshot, particularly for low productivity species.²²

Established, well-managed fisheries

36. By definition, well-managed fisheries are those that fluctuate around appropriate targets and remain well above limits. Management action should ensure that this situation continues. The Operational Guidelines specify the types of management actions that should be used to ensure that fisheries fluctuate around appropriate targets, well above limits.

Fisheries on depleted stocks

37. Depleted stocks¹⁹ are defined as those that have been reduced below $\frac{1}{2} B_{MSY}$ or 20% B_0 , whichever is higher.^{4, 5, 6} Stocks may become depleted through overfishing, or unfavourable environmental conditions, or a combination of both. However, similar management actions to rebuild such stocks are required in each of these situations. Fisheries on depleted stocks should be curtailed to promote rebuilding, or considered for temporary closure, depending on their status relative to the soft and hard limits.

²⁰ This is also in line with the U.N. Fish Stocks Agreement of 1995, which views F_{MSY} as a minimum standard for limit reference points (Annex II of that document); however, the Harvest Strategy Standard sets F_{MSY} as a maximum target, rather than as a limit to be avoided.

²¹ There is considerable scientific literature dealing with the issue of whether equating F_{MSY} with natural mortality (M) is reasonable. The earlier literature (prior to the early 1990s) generally reported F_{MSY} values above M ; therefore setting F_{MSY} equal to M was considered to be conservative. Subsequently, the frequency of estimates of F_{MSY} below M and advice on setting target fishing mortality rates to be less than M has increased (e.g. Mace 1994, Walters and Parma 1995).

²² See FAO (2007), Sissenwine and Mace (2007) and various CCAMLR documents.

Best practice example 3: Department of the Prime Minister and Cabinet
Cyber Security Strategy 2019 (GDS05-02), pp. 4-5.

Challenges to maintaining cyber security

Cyber-enabled threats to our security continue to grow in number, scope and scale. Cyber criminals and malicious state-backed actors are targeting New Zealand now. Access is being sought to our personal information, bank accounts, intellectual property and nationally important data on a 24/7 basis. From home-users to businesses, to government to critical national infrastructure, everyone using the internet faces a constant and evolving threat. Potential harms include financial losses, reputational damage, loss of intellectual property and disruption to critical services. Constant vigilance and active protection of our sensitive data and networks is no longer optional. We also need to be ready to detect, respond to, and recover from any intrusions.

Technology is evolving quickly...

The nature and consequences of cyber incidents can vary widely, and, as new technologies are developed and adopted, new threats will emerge. Responding to these threats in the context of rapid technological change will require us to adapt quickly. The exponential increase in the use of IoT (Internet of Things) devices is an example of how the rush to deploy new products and services has led to the re-emergence of security issues that had been largely addressed in mature technology sectors. In October 2016, millions of IoT devices were taken over to form the Mirai botnet, which was used to launch a massive denial of service attack that disrupted the internet for almost the entire eastern United States.

Cyber security is a complex problem – it's about people, policies, technology, trust and reliability. It is not always possible to predict what will happen and at what pace.

The emergence of AI is an example of a technological shift where the impact for cyber security is largely unknown. The potential national security issues posed by the adoption of 5G technology present new and different risks from that of previous generations of mobile infrastructure. Cyber attacks can also have unintended consequences: the NotPetya malware* initially only targeted Ukrainian entities but ended up spreading to cause damage and disruption across the globe.

...And threat actors are on the increase and becoming more sophisticated...

The number of malicious actors seeking to do harm on the internet also continues to rise. Threat actors of all kinds are increasingly bold, brazen and disruptive. As more people use and do business on the internet, the pay-offs from cyber and cyber-enabled crimes will also increase, attracting greater numbers of cybercriminals. Almost every cyber attack is a criminal act, regardless of who is behind it.

Cyber criminals and other threat actors are becoming more sophisticated. More and more, threat actors from individuals to nation states have access to the same tools and techniques. In 2017, the WannaCry outbreak caused major international disruption, including shutting down computers in the United Kingdom's National Health Service. WannaCry was attributed to North Korean actors by a number of New Zealand's international partners, highlighting how nation states can use cybercriminal tools, and vice versa.

* NotPetya malware: a particular piece of malicious software that spread across the internet and encrypted (locked up) files on an infected computer system. A number of states have attributed this malware to Russian state actors.

Best practice example 3: Department of the Prime Minister and Cabinet
Cyber Security Strategy 2019 (GDS05-02), pp. 4-5 (continued).

Cyber risks are growing in an increasingly contested international order. In the context of growing great power competition and increasing challenges to the international rules-based order, state-sponsored actors are using cyber tools for geopolitical advantage. The number of state-sponsored cyber operations is rising and more governments are openly developing offensive cyber capabilities. Cyber tools have been used by state-sponsored actors to steal sensitive commercial information, to disrupt critical systems and to interfere with democratic processes.

...So New Zealand must be ready to deter and respond to threats

New Zealand must stand up for responsible state behaviour in cyberspace, and advocate for an international rules-based order that promotes a stable and peaceful online environment. New Zealand must also be ready to deter and respond to cyber threats when they arise.

As all nations improve their cyber security, and where users respond to one cyber security challenge, malicious actors will seek new vulnerabilities and opportunities. New Zealand must stay towards the front of the pack so that it does not become a target of choice – we want to erect barriers against malicious actors.

There is no simple way to articulate the cyber security risk to New Zealand, because the threats are so diverse. The challenges for home-users are not necessarily the same challenges that our largest companies face. But it is clear that trust and confidence in the internet and our internet infrastructure is vital for New Zealand and New Zealanders: for our economy, for our society, and for our national security. We all need to take action to maintain that trust.

Case study: WannaCry

WannaCry ransomware spread across the globe in May 2017 in one of the most disruptive cyber attacks to date.

Ransomware is a kind of malicious software that locks up the files on a computer system until a sum of money is paid.

WannaCry affected over 200,000 computers in at least 100 countries. The United Kingdom's National Health Service was particularly badly affected, with systems down in hospitals across the United Kingdom, forcing the cancellation of nearly 20,000 hospital appointments.

The attack also affected major companies, including French car manufacturer Renault and international shipping company FedEx.

In December 2017, New Zealand publicly highlighted its close partners' attribution of the attack to North Korea. The United States has subsequently charged a North Korean hacker in connection with this attack.

Sub-element 1.3: Does it contain a clear statement describing the problem that this strategy is trying to solve?

Best practice example 4: Ministry of Health

Smokefree Aotearoa 2025 Action Plan (GDS19–48), pp. 7, 31–32.

Introduction: Smoked tobacco is the problem

Smoking tobacco products kills approximately 4,500 to 5,000 people every year in New Zealand – that is around 12 to 13 deaths every day due to smoking or exposure to second-hand smoke.³ Since the Māori Affairs Committee's Inquiry into the tobacco industry in Aotearoa and the consequences of tobacco use for Māori in 2010,⁴ more than 50,000 New Zealanders have died of smoking-related causes. **Appendix 1** provides more information about the harm smoked tobacco products cause our people, our children and our communities.

Purpose of this plan

This action plan sets out the actions we will take over the next four years and beyond to achieve Smokefree Aotearoa 2025 and ultimately end the harm smoking causes. To achieve our goal of a smoking prevalence of less than five percent in the next four years, we will need to implement a comprehensive mutually reinforcing package of actions at speed.

Our international obligations

New Zealand is a signatory to the World Health Organization's Framework Convention on Tobacco Control (FCTC). The FCTC was developed in response to the global tobacco epidemic. It is an evidence-based treaty that reaffirms the right of all people to the highest standard of health and has become one of the most rapidly and widely embraced treaties in the United Nation's history.

The development of New Zealand's tobacco control programme over many years has been closely modelled on the FCTC. New Zealand remains committed to supporting the implementation of the FCTC globally.

All actions will also need to take into account New Zealand's international trade obligations.

³ This information is available on the Global Health Data Exchange, see <http://ghdx.healthdata.org/gbd-results-tool> (accessed 4 October 2021).

⁴ Māori Affairs Committee. 2010. *Inquiry into the tobacco industry in Aotearoa and the consequences of tobacco use for Māori. Report of the Māori Affairs Committee*. Wellington: Māori Affairs Committee. URL: www.parliament.nz/resource/en-NZ/49DBSCH_SCR4900_1/2fc4d36b0fbdfed73f3b4694e084a5935cf967bb (accessed 4 October 2021).

Best practice example 4: Ministry of Health
Smokefree Aotearoa 2025 Action Plan (GDS19–48), pp. 7, 31–32 (continued).

Appendix 1:

The harm smoked tobacco products cause our people, our children and our communities

Smoking is a leading cause of preventable death and disease in New Zealand

In New Zealand, smoking is a major cause of heart attacks; strokes; other cardiovascular diseases; serious respiratory diseases such as emphysema, bronchitis and asthma; and a range of other conditions, including blindness and infertility. Smoking causes 1,200 deaths from lung cancer every year.²³

People who smoke are at increased risk of perioperative respiratory, cardiac and wound-related complications.²⁴

Smoking harms children

Smoking in pregnancy, or exposure to second-hand smoke in the early stages of a baby's life, significantly increases the risk of sudden unexpected death in infancy.²⁵

Second-hand smoke exposure increases a child's risk of serious infections that affect breathing, including pneumonia and bronchitis. Second-hand smoke is a significant contributor to asthma attacks in children aged under 16 years in New Zealand every year.²⁶

Children who grow up in smoking households are also at higher risk of smoking in future than children who grow up in non-smoking households.

²³ This information is available on the Global Health Data Exchange, see <http://ghdx.healthdata.org/gbd-results-tool> (accessed 4 October 2021).

²⁴ Submission on the Ministry of Health consultation on *Proposals for a Smokefree Aotearoa 2025 Action Plan* from the Australian and New Zealand College of Anaesthetists.

²⁵ U.S. Department of Health and Human Services. 2006. *The Health Consequences of Involuntary Exposure to Tobacco Smoke: A Report of the Surgeon General*. Atlanta: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health. URL: <https://www.ncbi.nlm.nih.gov/books/NBK44324/> (accessed 12 November 2021).

²⁶ Ministry of Health. 2019. *Health effects of smoking*. URL: <https://www.health.govt.nz/your-health/healthy-living/addictions/smoking/health-effects-smoking> (accessed 4 October 2021); Woodward A. and M. Laugesen. 2001. *Morbidity Attributable to second hand cigarette smoke in New Zealand*. URL: <https://www.health.govt.nz/system/files/documents/publications/morbidityattributabletosecondhandcigarettesmoke.pdf> (accessed 12 November 2021).

Best practice example 4: Ministry of Health
Smokefree Aotearoa 2025 Action Plan (GDS19–48), pp. 7, 31–32 (continued).

Smoking drives health inequities

Tobacco is the major single contributor to ethnic inequalities in cancer in New Zealand,²⁷ whereby some population groups fare much worse than others (in particular, Māori, Pacific peoples and those living in the most deprived areas).

The Crown's Treaty partners, Māori, are disproportionately represented in the smoking mortality statistics; we must view this in the wider context of systemic inequity. Lung cancer is the leading cause of death for Māori women and the second-leading cause of death for Māori men.²⁸ Lung cancer mortality among Māori women is over four times that of non-Māori women.²⁹

Smoking prevalence among Pacific peoples remains persistently higher than among the overall population; there has been only a small reduction in prevalence in the last 10 years.³⁰

People living in the most deprived areas are over five times more likely to smoke than those living in the least deprived areas.³¹

Smoking prevalence is also greater among people with experience of mental illness (the rate is estimated to be approximately 40–50 percent). Smoking is also known to have an impact on the effectiveness of some medications, including those prescribed for mental health conditions. The more severe the mental health condition, the more likely a person is to smoke, and the higher the number of cigarettes smoked per day, the greater the likelihood of developing a mental health condition.³²

The wider context of systemic inequity

Māori health inequities are influenced by a wide range of factors, including income and poverty, employment, education and housing – we call these the social determinants of health.

Māori health inequities are also influenced by the cumulative effects of colonisation. The legacy and ongoing impacts of colonisation now partly manifest as a form of discrimination often termed institutional racism.³³

- ²⁷ Walsh M, Wright K. 2020. *Ethnic inequities in life expectancy attributable to smoking*. New Zealand Medical Journal 133:1509. URL: <https://journal.nzma.org.nz/journal-articles/ethnic-inequities-in-life-expectancy-attributable-to-smoking> (accessed 12 November 2021).
- ²⁸ Ministry of Health, 2018. *Major causes of death*. URL: <https://www.health.govt.nz/our-work/populations/maori-health/tatau-kahukura-maori-health-statistics/nga-mana-hauora-tutohu-health-status-indicators/major-causes-death> (accessed 4 October 2021).
- ²⁹ Ministry of Health, 2018. *Cancer*. URL: <https://www.health.govt.nz/our-work/populations/maori-health/tatau-kahukura-maori-health-statistics/nga-mana-hauora-tutohu-health-status-indicators/cancer> (accessed 4 October 2021).
- ³⁰ Ministry of Health. 2020. *Annual Data Explorer 2019/20: New Zealand Health Survey* [Data File]. URL: <https://minhealthnz.shinyapps.io/nz-health-survey-2019-20-annual-data-explorer/> (Accessed 12 November 2021).
- ³¹ Ministry of Health. 2020. *Annual Data Explorer 2019/20: New Zealand Health Survey* [Data File]. URL: <https://minhealthnz.shinyapps.io/nz-health-survey-2019-20-annual-data-explorer/> (Accessed 12 November 2021).
- ³² Further information regarding smoking and mental health and addiction is available from ASH. 2019. *Action on smoking and health, Fact sheet No.12: Smoking and Mental Health*. URL: https://ash.org.uk/wp-content/uploads/2019/08/ASH-Factsheet_Mental-Health_v3-2019-27-August-1.pdf (accessed 4 October 2021); and Te Pou o te Whakaaro Nui (2017). *The physical health of people with mental health conditions and/or addiction: Summary evidence update*. Auckland: New Zealand.
- ³³ Waitangi Tribunal. 2019. *Hauora: Report on Stage One of the Health Services and Outcomes Kaupapa Inquiry (WAI 2575)*. Wellington: Waitangi Tribunal. URL: https://forms.justice.govt.nz/search/Documents/WT/wt_DOC_152801817/Hauora%20W.pdf (accessed 4 October 2021).

Element 2:

Capabilities and Resources

- 2.1. Does it identify current and future capabilities?
- 2.2. Does it identify what capabilities it does not have and needs to acquire or work around?
- 2.3. Does it identify current and future resources?
- 2.4. Does it identify what resources it does not have and needs to acquire or work around?

Sub-element 2.1: Does it identify current and future capabilities?

Best practice example 5: Ministry of Defence

Defence White Paper 2016 (GDS16–01), pp. 11–12, 14–15.

- 1.18 New Zealand has a strong interest in the preservation of the natural environment and stability in the Antarctica and Southern Ocean. In most cases the increasing international activity in the region is focussed on scientific research.
- 1.19 Given its strong connections with South Pacific countries, New Zealand has an enduring interest in regional stability. The South Pacific has remained relatively stable since 2010, and is unlikely to face an external military threat in the foreseeable future. However, the region continues to face a range of economic, governance, and environmental challenges. These challenges indicate that it is likely that the Defence Force will have to deploy to the region over the next ten years, for a response beyond humanitarian assistance and disaster relief.

Strong international relationships

- 1.20 New Zealand will continue to protect and advance its interests by maintaining strong international relationships, with Australia in particular, and with its South Pacific partners, with whom it maintains a range of important constitutional and historical links. While New Zealand has an array of international relationships, it makes independent policy decisions consistent with its values, interests and size.

Defence Force Roles and Tasks

- 1.21 The Defence Force must be able to undertake a range of roles and tasks across diverse geographical and operating environments. The principal roles of the Defence Force are to:
- Defend New Zealand's sovereign territory;
 - Contribute to national resilience and whole of government security objectives;
 - Meet New Zealand's commitment as an ally of Australia;
 - Support New Zealand's civilian presence in the Ross Dependency of Antarctica, and participate in whole of government efforts to monitor and respond to activity in the Southern Ocean;
 - Contribute to, and where necessary lead, operations in the South Pacific;
 - Make a credible contribution in support of peace and security in the Asia-Pacific region;
 - Protect New Zealand's wider interests by contributing to international peace and security, and the international rule of law;
 - Contribute to the advancement of New Zealand's security partnerships;
 - Participate in whole of government efforts to monitor the strategic environment and
 - Be prepared to respond to sudden shifts in the strategic environment.
- 1.22 Government's highest priority for the Defence Force is its ability to operate in New Zealand and its Exclusive Economic Zone, followed by the South Pacific and the Southern Ocean. The Defence Force must therefore be prepared to operate independently, or lead operations, in these areas.

- 1.23 It is also important that the Defence Force maintains its ability to contribute to operations further afield should the Government require it to do so. Such contributions will most likely be made as part of operations led by New Zealand's international partners. The ability of the New Zealand Defence Force to operate effectively with others, particularly Australia, will therefore remain an important focus for New Zealand.
- 1.24 New Zealand will continue to balance its interest in contributing to the rules-based international order, from which it benefits, with the increasing risks posed to New Zealanders deployed beyond the South Pacific.

Defence Force Capabilities

- 1.25 This White Paper provides an overview of the military capabilities that the Defence Force will need to undertake its roles and tasks out to 2040.
- 1.26 A number of new capability challenges have arisen for the Defence Force since the last Defence White Paper was published in 2010. These include patrolling the Southern Ocean, supporting New Zealand's civilian presence in Antarctica and protecting the Defence Force from increasing cyber threats. The challenges associated with maintaining an awareness and an ability to respond to activities in New Zealand's Exclusive Economic Zone have intensified.
- 1.27 The force structure set out in this White Paper is therefore a mix of existing and planned capabilities, and new capabilities to meet future challenges. The Defence Force will maintain a range of land and naval combat, strategic projection and logistics, intelligence and reconnaissance capabilities. These capabilities will enable the Defence Force to undertake the roles and tasks expected of it, and to continue providing credible deployment options, including combat capable forces, to the Government.
- 1.28 Further detail on the Government's updated mix of capabilities will be included in the next Defence Capability Plan, to be released in 2016.
- 1.29 Each major capital acquisition will continue to be guided by the Government's Capital Asset Management regime and be subject to the application of Better Business Case principles. This provides opportunities for the Government to test individual capability proposals against its broader priorities before making critical investment decisions.

Generating a skilled and sustainable workforce

- 1.30 The Defence Force needs the right mix of skilled personnel to deliver and deploy its military capabilities and keep pace with the evolving strategic environment.
- 1.31 One of the core challenges the Defence Force now faces is balancing the modernisation of its workforce with the need to attract and retain people with diverse skills, many of which will be in high demand elsewhere. It must do this while remaining affordable in the long term.
- 1.32 The Defence Force must therefore continually review and improve the way in which it recruits, trains and supports its people.

Best practice example 5: Ministry of Defence

Defence White Paper 2016 (GDS16-01), pp. 11-12, 14-15 (continued).

Affordability

- 1.33 Given the long term nature of investment decisions in military capability, and the costs associated with such decisions, Defence will continue to face affordability challenges.
- 1.34 Since the last Defence White Paper, Defence's management of its overall affordability has matured from a focus on savings to a broader, more strategic approach. Defence is therefore committed to ongoing work to continue to balance policy, capability and funding.

Organisational improvement

- 1.35 The Ministry of Defence and Defence Force have strengthened their organisational management since 2010.
- 1.36 The Defence Force, in its work towards organisational integration, has strengthened its leadership and accountability structures. It is committed to improving its overall efficiency.
- 1.37 The Ministry of Defence has undertaken a series of organisational changes in recent years. In Budget 2015, the Ministry received a significant increase in funding to strengthen its capability development and delivery functions.
- 1.38 Both the Defence Force and Ministry of Defence have enhanced their joint management of capability since 2010, but have further work to do to ensure they are well placed to deliver on the significant programme of major Defence projects planned out to 2030.

The Defence Estate

- 1.39 The Defence Estate provides the infrastructure, facilities and training areas required to generate and maintain Defence capabilities.
- 1.40 As part of its planned regeneration of the Defence Estate, the Defence Force will modernise infrastructure, facilities and training areas, consolidating these where it makes sense to do so. This will improve support for capabilities, reduce operational costs, and ensure personnel have access to safe facilities that comply with New Zealand health and safety standards. The planned regeneration supports the wider efforts of the Defence Force to improve its overall affordability and efficiency.

Balancing policy, capability and funding

- 1.41 Defence will continue to take a systematic approach to balancing policy, capability and funding in the long term. Supported by other agencies, it will undertake a five-yearly cycle of activity that includes Defence Assessments, White Papers, and mid-point reviews.
- 1.42 As part of this work, Defence will analyse changes in the international strategic environment and their possible implications for New Zealand's national security interests, Defence policy and the capabilities required by the Defence Force to fulfil its roles and tasks.

Best practice example 5: Ministry of Defence

Defence White Paper 2016 (GDS16-01), pp. 11-12, 14-15 (continued).

Implementing this Defence White Paper

- 1.43 Implementing this White Paper will involve a mix of existing Defence business, embedding improvements in practice signalled in the 2010 Defence White Paper, and undertaking new initiatives that have resulted from the development of this Defence White Paper.
- 1.44 In addition to taking the more systematic approach to balancing policy, capability and funding described above, Defence will carefully prioritise its international engagement; enhance its management of capability; and embed the organisational arrangements needed to support the development of its new cyber support capability. Defence will also develop a Plan for the regeneration of its Estate, and undertake work to better understand its Personnel portfolio.
- 1.45 Depending on the outcome of this work, Defence may need to do additional work to update its capability and cost picture.

Best practice example 6: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 16–18.



We will nurture and maintain effective relationships and partnerships across the system

Maximising the benefits of housing and urban development requires proactive and genuine collaboration between numerous organisations.

The Crown is committed to nurturing our relationships with iwi and Māori as our Te Tiriti o Waitangi partner. These relationships are essential to meaningfully supporting Māori to generate the right housing and urban outcomes for them into the future.

Community Housing Providers (CHPs) are a key contributor in the system. Government and CHPs need to continue working closely together identify ways we can better use their on-the-ground connections across communities.

Government also needs to pursue meaningful and real collaboration with local government, industry, non-government organisations, local voices, and voices of lived experience to ensure the actions that government and others take are well considered, co-ordinated and effective on the ground.

In terms of government-led housing delivery it is particularly important that Kāinga Ora develops genuine and enduring partnerships to deliver the best outcomes for communities.

Across our work, government will pursue partnerships and relationships for people and places, leveraging knowledge, connections, and resources to support our collective aspirations.



We will develop sustainable and reliable funding in the system

Investment in housing and urban development has often been uncertain and variable year-on-year and over decades. Te Waihanga, the Infrastructure Commission, has recently highlighted the significant infrastructure deficit that the country faces, which has constrained housing and urban development. Attempts to address this over the years through one-off and time-limited funding tools has not addressed the root cause of the problem.

Central and local government often invest when construction activity is already strong and reduce investment alongside the private sector when building becomes more financially risky. This contributes to the boom-and-bust cycle experienced by the construction sector.

This in turn diminishes the confidence or ability of the sector to invest in new housing development, or to invest in developing scale, skills, and innovation. This has impacted on the gains we have consistently been able to make towards our vision, in some instances causing steps away from our vision.

In the long term, certain and sustainable funding, when paired with regulatory and system reforms, will enable us to transform the housing and urban system and drive the outcomes we want to see, such as:

- enabling Kāinga Ora, Community Housing Providers, other agencies, iwi and Māori and local government to plan ahead to deliver housing and urban development (including infrastructure)
- providing more stability to the building and construction sector; supporting it to upscale with confidence and improve productivity as it delivers more homes, faster.

A focus on sustainable funding must also include regular monitoring of spending and analysis of the tools and instruments central government funds and maintains to support wellbeing outcomes and improve housing affordability.

We will build on new government initiatives and ensure recent investments are implemented and planned for example, the Housing Acceleration Fund, Whai Kāinga Whai Oranga and Kāinga Ora Land Programme. We will also explore new funding and financing levers (for example, value capture) and further mobilise private capital towards housing and urban development.

In addition, there is room to provide further support for existing non-government initiatives, such as iwi, hapū and Māori urban development activity and the community housing sector's Community Finance.

In line with the Government's current fiscal management approach, any new central government funding will be sought through the Budget process.

Best practice example 6: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 16–18 (continued).

Ngā hoa mahi Who we work with

There are five critical groups that government must partner or collaborate with to deliver the better housing and urban outcomes we want for all of Aotearoa New Zealand.

Iwi and Māori

Many iwi and Māori, marae, and ahu whenua trusts play crucial roles across the housing and urban development system and they are best placed deliver effective housing and urban solutions for Māori communities.

Iwi and Māori support government to respond to homelessness by providing affordable housing options through public housing and offer other housing solutions (such as progressive home ownership solutions).

They also provide investment that supports housing and urban development for the general population and for whānau Māori, including providing land returned through redress and right of first refusal.

Community Housing Providers

Community Housing Providers are usually not-for-profit organisations that grow out of communities across Aotearoa New Zealand. The community housing sector plays an important role in delivering long-term affordable housing through rental, mixed-tenure or progressive home ownership solutions.

The sector currently houses approximately 30,000 people within over 18,000 homes. They often offer tenancy services and connect people with wrap-around support, budgeting, and home ownership assistance (sometimes under contract with government).

Many housing providers also have strong links with philanthropic or social-impact investors, where there is a growing interest in the role that community finance or social impact capital can play in delivering more affordable housing.

Registered Community Housing Providers are a regulated sector that play an important role to complement Kāinga Ora in delivering public housing and associated services, with some catering to specific groups, such as disabled people, Māori, Pacific Peoples, and others.

Social sector

Social sector organisations support government to prevent and respond to homelessness and provide support services in communities.

The social sector is made up of a diverse group of organisations that deliver and fund services across the country with a shared goal of improving wellbeing and equity outcomes for New Zealanders.

It includes government and non-government agencies that work with individuals and whānau in welfare, health, education, child wellbeing, justice, and disability support services.

These organisations work with government or independently and play a critical role in delivering on community-led initiatives as local solutions to local issues.

They are also often the first port of call for people with particular needs, offering services that meet these needs as well as supporting and furthering the wellbeing of our people and our communities.

Best practice example 6: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 16–18 (continued).

Local government

Local government works to promote the social, economic, environmental, and cultural wellbeing of their communities, now and into the future. They play a pivotal role in ensuring that places are functional, healthy and liveable for people.

Local government are a key enabler and delivery agent for housing and urban development, particularly through their planning and infrastructure investment roles.

Regional councils and unitary authorities are generally responsible for environmental management and public transport. This includes strategic integration of infrastructure with land use and ensuring there is sufficient development capacity in relation to housing and business land.

District and city councils and unitary authorities provide local transport, water, wastewater, stormwater, flood management, and waste collection services. They also provide social and community infrastructure, issue building consents, and inspect building work. Some councils also provide social and pensioner housing. Local authorities are a key enabler and delivery agent for central government direction on housing and urban growth and play a key role in ensuring there is sufficient development capacity for housing and business land.

The private sector

The private sector plays the largest role in funding, financing, designing, constructing, delivering, and maintaining the built environment.

Aotearoa New Zealand has a range of privately owned energy and telecommunication infrastructure providers, as well as the broader funding, financing, law, engineering, planning, design, and construction organisations that support the provision of all types of infrastructure. Collectively these organisations play a key role in enabling and supporting urban development and supporting the wellbeing of all New Zealanders.

We rely on the building and construction sector to design, supply, construct, repair and maintain the houses and the built environment in which we live, work and play, and the infrastructure we depend on. A well-functioning building and construction sector will support growth in productivity and employment. It will have the capacity to design and develop the homes, buildings, infrastructure and places our communities need to thrive.

Property investors and property owners are the largest providers of rental accommodation in Aotearoa New Zealand. Most are individual or family investors, but there is a growing number of rental homes being provided and managed by the community housing sector and businesses focused on providing long-term rental housing.



Sub-element 2.2: Does it identify what capabilities it does not have and needs to acquire or work around?

Best practice example 7: Ministry of Social Development
Elder Abuse in Aotearoa 2020 (GDS23-14), pp. 22-24.

- Although cases of abuse are serious, they are not always criminal offences and may be difficult to resolve. For example, an older person who gives money to an adult child with the implication that the money will be paid back, but no contract, often has difficulties pursuing a judicial avenue due to the uncertain nature of the 'loan'. There are limited avenues to get back any funds, and EARS providers do not have any statutory power.
- The ability for support agencies to act can also be complicated by mental capacity and dementia, which affects an older person's understanding of a situation and/or their ability to provide consent. If part of the intervention required is around EPOAs, services may also have difficulty working with the person who holds EPOA, particularly if they are the one causing harm.
- Family member relationships can also cause issues during intervention. Providers note that in many cases sibling disagreements result in setbacks for intervention, with the older person caught in between the interests of their children and/or their spouse. Providers may have to spend time working with these family members to ensure that the older person's interests are presented, and that outcomes meet the needs of the older person with as much support from whānau as possible.

Issues arising from provider capability and capacity

- Most of the new providers had little to no previous experience offering elder abuse services prior to the EARS contract and it took significant time to find appropriate elder abuse staff once they attained the contract. Many highlight the lack of support they received from the Office for Seniors and MSD in helping them to appropriately deliver the service or provide consistent practice guidelines. Some have only acquired EARS staff in the last year.
- Some kaupapa Māori providers highlighted that it was perceived by the public that they only delivered services to Māori. It has taken a lot of time and networking to spread awareness that they cater to people of all ethnicity experiencing or at risk of elder abuse in their contracted region.
- Due to the limited number of providers, they each cover large service delivery areas and/or population base. Staff spend a lot of their time travelling to clients or case assessments – sometimes they are only able to visit one client a day. This results in a lack of choice for people experiencing elder abuse and can mean that people in rural areas are less likely to be able to access services.
- Some providers only have one or a few staff spread over a large region. Therefore, many staff perform their duties alone. The work can be dangerous, and most rely on support from Police (if available) when visiting potentially dangerous locations or situations. Working in isolation puts significant stress on staff and the lack of intra-service networking opportunities has reduced their ability to share ideas and develop supportive relationships.
- Currently, EARS staff are having to manage high caseloads, resulting in a risk of unsafe practice. There are approximately 32 FTE across New Zealand delivering EARS. In 2019, 4,204 people were referred to EARS, this is 30 percent above contracted volumes and has resulted in each FTE having to manage 131 referrals on average. Research indicates that elder abuse cases are becoming more complex, with housing pressures, substance abuse, familial relationships, and deteriorating health compounding the issues faced by older people and

their families. EARS staff indicate that the increase in complexity means that more time is required to ensure each client is safe and supported to remain safe.

- Providers stressed the importance of prevention and intervention in the sector and highlighted that in order to ensure a robust and effective service, both are required. Some EARS providers deliver education and response services, which requires a few to seek funding via other means. However, those with limited resources and lack of funding have been unable to continue education and awareness raising activities.
- The lack of training available to EARS workers was highlighted as an issue by various providers. They note that they were initially informed that training support and guidance would be provided to them by the Office for Seniors and MSD. However, they have not received any training and very limited support.

Issues arising from the external system

- The level and success of immediate intervention and long-term maintenance is not only impacted by the interests of the older person, but also the availability of other services. For example, housing, social connection programmes, in-home support, and home visiting services are not available in many areas of Aotearoa, particularly in rural areas. Therefore, EARS providers face difficulties ensuring their clients are connected and safe. It also may lead to EARS providers stepping in to provide these high need or crisis services, although they are not resourced to do so.
- Mental health services and counselling are also in high demand in every region. Long waitlists and strict criteria are barriers to older people accessing these services, and EARS providers state that youth are given preference. Some of the older people being abused present with past trauma which may increase their vulnerability to experience abuse as an older person. Many of these people have never accessed mental health services to work through this trauma. Only a few of the EARS providers have in-house counsellors who they are able to refer their clients to. There are limited alternatives available for the older person unless they have the means to access private and expensive practices.
- Although agencies (public, private and community) interact with older people regularly, providers state that many agencies do not appropriately understand the needs of older people. They also do not sufficiently know how to recognise risk factors or potential cases of abuse. Many providers highlighted the need for agencies to undergo more rigorous training on the effects of ageism, and how to recognise and appropriately respond to elder abuse. The lack of agency awareness is considered a high-risk factor - if groups who interact with older people daily and make policies that impact them are not properly trained on older people's rights and abuse, then reduction and response to elder abuse is likely to be weak and minimal.
- A common issue between and within government, private, and community agencies is the siloed nature of operations. The lack of communication and coordination often results in duplication of or gaps in services. EARS providers noted that their clients often have 'five cars parked in the driveway', with various agencies interacting with one client at one time about different issues. Many providers have created their own networks and work with local agencies to identify which party is best able to meet the needs of the older person, with support from the other agencies if needed.

Sub-element 2.3: Does it identify current and future resources?

- EARS providers highlighted the exploitation of older people by agencies (particularly government agencies) as part of their operations. Agencies may use older people as support systems without proper assessment or information and insufficient regard to the risk on the older person. Although this exploitation appears to be born from a lack of understanding about the affect these activities may have on older people, they can have significant consequences. Examples of exploitations are putting mokopuna and parolees in older relatives' care without undertaking appropriate assessments and providing resources to ensure all parties are safe and supported.

The need for more culturally diverse services

Elder abuse occurs across all cultures and ethnicities, however, there are differences between what is perceived as elder abuse and how people respond to prevention and intervention methods.^{6,37,38} Typically, definitions and responses to elder mistreatment, neglect and abuse in Aotearoa are commonly based on a white, heterosexual, cisgender, middle class perspective. This is often replicated in the institutional practices, laws and policies. This results in the approach to elder abuse reflecting only a portion of older people and their lived experiences.

Currently, elder abuse services and support are mainly designed and delivered by pākehā services to pākehā. Although there are a handful of kaupapa Māori providers delivering EARS, they are only available in parts of the Central North Island and Bay of Plenty areas. Many of them also predominantly work with pākehā due to difficulties in engaging other ethnic and cultural groups, even Māori. Some EARS providers indicate that the levels of Māori engaging with their services are increasing, and that this is due to significant investment in building relationships with local iwi and whānau Māori outside of elder abuse services. However, practices may still be pākehā-derived, and most EARS providers recognised that there are significant gaps in services that reflect Pasifika, Asian, and migrant/refugee people's needs.

Providers noted that older people from minority cultures are often not aware that elder abuse services and/or support services for older people are available, and that this represents an important gap in current service delivery. This barrier to engagement is compounded when an older person does not speak English and the service only provides pākehā-based support and only English-speaking services. Therefore, they rely on their whānau and friends to interact with institutions and agencies.

There is a lot of shame associated with elder abuse, particularly abuse by children or mokopuna. Therefore, older people may not feel comfortable speaking to someone about the abuse they are experiencing or approaching elder abuse services. Some may not feel comfortable accessing elder abuse services which do not reflect their culture, whereas others may prefer to go to a service which does not. However, typically they do not have a choice of provider, as there is usually only one available in a region.

Funding and Contracting

Funding

Section 3.3

Dedicated funding for delivering transport priorities

- ¹⁰⁴ Revenue raised from the land transport system (Fuel Excise Duty (FED), Road User Charges (RUC) and motor vehicle registration and licensing fees) is put into the Fund to be used on transport projects. Use of the Fund should:
- create transport-related benefits
 - generally be used to address today’s transport priorities.
- ¹⁰⁵ An increase in fuel excise duty and road user charges has not been modelled as part of this GPS. There will be no increase to FED and RUC in the first three years of this GPS. Track user charges to be paid by rail operators will be introduced by 2021/22 and will contribute to the Fund. The revenue for the Fund is projected to increase from around \$4.4 billion in 2021/22 to \$5.1 billion in 2030/31.
- ¹⁰⁶ Local government supplements the Fund with their ‘local share’ to help meet the cost of investments that benefit their communities.
- ¹⁰⁷ Table 2 reflects the total expenditure target (the expected level of expenditure based on projected revenue for the Fund) along with the maximum and minimum for the first six years of GPS 2021. Actual expenditure will vary with actual revenue collected in the Fund.
- ¹⁰⁸ Waka Kotahi is required to match its expenditure to the target expenditure set out in GPS 2021. However, it is legally required to limit its spending to the levels of available revenue in the Fund. Because both the timing and levels of revenue and expenditure are subject to uncertainty, the LTMA 2003 provides for an allowable variation to be set in a GPS as a way of managing any imbalances that arise. The Minister may vary the expenditure target. Surpluses can be carried forward from one financial year into the next.
- ¹⁰⁹ Waka Kotahi will manage the long-term sustainability of its transport investment programme. In managing the transport investment programme it should consider fiscal adequacy and resilience to unexpected events, and the ability to cope with long-term trends that create future fiscal risks.
- ¹¹⁰ Waka Kotahi will need to manage both short-term cash flow issues and long-term commitments such as public private partnerships.

Table 2: National Land Transport Programme funding ranges 2021/22 to 2026/27

	2021/22 \$m	2022/23 \$m	2023/24 \$m	2024/25 \$m	2025/26 \$m	2026/27 \$m
Expenditure target	4,500	4,550	4,650	4,700	4,800	4,850
Maximum expenditure	4,700	4,750	4,850	4,900	5,000	5,050
Minimum expenditure	4,300	4,350	4,450	4,500	4,600	4,650

Best practice example 8: Ministry of Transport

Government Policy Statement on Land Transport 2021/22–2030/31 (GDS24–08), pp. 31, 34–35 (continued).

Table 3: Activity classes and funding ranges

Activity class	Expenditure reporting line	Definition	GPS 2021 funding ranges							Forecast funding ranges				
			2021/22 \$m	2022/23 \$m	2023/24 \$m	2024/25 \$m	2025/26 \$m	2026/27 \$m	2027/28 \$m	2028/29 \$m	2029/30 \$m	2030/31 \$m		
Road to Zero	Safety infrastructure	Investment in safety infrastructure and speed management treating high risk corridors and intersections												
	Road policing	Investment in road policing and associated equipment	910	940	960	1000	1040	1070	1080	1110	1140	1170		
	Automated enforcement	Investment in automated enforcement	820	840	870	900	930	960	970	1000	1020	1050		
Public Transport Services	Road safety promotion	Investment to support behavioural changes to improve road safety outcomes.												
	Service operation	Investment in the operation of existing public transport networks and services to improve utilisation and maintain existing levels of service	600	630	700	820	900	920	950	970	1000	1030		
	Service improvement	Investment in new public transport services to improve the level of service and encourage the uptake of public transport	380	410	420	430	440	450	470	480	490	510		
Public Transport Infrastructure	Existing	Investment in maintaining the level of service of existing public transport infrastructure	770	850	860	780	830	850	810	810	850	870		
	New	Investment in new public transport infrastructure to improve the level of service	450	450	370	340	350	350	350	350	370	380		
Walking and Cycling Improvements	Walking and cycling	Investment to improve the level of service and increase uptake for walking and cycling including promotional activities	180	175	195	115	115	115	120	120	120	120		
	Existing	Investment in improving the capacity or level of service on existing local roads	85	90	105	75	75	75	80	80	80	80		
Local Road Improvements	Existing	Investment in improving the capacity or level of service on existing local roads	300	250	290	280	130	130	140	140	140	150		
	New	Investment to optimise utilisation, improve the level of service and improve capacity where needed	100	100	100	110	50	50	50	60	60	60		
State Highway Improvements	Existing	Investment in improving the capacity or level of service on existing state highways	1250	1000	1000	950	900	900	900	850	850	850		
	New	Investment to optimise utilisation, improve the level of service and improve capacity where needed	800	800	800	750	700	600	450	350	350	300		
State Highway Maintenance	Operate	Investment in the operation of existing state highways to optimise existing infrastructure and deliver an appropriate level of service												
	Maintain	Investment in the maintenance of existing state highways to deliver an appropriate level of service, excluding asset upgrades	960	980	1000	1050	1090	1080	1080	1110	1150	1190		
Local Road Maintenance	Renew	Investment in renewal of existing state highways to deliver an appropriate level of service	740	750	770	800	850	870	910	950	980	1020		
	Emergency	Urgent response to transport network disruptions to restore an appropriate level of service												
Investment Management	Operate	Investment in the operation of existing local roads to deliver an appropriate level of service												
	Maintain	Investment in the maintenance of existing local roads to deliver an appropriate level of service, excluding asset upgrades	780	780	800	850	840	880	880	900	930	950		
Coastal Shipping	Renew	Investment in renewal of existing local roads to deliver an appropriate level of service	650	670	680	700	720	730	750	770	790	810		
	Emergency	Urgent response to transport network disruptions to restore an appropriate level of service												
Rail Network	Planning	Investment in the transport planning, research and funding allocation management	85	90	95	95	85	85	85	85	85	100		
	Sector research Management	Investment in coastal shipping to support the efficiency and resilience of the coastal shipping sector	70	75	75	75	80	80	80	80	85	85		
Coastal Shipping	Planning	Investment in coastal shipping to support the efficiency and resilience of the coastal shipping sector	15	15	15	0	0	0	0	0	0	0		
	Sector research Management	Investment in coastal shipping to support the efficiency and resilience of the coastal shipping sector	10	10	10	0	0	0	0	0	0	0		
Rail Network	Planning	Investment to enable kiwiRail to deliver a reliable and resilient national rail network	170	170	170	170	170	170	170	170	170	170		
	Sector research Management	Investment to enable kiwiRail to deliver a reliable and resilient national rail network	120	120	120	120	120	120	120	120	120	120		

Sub-element 2.4: Does it identify what resources it does not have and needs to acquire or work around?

Best practice example 9: The Treasury

He Tirohanga Mokopuna 2021 – Combined Statement on the Long-term Fiscal Position and Long-term Insights Briefing (GDS32–03), pp. 75–76.

2.6

Modernising the public finance system

The public finance system (PFS) governs the use of public resources, and the means through which we as a country ensure that public spending is having as positive an effect on our living standards as possible.

It has been 30 years since the system has been fundamentally reformed. While the system has worked well, there are opportunities to improve it to meet new and enduring challenges and maximise the value taxpayers get from public spending.

Any changes are not likely or intended to generate large fiscal savings, but they can support our management of long-term fiscal pressures by ensuring that public spending is as high-value as possible.

2.6.1 New Zealand's public finance system

The PFS, which governs the use of public resources, is a key part of New Zealand's system of government. It influences both the short-term delivery of government services, and their long-term sustainability (table 14).

The PFS includes the system for:

- How governments establish what they aim to achieve, including wellbeing objectives, with the money they collect from taxpayers;
- How governments budget, allocate funding and manage the overall fiscal position to improve the wellbeing of the nation, both now and in the future. This includes expenditure, revenue, and balance sheet management (e.g. the level of assets and liabilities held);
- Checks and balances to ensure that public money is used wisely and for the purposes intended. Parliamentary authorisation of government spending plans is central to this: the government cannot levy a tax, borrow or spend money except with the authority of Parliament; and

- Accountability requirements for government departments and agencies around the use of public resources, including requirements for strategic planning, and performance reporting.

The annual Budget process is where the Government makes many spending and revenue decisions, which need to align with its fiscal strategy. These decisions have an impact on New Zealanders' living standards through the way in which resources are distributed – now and across future generations. Fiscal strategy decisions are also one way the government can affect the rate at which the four capital stocks outlined in the Treasury's Living Standards Framework (natural, human, social, financial and physical) change over time.¹¹³

The Public Finance Act sets out principles of responsible fiscal management which governments must adhere to when setting fiscal strategy. This includes maintaining debt at prudent levels and considering the intergenerational impacts of spending and revenue decisions. These principles are not intended to be prescriptive and there is flexibility in terms of how each government interprets and applies these principles.

2.6.2 Modernising New Zealand's public finance system

It has been 30 years since the PFS was last fundamentally reformed. While the system has worked well in many ways, and has continued to evolve, a number of concerns have been challenging to address:

- Public finances are under pressure, which has increased post-COVID-19. There is a need to achieve greater value from baseline spending and improve fiscal management and sustainability. The system currently focuses heavily on options for new spending, with limited attention to the value gained from existing expenditure.
- The PFS does not adequately support joined-up work on cross-sector issues, particularly the response to complex, intergenerational issues.
- The annual government reporting and funding cycle is short, consumes a large amount of time and effort, and can be superficial. It can be hard for departments and agencies to focus on long-term wellbeing and sustainability.

To help address some of these issues, the Treasury is looking at opportunities to modernise the PFS. The objective of this work is to support better fiscal management through improved and more collaborative planning, reporting and funding arrangements.¹¹⁴

¹¹³ See background paper *How fiscal strategy affects living standards* for more analysis on how fiscal strategy choices affect the living standards of New Zealanders now and in the future. For background papers, see: <https://www.treasury.govt.nz/publications/strategies-and-plans/long-term-fiscal-position>

¹¹⁴ This work is intended to complement the initiatives to increase public service collaboration, including new organisational forms to support progress in priority areas, in the Public Service Act 2020.

Best practice example 9: The Treasury
He Tirohanga Mokopuna 2021 – Combined Statement on the Long-term Fiscal Position and Long-term Insights Briefing (GDS32-03), pp. 75-76.

Over the last few years, the Government has implemented a programme of spending reviews, feeding into the Budget process. Spending reviews allow insight into the performance and value for money of government by assessing the efficiency, effectiveness, sustainability and resilience of current baseline spending.

As a next step, the Minister of Finance has decided to trial a new approach to making Budget decisions. This involves agencies with common or overlapping areas of responsibility being brought together to agree on cluster-specific priorities, strategic planning and performance reporting. In Budget 2022, we are testing this model using two pilot clusters – Justice and Natural Resources. The lessons we learn from this experience will help shape a public finance system that can better serve the interests of New Zealanders and manage some of the complex, multigenerational issues that we are facing.

It is important to note, however, that having better tools is only part of the solution to the country's long-term fiscal challenges. While potentially useful, changes to the PFS are unlikely to generate large fiscal savings or change the nature or order-of-magnitude of the significant policy choices and trade-offs governments face in the future.

These changes will, however, help shift the focus to more value-for-money expenditure, including investing in expenditure that will deliver long-term gains in both outcomes and cost.

Table 14: Overview of the public finance system

	Parliament Authorises	Ministers Govern	Departments/Agencies Administers
Role	<ul style="list-style-type: none"> Approves spending Scrutinises the Executive Represents the people 	<ul style="list-style-type: none"> Set priorities and allocate funding Direct officials Accountable to Parliament 	<ul style="list-style-type: none"> Manage public money Deliver services Accountable to Ministers
Rules	<p>Public Finance Act and Standing Orders</p> <ul style="list-style-type: none"> Estimates of Appropriations and supporting information Annual review process <p>Office of the Auditor General</p> <ul style="list-style-type: none"> Supports Parliament scrutiny 	<p>Public Finance Act</p> <ul style="list-style-type: none"> Fiscal responsibility and fiscal strategy requirements Wellbeing budget priorities Responsibilities of Ministers <p>Non-statutory</p> <ul style="list-style-type: none"> Budget and Cabinet processes 	<p>Public Finance Act, Crown Entities Act and Public Service Act</p> <ul style="list-style-type: none"> Role of chief executives and boards Reporting by departments and agencies to portfolio Ministers Annual reports and performance information

Source: *The Treasury*

Current MSD contracts are output based without meaningful results-based measures. This includes counting volumes served and does not provide us with an understanding of the effectiveness of services in helping whānau to become violence free nor the need for services in an area. Furthermore, once a case is closed there is currently no funding or requirement for organisations to try to sustain engagement with whānau, leading to a lack of knowledge about the long-term outcomes of our services. To shift to a better understanding of effectiveness, we need to better understand and measure the outcomes for families and whānau, rather than the outputs of service delivery. To enable providers to achieve positive outcomes for whānau we need to allow more time and flexibility for providers in how they deliver services and we need to recognise that working in a holistic way means that one service cannot alone provide all the support an individual or whānau need to heal and live a violence free life. MSD must also work with providers to better evaluate what works and strengthen and improve services that are not as effective.

❖ **The current allocation of funding does not consider community need**

There is wide variance across the country and within funding lines as to how much we fund providers for specific services. Different communities and different regions of New Zealand have nuanced service needs, but MSD has relied on the initiative of providers to seek additional funding, rather than on understanding and addressing the needs of communities themselves. Over time, this approach has left some populations better provided for than others and has meant that there are geographical gaps in service provision.

MSD's total spend for family violence is greater in some regions compared to others. While the current distribution of spend attempts to approximate need, current funding is based on estimated need identified a number of years ago. This approach to estimating need lacks robust data to support the current distribution of funding. Moreover, within individual funding lines there are significant geographical gaps in coverage, highlighting the inadequacy of this approach to funding, such as funding for non-mandated perpetrator services.

For other vested government agencies funding family violence services, the level of investment in an area is likely less to do with the underlying need of an area, and more about the presenting demand for a service (e.g. number of protection orders for the Ministry of Justice).

❖ **Government has not enabled the strategic and consistent capability development of the family violence sector**

Most people's experiences of family violence are unique: there's no single linear path to long-term recovery. Responses for those experiencing family violence need to be tailored and flexible to enable whānau to achieve desired positive outcomes. Currently, the ability to work this flexibly is not a feature of all services or contracts³⁶. The sector is not adequately funded or supported by government to sustainably build its staff capability, to ensure crisis response is consistently high quality and the workforce have the skills to tailor services for individuals with complex needs. Service users report varying experiences with staff in family violence NGOs. This is a significant risk when we know an individual's poor first experience with a service affects their willingness to further engage with any service³⁷.

A well-functioning system relies on a high quality workforce. The *Family Violence, Sexual Violence and Violence within Whānau Workforce Capability Framework* was released in 2017

regions to respond to family violence, we plan to invest in regional support to deliver the following functions:

- Communication, consistency and interaction between providers and the wider sector; enable an enhanced coordinated approach
- Respond to whānau needs, with improved enhanced service synchronisation
- Increase wider sector’s capability when responding to family violence.

The additional regional support will also help facilitate communication between national and regional levels, with a view to improving services, capability and policy. This will also allow the dissemination of changes to policy and legislation to be communicated and effected more efficiently. The additional regional support will enable the capability development of the family violence sector, helping to ensure providers and the wider sector have more confidence in delivering services and are using a shared language and understanding of family violence. This should enhance the client experience, leading to reductions in clients repeating their stories or receiving different levels of support across the sector.

Whatever the regional support looks like on the ground, it will need to work in partnership with providers as well as being accountable to them. It can play a key role in conveying regional complexities and emerging issues directly to the national level for swifter consideration. These organisations will support safe and effective information sharing across the family violence system to ensure appropriate referrals are made that are client and outcomes-focused.

The regional support will form part of the integrated family violence system that is being developed with the joint venture and help strengthen existing infrastructure, which will support sector collaboration. Evidence⁴² indicates that an integrated system is required to meet the challenges faced in preventing and responding to complex problems such as family violence and the Backbone Organisations will be essential in delivering this by improving service delivery, strengthening routes to services, increasing consistency, allowing local innovations in dealing with family violence and, thus, resulting in better outcomes for families, whānau and communities. As regional support is a core infrastructure component of the future family violence system, they are likely to be phased in over time as funding is available. Working collaboratively is not easy and MSD recognises that the implementation of this may also take time.

Enablers to drive change

We recognise the need to shift the way we commission and contract family violence services. The current approach to family violence is too narrow and centred around crime and crisis. MSD has started to implement the following enablers to drive change in the way we commission, contract and deliver family violence services.

❖ **Enabler 1: Applying fair funding**

One thing we heard from providers across the country, is that they want to be funded a fair amount for the work they are contracted to do and for the amount it realistically costs to deliver their services (including overheads such as rent etc). We recognise the current approach to allocating funding does not consider an area’s population level or the local demand for family

violence services, and that there is significant variation in the amount MSD currently funds providers to deliver similar services. We also recognise that the current approach to funding creates inequities. Therefore, we have begun work to address this by creating a fairer funding allocation model that considers both the overall service demand, based on the population of an area, and the relative service demand arising from specific features of a local population.

Our understanding of fairness would mean paying providers a fair amount for the work they are doing, and targeting our investment towards communities with the greatest need for family violence services. In order to pay providers a fair amount the contributory funding approach is no longer suitable. However, a shift away from the contributory model will require significant financial investment and would need to be phased in over time.

The new allocation model aims to highlight geographic areas with the highest rates of IPV. We are using territorial authorities (TAs) for the allocation model because most statistical datasets are available at this level. There are 67 TAs across New Zealand, allowing us to compare the demand for family violence services at a relatively localised level.

These datasets produce a model of estimated need for family violence services across New Zealand. However, we also know that an area's funding amount cannot be based just on estimated need; it also needs to be balanced with the population level in that area. For example, if a community is considered lower need, but is extremely populous, then it will still need a high level of funding to adequately cater to the number of people experiencing family violence in that large community, even though their relative need is less than other areas. Similarly, an area of high need, but with a small amount of people, will need funding, but will not need as much funding as an area with the same level of predicted need but greater numbers of people. Our potential future funding allocation model will consider both predicted need balanced with population. Over time as better data becomes available we are committed to refining and improving the allocation model.

While many of our agency partners such as Police, Justice and District Health Boards hold datasets about family violence, these datasets follow contact points with crime and emergency services. Whereas, the model we have developed is established on evidence-based probability and risk factors⁴³. Some of the key datasets to predict service need across New Zealand include:

- Number of child notification reports of concern to Oranga Tamariki where further action is required
- Demand for mental health services
- Percentage of sole parents
- Relative poverty and accessibility of services
- Percentage of overcrowded households
- Percentage of people on a main benefit
- Percentage of the local population who are women between 15-25
- Percentage of the local population who are women between 25-40
- Ethnic demographics of community
- Average number of children in a family.

Element 3:

Vision and Benefits (Purpose)

- 3.1. Does it provide a clear vision as to what success would look like (a desired future condition)?
- 3.2. Does it identify who the beneficiaries are and how they will benefit?
- 3.3. Does it describe how success will be measured and over what time frame?

Sub-element 3.1: Does it provide a clear vision as to what success would look like (a desired future condition)?

Best practice example 11: Department of Conservation

Hector's and Māui Dolphin Threat Management Plan 2020 (GDS02-15), pp. 4–6.

There has been extensive research on Hector's and Māui dolphins since the mid-1980s. The recent development of a new multi-threat risk assessment process allows decision-makers to better assess the relative importance and spatial distribution of key threats to the subpopulations and how those threats could be mitigated.⁶

A public consultation document was released in 2019 and Ministerial decisions and implementation of the current management measures took effect in 2020.

Further consultation on fisheries measures in the South Island

While announcing decisions on new fisheries measures, the Government noted its intention to consult on an extension of the set net ban around Banks Peninsula, the use of trawl gear restrictions to avoid dolphin interactions, and a proposed management approach to use in the event of captures in areas not closed to set net or trawl fishing. Fisheries New Zealand will undertake this review in 2021/22.⁷

Vision, goals and objectives

Vision

The vision of the Hector's and Māui dolphin TMP is that:

New Zealand's Hector's and Māui dolphin populations are resilient and thriving throughout their natural range.

Goals

The long-term goal of the TMP is that:

Hector's and Māui dolphin subpopulations are thriving or increasing, supported by an enduring, cohesive and effective threat management programme across New Zealand.

Underpinning this are four medium-term goals.

- 1. Ensure that known human-induced threats are managed within levels that allow subpopulations to thrive and recover:** There is a range of human-induced threats that may have adverse effects on the dolphins. This goal is intended to help ensure that those threats are managed at levels that allow the subpopulations to collectively achieve the overall desired outcome expressed in the vision statement.
- 2. Engage all New Zealanders in Hector's and Māui dolphin conservation:** There is a need to engage the public of Aotearoa New Zealand to help understand and, where possible, support the management of human-induced threats to the dolphins. This goal will drive objectives around the ongoing use of stakeholder forums; transparency and accessibility to information on the plan and its performance; education about the dolphins and the threats facing them; and what the public can do to support threat management.

⁶ www.doc.govt.nz/our-work/protecting-species/protecting-marine-species/our-work-with-maui-dolphin/hectors-and-maui-dolphin-threat-management-plan/reviews/

⁷ www.mpi.govt.nz/fishing-aquaculture/sustainable-fisheries/protecting-marine-life/protecting-hectors-and-maui-dolphins/

3. **Understand how tangata whenua wish to exercise kaitiakitanga of Hector's and Māui dolphins:** DOC and Fisheries New Zealand will work with tangata whenua to enable them to strengthen their participation in efforts to understand the threats to the dolphins and better protect them, based on mātauranga Māori values and concepts.
4. **Improve knowledge of poorly understood threats to support long- and medium-term goals, which are effectively targeted, measurable and time-bound:** Some human-induced threats to the dolphins are poorly understood. Agencies will identify and resource new research and monitoring to improve our understanding of the nature and extent of those threats.

Population outcomes

Setting population outcomes helps to further define medium-term goal 1, as these establish the maximum acceptable impact level for each human-induced threat for each subpopulation. Population outcomes also help to drive objectives to manage specific threats.

The following population outcomes are sought for these subspecies.

- **Māui dolphin:** *Human impacts are managed to allow the population to increase to a level at or above 95% of the maximum number of dolphins the environment can support. A population outcome of 95% means that human-induced deaths need to be as near as practicable to zero.*
- **Hector's dolphin:** *Human impacts are managed to allow the population to increase to a level at or above 90% of the maximum number of dolphins the environment can support. Since the Hector's dolphin population is much larger than the Māui dolphin population, the acceptable level of impact can be higher while still allowing the population to increase to a very high proportion of the maximum number of dolphins the environment can sustain. This allows a balance between rebuilding the Hector's dolphin population and the socioeconomic impacts of measures that have been put in place to do so.*

Objectives

Where possible, objectives have been set for the medium-term goals to allow for more specific, measurable and/or time-bound outputs to be assessed.

Regular reports will document progress against these objectives and set out relevant performance measures.

Fisheries management objectives

1. Ensure that dolphin deaths arising from fisheries threats do not:
 - exceed the maximum number of human-induced deaths that could occur to achieve the applicable population outcome with 95% certainty⁸
 - cause localised depletion
 - create substantial barriers to dispersal or connectivity between subpopulations.

⁸ The maximum number of human-induced deaths that could occur while achieving the associated population outcome is also referred to as the population sustainability threshold (PST).

2. Allow localised Hector's dolphin populations to recover to and/or remain at or above 80% of their unimpacted status (ie if fishing was not occurring) with 95% certainty.

Toxoplasmosis management objective

3. Reduce the loading of *Toxoplasma* parasites in the marine environment so that the number of dolphin deaths attributable to toxoplasmosis is near zero.

Management objectives for other human-induced non-fishing threats

4. Ensure that adverse effects on the dolphins from other human-induced threats are avoided or minimised.

This objective may be met through, among other things, interventions under the:

- **Marine Mammals Protection Act 1978**
- **Marine Mammals Protection Regulations 1992**
- **Resource Management Act 1991**
- **Exclusive Economic Zone and Continental Shelf (Environmental Effects) Act 2012.**

Engagement objectives

5. Ensure that New Zealanders are aware of and can identify Hector's and Māui dolphins.
6. Improve public understanding of the reasons and processes to report dolphin sightings.
7. Improve public understanding of the reasons and processes to report live strandings and beachcast dolphin carcasses.
8. Improve public understanding of how threats from activities that can cause human-induced effects on the dolphins are being managed.
9. Empower whānau, hapū and iwi to exercise kaitiakitanga for Hector's and Māui dolphins, and incorporate mātauranga Māori into the TMP.

Research objectives

10. Improve information on the cause of death of beachcast dolphins.
11. Improve understanding of diseases impacting Hector's and Māui dolphins.
12. Improve information on dolphin distribution and movements.
13. Improve information on the distribution of dolphin prey.
14. Continue to monitor population size, trends and factors important to population growth for Māui and Hector's dolphins.
15. Improve information on fisheries impacts.
16. Improve estimation of dolphin subpopulation statuses and trends.
17. Review the 5-year research plan annually.

Sub-element 3.2: Does it identify who the beneficiaries are and how they will benefit?

Best practice example 12: Department of the Prime Minister and Cabinet
Child and Youth Wellbeing Strategy 2019 (GDS05-03), pp. 15-17.

New Zealand's population is also becoming increasingly diverse as people move here to live and raise their children. Auckland is one of the most diverse cities in the world. With a population of about 1.4 million, Auckland has more than 220 recorded ethnic groups, with more than 150 different languages spoken daily. Recent migrants and refugees who gave feedback on the Strategy said they want to feel their cultures are valued and embraced, and recognition that they bring strengths, knowledge and global connections to New Zealand.

New Zealand has a range of vibrant and diverse communities and cultures. While we lack recent data on children and young people with disabilities, the 2013 Disability Survey found an estimated 11 percent of those under 15 years old are disabled. The disability community encompasses a range of groups. For example, some people in the deaf community see themselves as part of a distinct culture with its own language, values, and traditions.

Some young New Zealanders identify as belonging to the LGBTQIA+¹² (or rainbow) community. In the Youth'12 national survey of secondary school students (Youth Survey 2012), 4 percent identified as being attracted to the same sex or both sexes, and 4 percent were not sure or were attracted to neither sex. About 1 percent of young people identified as transgender. The 2018 General Social Survey found 5.4 percent of young people aged 18-24 identify as bisexual and 0.8 percent identify as gay or lesbian.

The Strategy reflects the diversity of New Zealand's children and young people. The Strategy's principles and outcomes challenge communities to think positively about how they can best embrace diversity and engage with all children and young people.



"BEING ABLE TO BE ME. WITHOUT FEAR OF BEING ABANDONED OR DISOWNED."

OVERVIEW: THE FRAMEWORK

Our Vision: New Zealand is the best place in the world for children and young people.

CHILDREN and YOUNG PEOPLE...



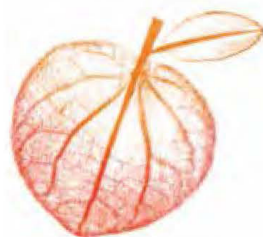
... are **LOVED, SAFE** and **NURTURED**

This means:

- they feel loved and supported
- they have family, whānau and homes that are loving, safe and nurturing
- they are safe from unintentional harm
- they are safe from intentional harm (including neglect, and emotional, physical and sexual abuse)
- they are able to spend quality time with their parents, family and whānau

Indicators:

- Feeling loved
- Feeling safe
- Family/whānau wellbeing
- Injury prevalence
- Harm against children
- Quality time with parents



... have **WHAT** they **NEED**

This means:

- they and their parents or caregivers have a good standard of material wellbeing
- they have regular access to nutritious food
- they live in stable housing that is affordable, warm and dry
- their parents or caregivers have the skills and support they need to access quality employment

Indicators:

- Material wellbeing
- Child Poverty: Material Hardship
- Child Poverty: Low income BHC50
- Child Poverty: Low income AHC50
- Food insecurity
- Housing quality
- Housing affordability



... are **HAPPY** and **HEALTHY**

This means:

- they have the best possible health, starting before birth
- they build self esteem and resilience
- they have good mental wellbeing and recover from trauma
- they have spaces and opportunities to play and express themselves creatively
- they live in healthy, sustainable environments

Indicators:

- Prenatal care
- Prenatal exposure to toxins
- Subjective health status
- Preventable admissions to hospital
- Mental wellbeing
- Self-harm and suicide

The following principles reflect the values New Zealanders have said are important. They guide the development and implementation of the Strategy.

1. Children and young people are taonga.
2. Māori are tangata whenua and the Māori-Crown relationship is foundational.
3. Children and young people's rights need to be respected and upheld.

Essence: Whakatōngia te kākano aroha i roto i ā tātou
 taitamariki kia puāwai i roto i tō rātou tupuranga aranui oranga.
 Plant the seed of love in our children and they will blossom,
 grow and journey towards the greatest pathway of life.



This means:

they are positively engaged with, and progressing and achieving in education
 they develop the social, emotional and communication skills they need as they progress through life
 they have the knowledge, skills and encouragement to achieve their potential and enable choices around further education, volunteering, employment, and entrepreneurship
 they can successfully navigate life's transitions

Indicators:

- Early learning participation
- Regular school attendance
- Literacy, numeracy and science skills
- Social skills
- Self-management skills
- Youth in employment, education or training

This means:

they feel accepted, respected and valued at home, school, in the community and online
 they feel manaakitanga: kindness, respect and care for others
 they live free from racism and discrimination
 they have stable and healthy relationships
 they are connected to their culture, language, beliefs and identity including whakapapa and tūrangawaewae

Indicators:

- Ability to be themselves
- Sense of belonging
- Experience of discrimination
- Experience of bullying
- Social support
- Support for cultural identity
- Languages

This means:

they contribute positively at home, at school and in their communities
 they exercise kaitiakitanga: care of the land and connection to nature
 they have their voices, perspectives, and opinions listened to and taken into account
 they are supported to exercise increasing autonomy as they age, and to be responsible citizens
 they and their families are supported to make healthy choices around relationships, sexual health, alcohol, tobacco, and other drugs

Indicators:

- Involvement in community
- Representation of youth voice
- Making positive choices
- Criminal offending

- 4. All children and young people deserve to live a good life.
- 5. Wellbeing needs holistic and comprehensive approaches.
- 6. Children and young people's wellbeing is interwoven with family and whānau wellbeing.
- 7. Change requires action by all of us.
- 8. Actions must deliver better life outcomes.
- 9. Early support is needed.

Sub-element 3.3: Does it describe how success will be measured and over what time frame?

Best practice example 13: Department of Internal Affairs

Regulatory Services Group Strategy 2021–2026 (GDS04–09), pp. 23, 25, 27, 29, 31.

23

This focus area is all about ensuring each system has in place agreed foundational systems and processes – such as a regulatory charter which demonstrates a clear and shared understanding of the regulatory system, and an assurance plan setting out how we will know if the system is effective. This starts the process of defining what RSG means by regulatory excellence.

Strategic initiatives

To be a system regulator, there needs to be a shared understanding of the system – who is in it, what is their role, what are the risks and opportunities, etc. System groups have differing levels of information about this – some systems are more straightforward to describe than others – however, describing a system is just the beginning... getting agreement to the scope and shared outcomes of a system by key participants is the real goal as that will enable the system participants to share information, collaborate on initiatives and share in the achievement of system outcomes.

Likewise, the development of system group assurance plans is dependent on identifying what the most important performance measures are for the system and being able to answer the question, *How will we know if our system groups are effective?*

The initiative above, and the development of system group-specific operating models, supports greater transparency of regulatory systems. Clearly articulated operating models also ensure that system groups have considered what capabilities (people, processes and systems) they need to achieve their objectives, who their stakeholders are, and what channels they will use to deliver their regulatory functions.

The documentation of operating procedures supports consistency of practice, outlines timeliness and quality standard expectations (where relevant) and provides clarity to kaimahi – new and longstanding.

12–18 months
(July 2021 –
December 2022)

Agree and articulate scope, roles and responsibilities, opportunities and risks for each system

Document and consistently implement operating procedures across all system groups

Align system groups' operating models to the RSG strategy

Develop and implement RSG assurance plans

18–36 months
(January 2023 –
June 2024)

Finalise system descriptions with key participants

Targets



Key Focus Area

Embedding our regulatory foundations



Five-Year Success Measures

Four or five regulatory foundations, and target dates for the embedding of these in system groups, will be agreed in conjunction with DIA Regulatory Stewardship and Assurance



Baseline 2021

To be established in 2021

This focus area is about ensuring our people, processes and systems are all fit for purpose – aligned to our strategy and flexible enough to accommodate change.

Strategic initiatives

RSG’s capability initiatives reflect a strong emphasis on kaimahi development, including tools which support career progression and success planning (for example, the capability framework and workforce plan). They also identify where RSG has identified there may be gaps in terms of either capability or functions and that some work will be undertaken to more fully assess these.

The development of a cross-RSG ICT roadmap is about ensuring that system groups are individually equipped with the technology resources they need now and for the future, and that every opportunity is taken to maximise existing and future systems for the benefit of all RSG.

Managing risk is an important part of RSG’s role. An RSG risk tolerance policy will articulate the Group’s risk appetite and tolerance, clarifying what constitutes acceptable risk-taking so that RSG can more effectively manage risk and take advantage of opportunities as they arise.

12–18 months
 (July 2021 –
 December 2022)

Complete capability framework development and implementation (note that implementation will include training, coaching and on-the-job development initiatives)

Develop and implement an RSG ICT roadmap

Develop and implement an RSG workforce plan

Address service design and engagement capability gaps in organisational design

18–36 months
 (January 2023 –
 June 2024)

Continue to develop and mature our capabilities

Targets



Key Focus Area

Strengthening our capability



Five-Year Success Measures

75% of technical capabilities are met across RSG



Baseline 2021

55%

This focus area is about developing an RSG culture that supports regulatory excellence and so the achievement of our vision – and makes RSG a place that people want to join and work in.

Strategic initiatives

Feedback has been received from kaimahi across RSG that there is a strong desire for greater collaboration, celebration and learning across groups, and for there to be a unifying culture. This focus area is primarily about the development of a clearly defined RSG culture and the implementation of a multi-year plan to bring this to life. It will link to foundational DIA documents and ways of work such as the DIA Mātāpono, and DIA Principles and Behaviours.

Also identified as important, and related to the development of an RSG identity or culture, is that RSG establishes itself as a learning environment focused on building regulatory excellence. A plan to support this will be developed; this work is as much about creating a great place to work where kaimahi can learn new skills and where ideas will be welcomed as it is about the provision of training and development.



- 12–18 months** (July 2021 – December 2022)
 - Develop RSG identity
 - Develop RSG as a learning environment in support of regulatory excellence
- 18–36 months** (January 2023 – June 2024)
 - Continue to strengthen RSG culture in support of the vision

Targets

- Key Focus Area**
Aligning our culture and purpose
- Five-Year Success Measures**
Pulse survey feedback shows staff believe RSG is taking effective action to address feedback provided through annual Whakahoki kōrero surveys
- Baseline 2021**
N/A

Evidence, insights and evaluation are the basis of our regulatory interventions – this focus area is about ensuring we have the information we need to make informed decisions, and support our regulatory partners and hapū, iwi and Māori to do the same.

Strategic initiatives

RSG has already commenced this work with the development of a Data, Research and Evaluation (DRE) Strategy. Between July 2021 and June 2024, the DRE Strategy will be implemented across RSG.

Alongside the implementation of the DRE Strategy, RSG will consider whether it has the data, evaluation, insights and intelligence capability it needs for the future (i.e., people, processes and systems). If gaps and/or opportunities are identified, these will be implemented before December 2022.

12–18 months
 (July 2021 –
 December 2022)

Develop and implement Data, Research and Evaluation Strategy

Identify data, evaluation, insights and intelligence capability requirements for the future

Develop and commence implementation of plan to address data, evaluation, insights and intelligence capability requirements

18–36 months
 (January 2023 –
 June 2024)

Continue to implement plan to address data, evaluation, insights and intelligence capability requirements

Targets



Key Focus Area

Harnessing our evidence, insights and evaluation



Five-Year Success Measures

The Data Futures Partnership / NZ Data Trust Governance of Data Guidelines Data Maturity Rubric (DMR) shows RSG has shifted from Fragmented to Partner Ready



Baseline 2021

An assessment by FrankAdvice in 2021 indicated RSG currently sits at Fragmented on the DMR

We cannot work in isolation – our system strategy is about partnering to achieve more. To do that, we need to understand who our key stakeholders and potential partners are and how we can work together.

Strategic initiatives

Our initiatives for this focus area are all about identifying our stakeholders and partners, understanding who they are, what their experience of us is, and determining what kind of relationship we want to have with them (including – for some – how we could work together).

Understanding how hapū, iwi and Māori experience our regulatory systems is a priority. The more we know about this, the better we can target our regulatory activities toward better outcomes for hapū, iwi and Māori and jointly identify opportunities for partnering or collaborating.

While it is expected that each system group will have a stakeholder engagement plan, RSG also needs a stakeholder engagement plan – one which identifies those stakeholders held in common and how we will jointly work with them.

In the first 18 months of this strategy, RSG will commission an external stakeholder survey to understand how effectively system groups are working as system regulators with other participants.

12–18 months
 (July 2021 –
 December 2022)

Partner with hapū, iwi and Māori to understand their experience with RSG regulatory systems and jointly identify priority areas for improvements

Develop RSG and system-specific stakeholder engagement plans with a key focus on identifying and collaborating with partners and influencers

Develop scope for external stakeholder engagement survey/research

18–36 months
 (January 2023 –
 June 2024)

Undertake external stakeholder engagement survey/research, develop and implement plan in response

Targets



Key Focus Area

Maximising our relationships



Five-Year Success Measures

Regulatory partner stakeholder engagement survey



Baseline 2021

Baseline survey to be undertaken in 2022

Best practice example 14: Ministry for Primary Industries
 Aquaculture Strategy and Five-year Action Plan to Support Aquaculture (GDS12-04), p. 4.

OBJECTIVE	ACTIONS and ACTIVITIES ¹	DEPARTMENT Lead	TIMELINE					PERFORMANCE MEASURES (we will know we have succeeded when)
			2011/12	2012/13	2013/14	2014/15	2015/16	
A Healthy Aquatic Environment	Provide risk-based guidance to support ecological impact assessments.	MPI, DOC						<ul style="list-style-type: none"> RMA decisions informed by a national risk assessment of ecological effects Councils in relevant regions have developed an integrated approach to aquaculture that maintains healthy aquatic ecosystems by 2016 Water quality in core aquaculture growing areas maintained or improved Industry biosecurity plans in place by 2014 Producer performance as an aquaculture producer assessed as world leading
	Establish a national aquaculture working group to review science for important applications and planning initiatives.	MPI, MSI						
	Through the implementation of national policy statements ² , facilitate integrated management to support healthy aquatic ecosystems and maintain water quality in aquaculture growing areas.	DOC, MPI, MFE						
	Establish a process to monitor and review environmental performance.	MPI, DOC, MFE						
Quality Planning & Permitting	Establish biosecurity plans for key growing regions.	MPI						<ul style="list-style-type: none"> 80% of regional coastal plans include aquaculture provisions in accordance with the policies in the NZOPS by 2016 4000 ha of new aquaculture space developed by 2016 95% of aquaculture growing areas in high growth regions 95% of consents and UAE tests within statutory timeframes
	Work with regional councils to ensure planning opportunities for aquaculture growth, including through identifying new growing areas in appropriate places and provisions to enable better use of existing space.	MPI, DOC, MFE						
	Partner with industry to develop regional growth scenarios to inform planning and prioritisation.	MPI						
	Work with district councils to ensure district planning enables aquaculture growth.	MPI, MFE						
Effective and Responsive Regulation	Develop best practice guidance for consent processing, consent conditions, information requirements and changes of use to promote national consistency.	MPI, DOC, MFE						<ul style="list-style-type: none"> Ministers are advised on options to review land-based aquaculture in 2012 Reviews of relevant legislation and policies are informed by, and recognise the implications for, aquaculture Ministers are advised on future management frameworks for ranching and enhancement activities by 2014
	Efficiently administer undue adverse effects on fishing test processes (UAE) and other permitting processes.	MPI, EIA						
	Establish and administer the 'Planning Fund' to assist councils' plans for aquaculture growth.	MPI						
	Establish and improve information on the ecological, cultural and social costs and benefits of aquaculture to support decisions and community contact.	MPI, DOC, MFE						
Support Māori Objectives³	Develop options to improve the management of land-based aquaculture.	MPI, DOC						<ul style="list-style-type: none"> Aquaculture settlement achieved within statutory timeframes Two fish plans include Māori aquaculture objectives as appropriate Māori interests are actively considered in aquaculture actions and recorded in advice
	Assist Māori in developing aquaculture objectives as part of fisheries plans, forum fisheries plans, or other processes.	MPI						
	Recognise specific Māori interests across the aquaculture work programme.	MPI						
	Provide ongoing support for Māori development in aquaculture.	MPI, TP, NZTE						
Increase Market Revenues	Develop an aquaculture investment plan to support growth.	NZTE, MFAT						<ul style="list-style-type: none"> Increased export volume and value Trade conditions for aquaculture products improved
	Fund market co-ordination role within Aquaculture New Zealand.	NZTE						
	Ensure where appropriate that government funding for market support includes aquaculture within scope.	NZTE, MFAT						
	Review and document trade barriers in key markets for seafood products.	MPI, MFAT						
Increase Value through Research and Innovation	Within trade negotiations, work to improve trade conditions for seafood products.	MFAT, MPI						<ul style="list-style-type: none"> An agreed plan is in place to implement a new species strategy by 2013 An agreed medium-term research plan is developed for aquaculture 2013 Clear change implications considered across the aquaculture work programme
	Within markets, provide intelligence and market access support.	NZTE, MFAT						
	Maintain and review animal health, biosecurity and food safety management to gain and/or maintain trade access.	MPI						
	Support efforts to demonstrate and market the sustainability of New Zealand aquaculture production, including through third-party certification of aquaculture.	NZTE, MPI, MFAT						
Sound Governance	Develop and implement a strategy for new aquaculture species.	NZTE, MPI, MSI						<ul style="list-style-type: none"> Stakeholders actively engaged in identifying opportunities and risk for aquaculture and the future management of the industry Performance objectives for the other six objectives achieved
	Establish a fit-for-purpose approach to improve prioritisation, co-ordination and alignment of aquaculture research with industry priorities.	MSI, MPI						
	Ensure government innovation funding includes aquaculture within scope.	MSI, NZTE						
	Identify opportunities to enable research and field trials in a timely manner.	MPI						
	Investigate the impacts of climate change and measures to adapt and respond.	MPI, MSI						<ul style="list-style-type: none"> No activity
	Establish appropriate governance groups to support implementation of this strategy, such as the 'Aquaculture Forum'.	MPI						
	Complete annual reviews of the strategy and action plan.	MPI						
			Core action		Implementator/ business as usual			

Element 4:

Approach and Focus (Strategy)

- 4.1. Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other?
- 4.2. Does it identify a range of strategic approaches to solve the problem?
- 4.3. Does it clearly describe the chosen approach, outlining what it will and will not do?
- 4.4. Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)?

Sub-element 4.1: Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other?

Best practice example 15: Government Communications Security Bureau and New Zealand Security Intelligence Service (jointly held)

Diversity & Inclusion Strategy 2021-2025 (GDS07-01), pp. 7, 14-18.

What diversity and inclusion means to us at the NZIC

Our D&I vision
 Our workforce and work environment reflects the diversity of New Zealand, where our collective diversity is celebrated and embraced. Our mission of keeping New Zealand and New Zealanders safe from significant national security threats is strengthened through the different ideas, perspectives, skills, experiences of our diverse workforce.

Diversity
 Diversity is everything that makes us different to each other. It includes visible differences such as ethnicity, sex, age, disability, and physical appearance as well as differences that are less visible such as culture, nationality, education, language, thinking styles, neurological variation, gender identity, sexual orientation, religious beliefs, and spiritual beliefs.

Inclusion
 Inclusion is the practice of valuing the differences each person brings to the workplace, and respecting everyone for who they are. It is about providing an environment where diversity can grow, where barriers are removed, and everyone has equal access to opportunities. Inclusion creates a sense of belonging, and empowers people to contribute their skills, ideas, and perspectives for the benefit of the organisation.

"Evidence shows that when people feel valued, they function at full capacity and feel part of the organisation's mission." (Global Diversity Practice, 2021, What is Diversity & Inclusion, para. 7).

Why D&I matters
 Diversity is central to innovation. It brings forth new and better ways of doing things, but it can only be unleashed when we learn to respect and value each individual regardless of their background.

By having a diverse and inclusive workforce we see benefits such as higher engagement, improved performance, greater innovation, retention of talent, improved staff wellbeing, lower levels of poor behaviour such as harassment and bullying, and increased attractiveness to potential staff.

7

Best practice example 15: Government Communications Security Bureau and New Zealand Security Intelligence Service (jointly held)
 Diversity & Inclusion Strategy 2021–2025 (GDS07-01), pp. 7, 14–18 (continued).



Best practice example 16: Government Communications Security Bureau and New Zealand Security Intelligence Service (jointly held)
Diversity & Inclusion Strategy 2021–2025 (GDS07-01), pp. 7, 14–18 (continued).



Best practice example 16: Government Communications Security Bureau and New Zealand Security Intelligence Service (jointly held)
Diversity & Inclusion Strategy 2021–2025 (GDS07-01), pp. 7, 14–18 (continued).

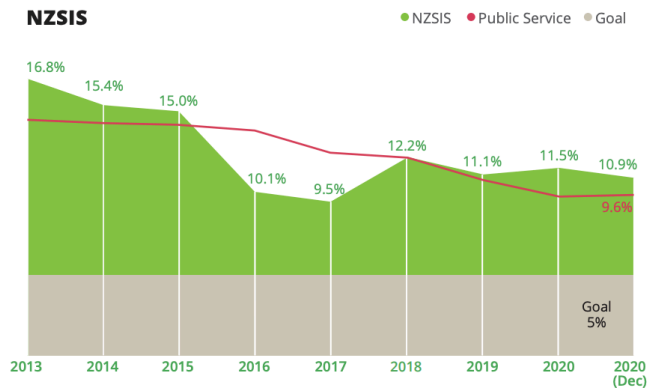
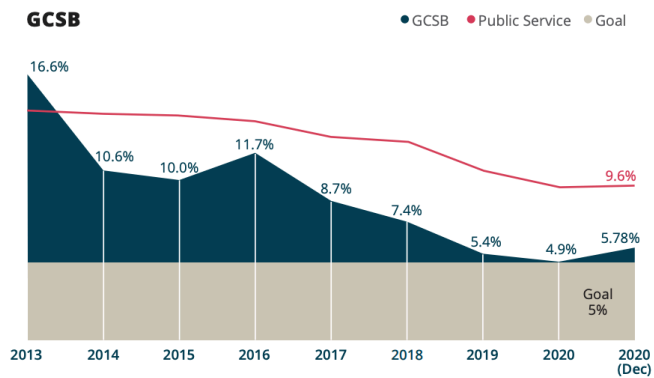
Gender pay gap

Gender Pay Gap compares the average salary of all males to the average salary of all females and is not indicative of a like-for-like pay gap (like-for-like means same job, same band and performance at the same level, and comparable tenure).

While there has been a decrease in the overall representation of women in the GCSB, the representation of women in tier 2-3 roles has helped influence the gender pay gap of 5.78%. The increase in representation of women in the NZSIS is predominantly at lower levels of the organisation, with larger numbers of men in middle management and senior levels. This is driving the gender pay gap of 10.9%, which is well over our June 2021 goal of 5%.

18 |

GOAL Gender Pay Gap – no higher than 5% by 2021.



Best practice example 16: Ministry for Primary Industries

Biosecurity Science Strategy for New Zealand – Mahere Rautaki Putaiao Whakamaru (GDS12-01), pp. ii, 34–37.

EXECUTIVE SUMMARY

A Biosecurity Science Strategy for New Zealand/ Mahere Rautaki Putaiao Whakamaru (the Strategy) addresses the science expectations of the Biosecurity Strategy for New Zealand (2003). It was developed with valuable input from those who use science to improve our biosecurity systems, from science providers and from science funders.

The Strategy highlights the complexity of biosecurity science and the broad range of outcomes that it needs to support. The Strategy recognises that achieving good biosecurity outcomes is dependent on multi-sectoral and multi-disciplinary approaches, and co-operation across the whole science system.

The Strategy identifies a number of challenges for the current biosecurity system. These challenges include the need to:

- › prioritise science needs;
- › minimise biosecurity risks at the earliest stage possible by increasing our focus on research that is strategic and proactive;
- › improve planning, integration and communication in the delivery of science;
- › ensure research outputs can be used effectively to improve biosecurity operations and decision making.

As well as identifying current science needs and priorities, the Strategy outlines a fundamental change in the way that biosecurity science is prioritised and directed. It outlines a biosecurity science system that will provide clear advice on priorities to all those involved in biosecurity science. This system will regularly review and identify research priorities as well as advising on implementing research outputs.

VISION AND GOALS

The vision for the Strategy is:

Biosecurity science is effectively contributing to keeping New Zealanders, the plants and animals we value and our unique natural environment, safe and secure from damaging pests and diseases.

To achieve this vision, the Strategy identifies three key areas as needing development. These make up the three high level goals of the Strategy.

These goals, and the objectives and actions that have been identified to help achieve them, are intended to guide all government agencies and biosecurity stakeholders in decision making about biosecurity science.

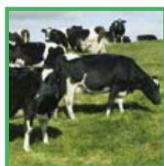
GOAL 1: SCIENCE DIRECTION. To clearly identify and address research needs.

GOAL 2: SCIENCE DELIVERY. To build and maintain biosecurity science capability and capacity in priority areas.

GOAL 3: SCIENCE UPTAKE. To ensure that uptake of science is timely and effective.

OBJECTIVES AND ACTIONS

The Strategy identifies priority objectives and actions. These priorities will guide strategic planning, resource allocation and investment of research activities for all biosecurity science stakeholders. The Strategy also includes a roll-out plan of all actions over the next 25 years.



6.2 GOAL 2: SCIENCE DELIVERY. TO ENSURE WE HAVE THE CAPABILITY, CAPACITY AND RESOURCES FOR TIMELY AND EFFECTIVE DELIVERY OF BIOSECURITY SCIENCE

Having the appropriate scientific expertise and resources to address biosecurity threats is essential. New Zealand has considerable capability in biosecurity science and access to science providers internationally, but there are areas where capability and capacity are limited or non-existent, or where we are overly reliant on international expertise. The objectives identified for this goal address known capability and capacity gaps and ensure we have the right capability and capacity to help deliver biosecurity outcomes in the future.

OBJECTIVE 2.1: BUILD AND MAINTAIN BIOSECURITY SCIENCE CAPABILITY AND CAPACITY IN PRIORITY AREAS

Ensuring we have the right balance of skills to support the biosecurity system requires a clearer understanding of current capability, likely future needs and mechanisms to address the gaps. Work in this area will be ongoing and supported by the biosecurity science system described in Part Two; however, there are a number of areas already known to be deficient.

For example, capacity and capability are underdeveloped in the emerging areas of aquatic biosecurity, indigenous ecosystem biosecurity, and the human health impacts of plant and animal pests and diseases. Capacity and capability are also a particular concern for taxonomy and biosystematics, as biosystematics knowledge and skills provide an important foundation and support for much biosecurity work.

We need to strengthen the integration and application of other science disciplines and forms of

knowledge into biosecurity management, such as the behavioural sciences, economics and mātauranga Māori me ōna tikanga. We also need to develop technological, engineering or business skills to commercialise science outcomes where appropriate.

KEY ACTIONS TO MEET OBJECTIVE 2.1 ARE:

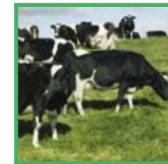
- a. Review, and increase our understanding of, New Zealand’s current biosecurity science capability, including taxonomic and diagnostic capability.
- b. Identify mechanisms to maintain capability where it is sufficient, and address any gaps that cannot be met from international networks.
- c. Build capacity for human health, aquatic and indigenous terrestrial ecosystem biosecurity science – making use of existing non biosecurity-specific capacity in these areas.
- d. Build capacity to apply social science and economics to biosecurity and to use technological, engineering or business skills to commercialise science outcomes.
- e. Build research capability and capacity in mātauranga Māori me ōna tikanga and in integrating mātauranga Māori me ōna tikanga with biosecurity science, and build research capability of Māori in biosecurity science.

OBJECTIVE 2.2: PROVIDE EDUCATION AND TRAINING IN BIOSECURITY SCIENCE

A planned approach to biosecurity science education is critical to ensuring we develop appropriately trained professionals in the system. We want to make biosecurity science a career of choice and raise awareness of the breadth of biosecurity science and issues along with opportunities to work in this area in New Zealand. However, effort in this area should be targeted to

Best practice example 16: Ministry for Primary Industries

Biosecurity Science Strategy for New Zealand – Mahere Rautaki Putaiao Whakamaru (GDS12-01), pp. ii, 34–37 (continued).



skills most needed, and where the largest gains can be therefore be made.

Some work is already under way in this area, such as the existing Centres of Research Excellence and the development of biosecurity courses and chairs of biosecurity science. However, better co-ordination is needed.

KEY ACTIONS TO MEET OBJECTIVE 2.2 ARE:

- a. Identify and promote areas where science education and training will contribute most effectively to desired biosecurity outcomes.
- b. Support development of biosecurity science education and training material and programmes in those areas where it will make the biggest contribution to desired biosecurity outcomes.
- c. Identify and develop mechanisms to address education needs for Māori in relation to biosecurity science and mātauranga Māori me ōna tikanga pertaining to biosecurity science.
- d. Develop targeted training programmes in biosecurity science for stakeholder groups.
- e. Support the development in tertiary institutions of discrete courses, course components and programmes in biosecurity science.
- f. Develop links between biosecurity agencies, research providers and tertiary institutions to increase understanding of the breadth of biosecurity science and promote biosecurity as an attractive career choice.

OBJECTIVE 2.3: FURTHER DEVELOP AND STRENGTHEN LINKS AND PARTNERSHIPS WITHIN NEW ZEALAND

Collaborative ventures are increasing in the delivery of biosecurity research, but many of these are split along sectoral lines. Collaborations within sectors are important but we also need to encourage cross-

sector collaborations to draw on a wider pool of ideas, skills, knowledge and technologies.

Stakeholders, particularly research users and funders, need to work with providers to identify and resource priority science. Effective partnerships should lead to innovative science solutions to biosecurity problems, and will address the needs of government, industry and other stakeholders.

KEY ACTIONS TO MEET OBJECTIVE 2.3 ARE:

- a. Build strategic research teams across the biosecurity system to undertake collaborative projects for priority research areas.
- b. Build science–industry partnerships to enhance industry’s ability to obtain science input into biosecurity planning and operations.
- c. Develop mechanisms to encourage collaborative research partnerships and strengthen multidisciplinary links.
- d. Build partnerships between science providers and Māori in planning, prioritisation and delivery of biosecurity science of particular relevance to Māori.

OBJECTIVE 2.4: FURTHER DEVELOP AND STRENGTHEN INTERNATIONAL LINKS AND PARTNERSHIPS

Significant opportunities exist for improved international collaboration in research planning and implementation. Many countries are investing significant resources into biosecurity science, and the research questions being asked are often similar. There are considerable efficiencies to be gained in co-ordinating research effort and combining outcomes from this research for improved biosecurity outcomes. Strong international relationships with our trading partners will enable us to identify and address biosecurity risks, and allow us to manage risks offshore where this is the best option.



Particular opportunities exist to collaborate with Australia on marine biosecurity and through an increased focus on science partnerships in the quadrilateral arrangements New Zealand has in place for terrestrial plant and animal biosecurity with Australia, Canada, and the USA. Opportunities also exist for collaboration on biosecurity science initiatives with the European Union (EU). Effective international partnerships will enable us to make the most of our finite biosecurity science resources and to draw on a much wider pool of knowledge and experience.

KEY ACTIONS TO MEET OBJECTIVE 2.4 ARE:

- a. Strengthen links between New Zealand and international biosecurity science providers.
- b. Further strengthen existing collaborative science planning and prioritisation through the quadrilateral group initiative (Australia, Canada, New Zealand and the USA) and with the EU for terrestrial animal and plant biosecurity.
- c. Develop a closer partnership approach with Australia and other key countries for aligning and prioritising marine biosecurity research.
- d. Develop partnerships and effective communication mechanisms with new and emerging trade partners to identify and address biosecurity risks, and develop co-operative relationships for biosecurity research, including through trade agreements.

OBJECTIVE 2.5: SUPPORT THE CONTRIBUTION OF MĀORI TO ACHIEVING BIOSECURITY OUTCOMES AND STRENGTHEN THE LINKS BETWEEN MĀTAURANGA MĀORI ME ŌNA TIKANGA AND BIOSECURITY SCIENCE

The understandings of taonga, traditional habitats, lifecycles and an underlying genealogical connection to native flora and fauna, are demonstrated within mātauranga Māori me ōna tikanga. This knowledge

can work to inform biosecurity science in areas such as early warning systems of threats to native flora and fauna, and can provide an in-depth understanding of how the natural environment interacts with societies and communities.

KEY ACTION TO MEET OBJECTIVE 2.5 IS:

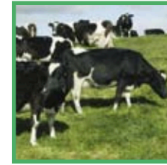
- a. Develop mechanisms for retaining and promoting mātauranga Māori me ōna tikanga and its relevance and use in biosecurity management, consistent with Māori values.

OBJECTIVE 2.6: ENSURE THE RESOURCES AVAILABLE FOR SCIENCE ARE TARGETED TO BEST DELIVER BIOSECURITY OUTCOMES AND THE SCIENCE SYSTEM CAN ADDRESS BOTH SHORT- AND LONG-TERM NEEDS

As well as having the capability and capacity to deliver biosecurity outcomes we also need to make sure we are targeting resources, i.e. the people, funding and infrastructure required, to areas that will best deliver desired biosecurity outcomes. Biosecurity science needs can change rapidly in response to new biosecurity risks. The way that science is funded and managed needs to be sufficiently flexible to deal with high-priority short-term needs, while still protecting high-priority longer-term needs. The establishment of the biosecurity science system described in Part Two will be a key initiative to help address these issues.

Linking capability for delivering biosecurity science research with capability for delivering research in other areas such as biodiversity, public health, environmental management, climate change and primary production will have benefits in terms of economies of scale and enhanced capacity, which can be drawn on when necessary.

Best practice example 16: Ministry for Primary Industries
Biosecurity Science Strategy for New Zealand – Mahere Rautaki Putaiao Whakamaru (GDS12-01),
pp. ii, 34–37 (continued).




KEY ACTIONS TO MEET OBJECTIVE 2.6 ARE:

- a. Ensure biosecurity research priorities and needs are linked with other broader initiatives such as ecosystem research, particularly at central government level, and between central and regional governments.
- b. Encourage the use of multi-agency and multidisciplinary resourcing of biosecurity science where this could improve outcomes and uptake.
- c. Build flexibility for delivery into research contracts to allow for short-term redeployment of staff during biosecurity emergencies if necessary, with minimal disruption to longer-term strategic work.
- d. Identify and prioritise needs for new or improved biosecurity science facilities and related infrastructure.
- e. Develop capacity in the system by ensuring biosecurity research capacity is closely integrated with related research, for example in areas such as taxonomy, biodiversity, horticulture, agronomy and animal production science.

Sub-element 4.2: Does it identify a range of strategic approaches to solve the problem?

Best practice example 17: Statistics New Zealand
Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp. 5-6, 13-16.



Executive summary

Transforming the New Zealand Census of Population and Dwellings presents the issues on the development of a strategic direction and timeline for the transformation of the New Zealand Census of Population and Dwellings. This development is part of Tomorrow's Official Population and Social Statistics Programme.

1. The New Zealand Census of Population and Dwellings provides the official count of all people and dwellings in New Zealand and gives detailed socio-economic information at the community level. The population count recalibrates and improves the accuracy of all official population estimates and projections.
2. Census information determines the number, size, and boundaries of general and Māori electorates, enabling fair constituency representation. It is also used in reviewing electoral arrangements for local government. Census information underpins effective and efficient allocation of government funding; provides unique information for monitoring small populations and localities; and supports future planning at a national, regional and local level.
3. Although the cost of the New Zealand census compares favourably with other countries, increases in population size and per-unit cost have led to significant cost increases between consecutive five-year censuses. Questions have been raised on whether better value could be achieved by a change in the census model or frequency.
4. Internationally, a variety of approaches (models) are used to obtain census information. The approaches taken in each country continue to adapt and evolve in response to various drivers. Drivers of change include costs, quality of information, privacy concerns, technology, decreasing participation, availability of alternative information sources and the strong demand for more frequent information.
5. Investigative work by Statistics New Zealand has shown that with alternative data systems evolving, considerable uncertainty exists around changing the census frequency or model. There is also a lack of clear evidence on which to make decisions on long-term options for the New Zealand census.
6. In recognition of this, the strategy for transforming the census proceeds from a short-term focus on modernising the current census model to achieve efficiencies and reduce costs. In the longer term, the goal is to develop a new census model based on the use of formal registers or existing administrative data sources.
7. Countries that have register-based censuses are able to produce census information at much lower cost, and information can be produced more frequently. Transforming the New Zealand census will involve managing a high degree of uncertainty and complexity, and potentially the need to modify government infrastructure systems. Given this, a phased approach is proposed to the transformation to manage the high level of risk and to ensure continued production of quality population statistics. Four phases are proposed.
 - Phase 1 – 2011–15: Develop new collection processes for the five-yearly census and progress investigation of existing administrative data sources.
 - Phase 2 – 2016–20: Implement new collection processes in the 2018 Census and determine improvements to data sources for an administrative census.

Best practice example 17: Statistics New Zealand
Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp. 5-6, 13-16
(continued).

Transforming the New Zealand Census of Population and Dwellings: Issues, options, and strategy

- Phase 3 – 2021–25: Complete new collection processes; review timing of future censuses and progress development of administrative data sources.
 - Phase 4 – 2026–30: Complete evaluation and implementation of an administrative census, if feasible.
8. The sequencing of the phases is premised on continuing an increasingly efficient five-yearly census until alternative options become feasible. This will ensure minimal disruption to delivering critical population statistics and assist more rapid implementation of the strategy, since census data are needed to evaluate options. At the end of each phase, an evaluation report will ensure that progress and prospects are clearly signposted and that investment requirements can be reassessed as required and targeted effectively. It will also provide government policy choices at this time.

Best practice example 17: Statistics New Zealand

Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp. 5-6, 13-16 (continued).

Transforming the New Zealand Census of Population and Dwellings: Issues, options, and strategy

45. Statistics Canada is researching methodology options for the 2016 Census of Population and Dwellings. These include some variant of the 2011 Census approach, a census based on existing administrative registers (with or without additional data collection), a full-enumeration field census with yearly updates of characteristics, and a so-called rolling census. An initial assessment was undertaken and concluded that the only feasible option for the 2016 Census is some variant of the 2011 Census approach. The next step is a detailed assessment by Statistics Canada of the options it will retain for the 2016 Census, and of the potential approaches for 2021 and beyond. Statistics Canada is preparing a report for the federal government for early 2012.
46. In Australia, a Census Data Enhancement Project was established, to integrate unit record data from the Census of Population and Housing with other ABS and non-ABS datasets – to create new datasets for statistical and research purposes. The project also aims to add value to census data by bringing it together with data from future censuses. Studies are being undertaken to assess the quality of the linking of census data with data from other sources, and the likely quality of a linked census dataset. For Australia's 2016 Census, the ABS proposes to further increase Internet uptake, and to introduce an address list to mail-out census forms/Internet keys, following a similar approach by Statistics Canada in 2011.
47. Israel, Italy, and Poland are examples of countries that are further developing census approaches that combine administrative registers with sample surveys. The surveys are used for coverage adjustment and to provide information not available from administrative sources.
48. Statistics NZ will continue to monitor international research and development relating to the census and assess its applicability to New Zealand.

Transforming the New Zealand census

Options for future censuses

49. This section presents potential options for future New Zealand censuses, and summarises the pros and cons of each option. Appendix 3 provides a more detailed discussion of the options.

Five-yearly census

50. A five-yearly full-enumeration census enables census information to continue to have the accuracy and frequency needed to support electoral requirements and produce subnational population estimates.
51. The census is the only available data source that provides information to monitor change for local areas and small population groups. The current five-yearly frequency is generally seen as adequate for most monitoring purposes, although more frequent information would align better with local government reporting requirements.
52. Opportunities for re-using census systems and infrastructure are high with a five-year frequency. Although census costs are high, and increasing under the current census model, clear evidence is available from international experience that costs could be reduced by modernising the current collection model.
53. Transformation of census collection would be based on developing a national address listing that would enable mail-out of census Internet codes and paper forms, with a strong drive towards Internet completion. Census collection would

Best practice example 17: Statistics New Zealand

Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp. 5-6, 13-16 (continued).

Transforming the New Zealand Census of Population and Dwellings: Issues, options, and strategy

be less labour intensive, with field staff concentrated in areas where address listings are poor, or responses difficult to obtain.

54. Conditions under which a five-yearly census could be considered a cost-effective option are: availability of a high-coverage address list; mail-out of census Internet codes and census forms; and high uptake of Internet response. These would lead to significantly lower operational costs.

Ten-yearly census

55. An immediate shift to a 10-yearly census following the 2013 Census would result in a reduced census budget, but not by half. The savings could be offset by cost-shifting as government agencies seek to make up for inadequate information in other ways. There is also potential for additional indirect costs – from misallocating funding and decisions being based on inaccurate data.
56. Moving to a 10-yearly census would have implications for the electoral process, but these have yet to be fully considered.
57. A 10-yearly census would not provide fit-for-purpose population statistics over the 10-year period (using current methods). Over time, improving administrative systems and developing new methodologies may allow adequate population statistics to be produced over a longer period than at present.
58. Stakeholders see a 10-year interval between censuses as too infrequent to be able to successfully monitor outcomes for small areas and small population groups of policy interest, such as Māori, iwi, low-income families, and children.
59. A 10-yearly census would result in a direct reduction in census respondent burden, but this may be countered by an increase in respondent burden through other surveying.
60. Moving to a 10-yearly census would require amendments to the Electoral Act 1993, possibly to entrenched provisions. The implications of a 10-yearly census for the review of electorate boundaries and the conduct of the Māori Electoral Option require further work.
61. Conditions under which a 10-yearly census could be considered a cost-effective option are:
- improving population estimates and projection methodology to a level that can be sustained over a 10-year period, at sufficient quality
 - user acceptance that the characteristics of small populations and small areas can be monitored only every 10 years
 - developing cost-efficient methods to target surveys of small populations, such as Māori and people with disabilities, that do not rely on the census as a survey frame
 - resolving the consequences for the electoral system.

Ten-yearly short-form census and large-scale intercensal survey or rolling census

62. A 10-yearly short-form census, with a large-scale sample survey or a rolling census, would counter one of the key limitations of a 10-yearly census by enabling frequent monitoring of small groups.

Best practice example 17: Statistics New Zealand

Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp. 5-6, 13-16 (continued).

Transforming the New Zealand Census of Population and Dwellings: Issues, options, and strategy

63. International experience indicates that these approaches are unlikely to result in any cost reductions compared with two five-yearly censuses. A large up-front investment would be required to plan, develop, and test them in New Zealand. Implementing them would be risky because of their complexity. The benefit of more-frequent data would be offset, to some extent, by the greater complexity of the data and by the reduced accuracy of small area data.
64. Both a 10-yearly short-form census with a large-scale social survey, or with a rolling census, would have consequences for the electoral system that would need resolution.
65. There are no compelling advantages of moving to either of these census models in New Zealand. Countries using these models have had census intervals of 8–10 years, with the key driver being the demand for more timely data.
66. The same electoral implications arise under this option as for the 10-yearly census option above.
67. Conditions under which a short-form census with a large-scale social survey or a rolling census would become the preferred approach are:
 - methodological and technological developments lower operating costs significantly
 - user acceptance of the greater complexity of data and reduced accuracy of small area data
 - resolving the consequences for the electoral system.

Administrative census

68. What an administrative census might mean in practice for New Zealand is unclear at present. Initially a number of possibilities will be investigated. These include the potential for New Zealand to implement the infrastructure needed for a fully register-based census, as in the Nordic model. A register-based census is not feasible in New Zealand at present, because the necessary government infrastructure does not exist. Alternatives involve using existing administrative sources that might form the basis of a statistical population register. Statistics NZ has completed an initial investigation of some key administrative sources, which cover large parts of the population and could form the basis of a statistical population register. Despite clear limitations, there is sufficient encouragement to explore this further.
69. The feasibility and cost of constructing a statistical population register, based on reusing existing administrative data, would depend heavily on whether databases could be improved and brought together to solve coverage problems and to obtain up-to-date address information. Other government initiatives to improve information systems and establish more coordinated service delivery may also present opportunities for an administrative census approach.
70. If feasible, an administrative census would result in a substantial reduction in the cost of producing census information. It would reduce respondent burden and enable some user needs to be better met by providing more frequent information.
71. A major limitation of this approach is that the range and quality of information produced would be limited to what already exists in administrative systems. Any administrative census approach is likely to require a coverage survey and a large sample survey to adjust for the limitations.

Best practice example 17: Statistics New Zealand

Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp. 5-6, 13-16 (continued).

Transforming the New Zealand Census of Population and Dwellings: Issues, options, and strategy


72. Implementing an administrative census in New Zealand would require public support, together with legal changes and the cooperation of other agencies. It would have consequences for the electoral system, which would need to be resolved.
73. It is difficult to identify the electoral implications of an administrative census without further details on its form and frequency.
74. Conditions under which an administrative census would become the preferred approach are:
 - cost-effective ways of covering important data gaps can be found
 - public acceptance exists
 - legal barriers can be overcome
 - consequences for the electoral system are resolved.

Proposed strategy for transforming the census

75. Statistics NZ's initial assessment and evaluation of different census options highlighted their strengths and weaknesses, and the conditions under which they could be adopted in New Zealand. However, with alternative data sources evolving, considerable uncertainty still exists around changing the census frequency or model. More development and testing is needed before decisions on long-term options, based on clear evidence, can be made.
76. In the short-term, the aim is to focus on modernising the current census model so we can achieve efficiencies and reduce census operational costs while continuing to meet key information needs. The longer-term goal is to develop a new model based on administrative data sources. Although New Zealand does not have the fundamental infrastructure to support a register-based census at present, we do have individual administrative data sources with a high degree of coverage. This situation is promising enough to be worth progressing. Moving to a census based on administrative data is the only option that offers the potential for a huge step-change in costs.
77. The process of transforming from a survey-based to an administrative-based census is not certain. It could take more than three census cycles to achieve (based on international experience) or may turn out not to be feasible. It depends on successfully identifying and developing suitable administrative databases, and on establishing alternative means of efficiently producing the social content of the survey-based census. The administrative databases are also likely to require modifications to meet the new statistical requirements of them, and a programme of public consultation is likely to be needed.
78. A major advantage of this strategy is the availability of census information every five years to test administrative solutions against. This will result in a faster transition towards an administrative census than longer census intervals would.
79. Transitioning away from the current five-yearly census model will take some time, due to the complexity and inter-connectedness of census data that feeds into the official population and social statistical system. Census data also acts as the trigger for other government processes.
80. A phased and parallel approach to the programme of work is proposed. This is to ensure that progress and prospects are clearly signposted, and that investment requirements can be reassessed as required and targeted effectively. Evaluation

Sub-element 4.3: Does it clearly describe the chosen approach, outlining what it will and will not do?

Best practice example 18: Statistics NZ
Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp 5-6.



Executive summary

Transforming the New Zealand Census of Population and Dwellings presents the issues on the development of a strategic direction and timeline for the transformation of the New Zealand Census of Population and Dwellings. This development is part of Tomorrow's Official Population and Social Statistics Programme.

1. The New Zealand Census of Population and Dwellings provides the official count of all people and dwellings in New Zealand and gives detailed socio-economic information at the community level. The population count recalibrates and improves the accuracy of all official population estimates and projections.
2. Census information determines the number, size, and boundaries of general and Māori electorates, enabling fair constituency representation. It is also used in reviewing electoral arrangements for local government. Census information underpins effective and efficient allocation of government funding; provides unique information for monitoring small populations and localities; and supports future planning at a national, regional and local level.
3. Although the cost of the New Zealand census compares favourably with other countries, increases in population size and per-unit cost have led to significant cost increases between consecutive five-year censuses. Questions have been raised on whether better value could be achieved by a change in the census model or frequency.
4. Internationally, a variety of approaches (models) are used to obtain census information. The approaches taken in each country continue to adapt and evolve in response to various drivers. Drivers of change include costs, quality of information, privacy concerns, technology, decreasing participation, availability of alternative information sources and the strong demand for more frequent information.
5. Investigative work by Statistics New Zealand has shown that with alternative data systems evolving, considerable uncertainty exists around changing the census frequency or model. There is also a lack of clear evidence on which to make decisions on long-term options for the New Zealand census.
6. In recognition of this, the strategy for transforming the census proceeds from a short-term focus on modernising the current census model to achieve efficiencies and reduce costs. In the longer term, the goal is to develop a new census model based on the use of formal registers or existing administrative data sources.
7. Countries that have register-based censuses are able to produce census information at much lower cost, and information can be produced more frequently. Transforming the New Zealand census will involve managing a high degree of uncertainty and complexity, and potentially the need to modify government infrastructure systems. Given this, a phased approach is proposed to the transformation to manage the high level of risk and to ensure continued production of quality population statistics. Four phases are proposed.
 - Phase 1 – 2011–15: Develop new collection processes for the five-yearly census and progress investigation of existing administrative data sources.
 - Phase 2 – 2016–20: Implement new collection processes in the 2018 Census and determine improvements to data sources for an administrative census.

5

Best practice example 18: Statistics NZ

Transforming the New Zealand Census of Population and Dwellings (GDS30-01), pp 5-6 (continued).

Transforming the New Zealand Census of Population and Dwellings: Issues, options, and strategy

- Phase 3 – 2021–25: Complete new collection processes; review timing of future censuses and progress development of administrative data sources.
 - Phase 4 – 2026–30: Complete evaluation and implementation of an administrative census, if feasible.
8. The sequencing of the phases is premised on continuing an increasingly efficient five-yearly census until alternative options become feasible. This will ensure minimal disruption to delivering critical population statistics and assist more rapid implementation of the strategy, since census data are needed to evaluate options. At the end of each phase, an evaluation report will ensure that progress and prospects are clearly signposted and that investment requirements can be reassessed as required and targeted effectively. It will also provide government policy choices at this time.

Best practice example 19: Ministry of Housing and Urban Development

Te Tauāki Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20-03), pp. 3, 5, 8–9, 14, 39.



The homes and communities we live in are the foundation of our wellbeing and a focus on housing is a priority for this Government.

All New Zealanders deserve to live in a safe, warm, dry home that they can afford. Aotearoa New Zealand faces complex housing and urban development challenges that have grown over generations.

Responding to these challenges requires a strategy and direction to align the work of the whole system. This Government Policy Statement on Housing and Urban Development (GPS-HUD) is intended to fulfil this role. It sets out a shared, aspirational vision and direction for housing and urban development in Aotearoa New Zealand over the next 30 years.

This GPS-HUD has been developed with input from organisations and individuals from communities across the country, iwi and Māori and from central and local government. It has built consensus on the housing and urban outcomes that New Zealanders want to see. Our hope is that this agreed vision and the outcomes sought, as set out in this GPS-HUD will endure. The GPS-HUD is intended to inform, influence and unlock activity across the many who have an important role in realising the vision.

Government is committing to working differently to effectively enable and support the realisation of better outcomes for all New Zealanders, whether they own their homes or rent. We will continue to work at pace to meet the immediate needs of those experiencing the worst housing outcomes, while also focusing on strengthening the system to ensure that it can adapt and respond to the changing needs of New Zealanders over time.

Effectively enabling others to achieve these goals will ensure everyone can play their part to their full potential. This includes the private sector who play a major role in increasing the housing supply.

Through Te Maihi o te Whare Māori - The Māori and Iwi Housing Innovation (MAIHI) Framework for Action, government will seek out opportunities to partner with Iwi and Māori to deliver housing and urban development projects and shape the system in a way that is effective for all.

Kāinga Ora – Homes and Communities, as the government's housing provider and urban development agency, has a critical role to play. Coordinated action across other government agencies and with local government, the community housing and social sectors, and with the private sector will be key.

With the skills, knowledge, experience and perspectives of everyone working together we can help ensure that everyone in Aotearoa New Zealand lives in a home and within a community that meets their needs and aspirations.

Hon Grant Robertson
Minister of Finance

Hon Dr Megan Woods
Minister of Housing

28 September 2021

Overview of the Government Policy Statement on Housing and Urban Development

Vision: Everyone in Aotearoa New Zealand lives in a home, and within a community, that meets their needs and aspirations.

Outcomes

Thriving and resilient communities

Everyone is living in communities that meet their needs. The places where people live are accessible and connected to employment, education, social and cultural opportunities. They grow and change well within environmental limits, support our culture and heritage, are resilient to natural hazards, and help us reduce emissions and adapt to the impacts of a changing climate.

Wellbeing through housing

Everyone lives in a home, whether rented or owned, that is stable and affordable. The quality, accessibility, size, and features of our homes support people and families to live healthy, successful lives.

Māori housing through partnership

Māori and the Crown are working together in partnership to ensure all whānau have safe, healthy affordable homes with secure tenure. Māori housing solutions are led by Māori and are delivered locally. Māori are able to use their own assets and whenua Māori to invest in and support housing solutions.

An adaptive and responsive system

The system is integrated, self-adjusting and delivers in response to emerging challenges and opportunities. Land-use change, infrastructure and housing supply is responsive to demand, well planned and well regulated.

Focus Areas

Ensure more affordable homes are built

Ensure houses meet needs

Enable people into stable, affordable homes

Plan and invest in our places

Support whānau to have safe, healthy, affordable homes with secure tenure

Re-establish housing's primary role as a home rather than a financial asset

Ways of working

Te Maihi o te Whare Māori (MAIHI)

Acknowledges the history of Māori housing and responds to these needs through kaupapa Māori approaches. MAIHI sets a precedent for collaborating across agencies and working with Māori to increase housing supply.

Place-based approaches

Communities access and develop housing and urban solutions that work for them in each place. Solutions are developed collaboratively and are targeted to meet their needs.

Genuine and enduring relationships

Effective relationships, and co-ordinated planning, investment and decision-making deliver outcomes and support capability and capacity building across the system.

Sustainable and reliable funding

Long-term certain and sustainable public and private funding is paired with regulatory and system reforms to support and incentivise housing and urban development outcomes.

He aha kei roto i te GPS-HUD

What's in the GPS-HUD

The GPS-HUD includes a vision statement for housing and urban development that functions as our goal – what we want to realise for Aotearoa New Zealand.

Beneath this vision sits a set of outcomes that will help to keep us on track, and a set of key focus areas and priorities that outline the actions we need to take over the short to the medium term to transform housing and urban outcomes.

While the focus areas and priorities undertaken by future Governments may change, including in response to a changing environment and new knowledge, our aspiration is that the long-term vision and outcomes will remain constant and relevant.

The priorities outlined in this document include a mix of well-established initiatives, such as the government build programme, and more recently announced initiatives like the Housing Acceleration Fund.

The components of the Government's Urban Growth Agenda (UGA) and resource management reforms – which aim to support housing affordability, enable better urban development within environmental limits, and ensure the right infrastructure is delivered in the right place at the right time – feature strongly in the GPS-HUD. The National Policy Statement on Urban Development (NPS-UD) and the Urban Growth Partnerships, that facilitate the development of joint spatial plans, are also central to the proposed priorities.

The role of this document is to bring everything together, placing work programmes in the context of what we need to achieve to transform housing and urban development and realising the outcomes that we want to see for Aotearoa New Zealand. It is a useful tool and reference point for policy makers, local government officials, iwi and Māori, the building and construction sector alongside others who are making decisions with and for communities and places that impact on housing and urban development.

The GPS-HUD is not intended to provide a detailed blueprint of all future activity. It takes a long-term view, acknowledging that the context and environment will change over time. New initiatives, regulatory responses, and investments will be needed to meet changing needs, and ensure we stay on track to meet our vision.



The role of this document is to bring everything together: placing work programmes in the context of what we need to achieve to transform housing and urban development and realising the outcomes that we want to see for Aotearoa New Zealand.



E taunaki ana te GPS i ngā hua whānui

The GPS-HUD supports a wide range of outcomes

Good housing supports wellbeing. There are a range of other outcomes which are affected by housing and urban development that the GPS-HUD will complement.

Human rights-based approach to housing

Aotearoa New Zealand is a signatory of the International Bill of Rights which includes the right to a decent home.

The GPS-HUD focuses on increasing the supply of housing, improving access to housing, improving the quality of housing and reducing inequity in housing across our communities and places. This approach is broadly in line with the concept of the right to a decent home.

Every New Zealander deserves to live in a warm, dry home and the government has a role in helping make that happen. Government will continue to understand what would be required to strengthen alignment with the right to a decent home in our Aotearoa New Zealand context.

Emissions reduction targets

Changing the way we plan and build homes, towns and cities is critical to meeting our emissions reduction targets and to helping us build resilience and adapt to the impacts of a changing climate. Under the Climate Change Response (Zero Carbon) Amendment Act 2019, Aotearoa New Zealand has committed to reach net zero carbon emissions by 2050. We have also committed to meeting a series of five-year emissions budgets which act as steppingstones to the net zero target. This will require significant changes to the way we plan, invest in and develop homes, infrastructure and places, to reduce transport emissions and the emissions that result from building and operating homes.

COVID-19 economic response

Housing and urban development is critical to accelerating Aotearoa New Zealand's economic rebuild and recovery plan to deal with the impacts of COVID-19.

Increasing the supply of affordable homes will reduce household expenditure on housing, provide economic stimulus, and give certainty to the construction sector and other productive parts of the economy that create jobs and help grow incomes.

Child and youth wellbeing

Addressing housing affordability, quality and security of tenure is essential to reducing child poverty and improving child and youth wellbeing. Housing costs are a significant barrier to achieving our child poverty reduction targets, and moving home frequently and unexpectedly can have a negative impact on children's health, educational achievement and social development.

Effectively addressing child and youth wellbeing outcomes will require us to take a broader whānau-centred approach to address the drivers of child poverty and poor wellbeing outcomes.



September 2021 9

He hirahira te wāhi ki te kāwanatanga Government has a significant role to play

Government's key role in housing and urban development is to enable a system-wide response. We do this through a range of roles that enable and catalyse others in the system to contribute to the best of their abilities, and delivering change ourselves.

- **Government as an enabler:** We ensure that legislative, regulatory, policy and investment settings work efficiently and well together, to enable land, infrastructure and quality housing supply that is responsive to demand and is well-planned, and that supports communities to thrive.
- **Government as a catalyst and leader:** We build connections, address co-ordination problems, and help build consensus (for example, via joint spatial planning and urban growth partnerships). We help reduce risk and overcome barriers to urban development opportunities using government-facilitated development projects, tools like the Urban Development Act 2020, and supporting new and changing development models.
- **Government as delivery agent:** We fund, finance, and provide direct support for housing and urban development (for example, public housing delivery, affordable housing delivery and infrastructure funding). We partner with iwi and work with the private sector, community organisations, local government, and others to support housing and urban development that meets the needs of communities.

Central government needs to evolve the way it works

To effectively enable others and support the successful implementation of the GPS-HUD central government will need to do some things differently.

The way central government partners with Māori, thinks about the needs of places, collaborates, and builds relationships matters if we are to reach our vision.

The way housing and urban development is funded and financed also needs to evolve to be more certain and consistent to support the system to deliver homes within communities that meet people's needs and aspirations.



We will take a place-based approach

Every community has their own housing and urban development challenges and opportunities and a 'one size fits all' approach will not work to address them. This is because every place is unique, with different characteristics – including challenges or problems – arising from local history, culture and heritage, geography, economy, and resources. Climate change will have an impact on us all, but it will affect each place and community differently. Some communities are more vulnerable to sea-level rise and coastal inundation than others, and some places have more scope to rapidly reduce their transport emissions than others.

Taking a deliberate, place-based approach means ensuring we understand the different challenges and opportunities facing each place, what is driving housing and urban outcomes in places, and that we respond accordingly.

In some places, local leadership and action is well equipped to drive change and deliver better housing and urban outcomes.

In other places, transforming housing and urban outcomes will require central and local government, iwi and Māori, community housing providers, social service providers and others to work closely together to build a complete picture of what is occurring in places from which to develop and implement local solutions that bring about change. Government agencies will work together to ensure that action is aligned.

For government, taking a place-based approach also helps us to improve our national settings so that they deliver better outcomes for people in all places. Importantly, this includes informing the approach being taken to system change, where joint strategic planning at a regional level is proposed to play a much stronger role in the new resource management system.

Working together: taking a MAIHI and place-based approach

Every community has their own housing and urban development challenges and aspirations and a ‘one size fits all’ approach will not work to address them. Every place is unique, with different characteristics – including opportunities or problems – arising from local history, culture and heritage, geography, economy, and resources.

Taking a deliberate, place-based and MAIHI approach means ensuring we understand the ties people and whānau have to areas and the important connections they have to place and well-being. A place-based and MAIHI approach enables us to better review what is driving housing and urban outcomes in places, and that we respond accordingly.

We build on this understanding to ensure that our regulatory and policy settings can be applied in places across Aotearoa New Zealand and deliver better outcomes for people and whānau.

Some places are well equipped to drive change and deliver better housing

and urban outcomes. In other places, transforming housing and urban outcomes will require central and local government, iwi and Māori, community housing providers, social service providers and others to work closely together to build a complete picture of what is occurring to develop and implement local solutions that bring about change.

Our current partnerships are highlighted below. Partnerships will change over time in response to need.

All areas across the country continue to receive services, funding and other support.

Sub-element 4.4: Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)?

Best practice example 20: The Treasury

He Tirohanga Mokopuna 2021 – Combined Statement on the Long-term Fiscal Position and Long-term Insights Briefing (GDS32–03), p. 56.

Box 5: The role of NZS in supporting New Zealanders' wellbeing

The focus of NZS is on social protection rather than earnings replacement. Maintaining standards of living into retirement is left to individuals, who can supplement NZS by continuing to work, relying on family support, or accessing voluntary savings.

Alongside social protection, we can infer two other principles that have guided pension policy in New Zealand. The first is that individuals are generally best placed to make decisions about their own financial wellbeing. The second is that all citizens should derive a 'dividend' from their contributions to New Zealand's society and economy over the course of their lives, regardless of how much or how little market income they may have earned.

New Zealand's implied intergenerational contract assumes that people generally pay the most taxes during their working lives, but less at the beginning and end of life, when they are more likely to receive services and transfers funded by other taxpayers. Implicit in this intergenerational contract is a duty of care towards children/tamariki and elders/kaumātua. This aligns well with the principle of manaakitanga or showing proper care and respect. In the case of elders/kaumātua, this is an acknowledgement of both their mana and the contributions they have already made as well as the contribution they can continue to make in guiding future generations.

Older people are often carers, and often volunteer their time, provide community leadership and facilitate the transmission of culture. This is especially significant for some population groups (e.g. Māori, Pacific and Asian communities). Their ability to do these things is likely closely linked to the income support provided by NZS, and is therefore likely to be affected by changes to it.

Box 6: The New Zealand Superannuation Fund⁸²

The NZSF began investing in September 2003, initially with \$2.4 billion. Since then it has grown to be one of the largest public financial assets, with a 2019/20 closing balance of \$44 billion, or 13.9% of GDP in that year.

By contributing to the NZSF, taxpayers today are covering more than just current NZS expenses. Once withdrawals from the NZSF begin in future years, that money can be used to help taxpayers at that time cover NZS expenses. Those expenses will be higher than now, not just in dollar terms but also as a percentage of GDP, because of the ageing population. This 'tax-smoothing' role is illustrated in table 12. In 2060 the NZSF will cover 0.4 percentage points of the 6.3% of GDP net cost, the rest being covered by tax revenue. In other words, in that year the NZSF will contribute around 6.6% of total net of tax NZS costs.

The main variables that affect the degree of tax smoothing by the NZSF are the projected paths, over the 40 years, of the Fund's balance and after-tax return rate, nominal GDP, and total net-of-tax NZS expenses. By its own estimates, since its inception, the NZSF has outperformed its reference portfolio return in the majority of years and so added significant extra after-tax earnings to its closing balance.

Although the Fund provides a degree of tax-smoothing, there is no explicit intergenerational link between taxes paid and NZS received.

⁸² For more information see the background paper *Golden years – understanding the New Zealand Superannuation Fund*. For background papers, see: <https://www.treasury.govt.nz/publications/strategies-and-plans/long-term-fiscal-position>

Element 5:

Implementation and Accountability

- 5.1. Does it identify who is responsible for implementing the GDS?
- 5.2. Does it identify who will report on its progress?
- 5.3. Does it explain how progress will be reported (e.g. reports and statistics) and over what time frame?
- 5.4. Does it discuss whether the GDS will undergo a final review once it is completed, updated or expired?

Sub-element 5.1: Does it identify who is responsible for implementing the GDS?

Best practice example 21: Ministry of Social Development

E Tū Whānau Mahere Rautaki: Framework for Change 2019–2024 (GDS23–12), p. 53.

Appendix 1

Māori Reference Group

The Māori Reference Group (MRG) is responsible for implementing E Tū Whānau in collaboration with whānau, hapū, iwi and MSD.

MRG members are Māori community leaders who, between them, contribute a diverse range of skills, knowledge and experience.

The MRG provides strategic advice to the E Tū Whānau initiative and also has input into government policy that affects whānau, particularly where there is violence. It has a responsibility to represent Māori interests as broadly as possible.

The MRG's role is to:

1. Provide leadership in the relationship between Te Ao Māori and government
2. Ensure policy that affects whānau is Māori-led and meets the needs of Māori
3. Inform the monitoring, review and evaluation process and related strategies
4. Represent the interests of Māori constituent groups.

The MRG is committed to supporting and advocating for the many strategies that exist within whānau, hapū, iwi and communities throughout Aotearoa.

Membership 2019

Roku Mihinui *Te Arawa, Tūhourangi*

Tā Mark Solomon *Ngāi Tahu, Ngāti Kuri*

Katie Murray *Te Rarawa, Te Aupōuri*

Toa Faneva *Ngāti Kahu, Whaingaroa*

Donna Matahaere-Atariki *Ngāi Te Ruahikihiki, Ngāti Taoka, Te Atawhūia*

Richard Steedman *Ngā Iwi o Mōkai Pātea: Ngāi Te Ohuake, Ngāti Whitikaupeka, Ngāti Hauiti, Ngāti Tamakopiri*

Haami Piripi *Te Rarawa, Ngāpuhi, Ngāti Kuri*

Merepeka Raukawa-Tait *Te Arawa*

Ruahine (Roni) Albert *Tūwharetoa, Waikato Maniapoto, Raukawa, Tainui*

Te kupu whakataki a ngā Minita Ministerial foreword

Ko ngā kāinga me ngā hapori e noho nei mātau te tūāpapa o te oranga
The homes and communities we live in are the foundation of our wellbeing.

Ko ngā kāinga me ngā hapori e noho nei mātau te tūāpapa o te oranga, he aronga matua hoki te whakawhanake kāinga mō te Kāwanatanga

He whāinga tōmua mā tēnei Kāwanatanga te aro ki te whai whare. E tika ana me whai a Aotearoa whānui i tētahi kāinga haumarū, mahana, maroke anō hoki, ka mutu, me utu-pai. E pāngia ana a Aotearoa ki ētahi wero whiwhiwhi e hāngai ana ki te whakawhanake kāinga, whare tāone anō hoki, ā, kua nui kē atu heke nei he reanga.

Ka uruparehia ngā wero whiwhiwhi ki te rautaki, ki te ahunga hoki kia hāngai ai ngā mahi a te pūnaha whānui. Ko tā tēnei Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki (GPS-HUD) he whakakapi i tēnei tūranga. Ko tāna, he whakatakoto ake i tētahi whakakitenga wawata kotahi, i te ahunga hoki o te whakawhanake kāinga, whare tāone anō hoki i Aotearoa i ngā tau 30 e haere nei.

He mea whakawhanake tēnei GPS-HUD me ngā whakaaro o ngā rōpū whakahaere, tangata anō hoki nō ngā hapori puta noa i te motu, o ngā iwi me te Māori, ā, o te kāwanatanga me ngā rangatōpū ā-rohe. Kua whakatauria whānuitia ngā hua kāinga me ngā hua whare tāone e whāia nei e Aotearoa. Ko te tūmanako ia ka mau tonu te whakakitenga kua whakatauria me ngā hua kua whakatakotohia ki tēnei GPS-HUD. Ko te takune o te GPS he whakamōhio, he whakaaweawe, he huaki hoki i ngā mahi puta noa i te tini tāngata nō rātau te mahi nui ki te whakatinana i te whakakitenga.

E ū ana te Kāwanatanga ki te panoni i tana tāera mahi e āhei ai, ā, hei tautoko hoki i te whakatinanatanga o ngā hua pai ake mō Aotearoa whānau, ahakoa he whare tō rātau, he kairēti rānei. Ka wawe tonu ā mātau mahi hei whakatutuki i ngā hiahia paetawhiti o te hunga e pāngia nui katoatia ana ki ngā whiu whai whare, ā, i taua wā tonu, ka aro ki te whakakaha ake i te pūnaha kia takatū ai, kia urupare hoki ai ki ngā hiahia o Aotearoa, e huri nei i roto i te wā.

Mā te whakamana i ētahi atu e taea pū ai e te katoa te wāhi ki a rātau anō. Ko te rāngai tūmataiti tonu tēnei, he nui te wāhi ki a rātau i roto i te whakapiki i te putunga whare.

I raro i Te Maihi o te Whare Māori (MAIHI), ka rapa te kāwanatanga i ngā ara whakahoahoa ki ngā iwi me te Māori hei tuku i ngā kaupapa whakawhanake kāinga, whare tāone anō hoki, ā, hei whakaahua i te pūnaha e whai hua ai te katoa.

He nui te wāhi ki a Kāinga Ora, te ratonga whare me te umanga whakawhanake whare tāone o te kāwanatanga. Ka noho matua te ruruku i ngā mahi puta noa i ētahi atu umanga kāwanatanga, ngā rangatōpū ā-rohe, ngā rāngai whai whare ā-hapori, rāngai pāpori me te rāngai tūmataiti.

Mā ngā pūkenga, ngā mātauranga, ngā wheako me ngā whakaaro o te katoa e mahi tahi ana, e whai wāhi ai mātau ki te whakapūmāutanga o tā Aotearoa whānui noho ki tētahi kāinga, i roto i tētahi hapori e hāngai nei ki ō rātau manako me ō rātau wawata.

Best practice example 22: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 2–3, 43–44 (continued).



The homes and communities we live in are the foundation of our wellbeing and a focus on housing is a priority for this Government.

All New Zealanders deserve to live in a safe, warm, dry home that they can afford. Aotearoa New Zealand faces complex housing and urban development challenges that have grown over generations.

Responding to these challenges requires a strategy and direction to align the work of the whole system. This Government Policy Statement on Housing and Urban Development (GPS-HUD) is intended to fulfil this role. It sets out a shared, aspirational vision and direction for housing and urban development in Aotearoa New Zealand over the next 30 years.

This GPS-HUD has been developed with input from organisations and individuals from communities across the country, iwi and Māori and from central and local government. It has built consensus on the housing and urban outcomes that New Zealanders want to see. Our hope is that this agreed vision and the outcomes sought, as set out in this GPS-HUD will endure. The GPS-HUD is intended to inform, influence and unlock activity across the many who have an important role in realising the vision.

Government is committing to working differently to effectively enable and support the realisation of better outcomes for all New Zealanders, whether they own their homes or rent. We will continue to work at pace to meet the immediate needs of those experiencing the worst housing outcomes, while also focusing on strengthening the system to ensure that it can adapt and respond to the changing needs of New Zealanders over time.

Effectively enabling others to achieve these goals will ensure everyone can play their part to their full potential. This includes the private sector who play a major role in increasing the housing supply.

Through Te Maihi o te Whare Māori - The Māori and Iwi Housing Innovation (MAIHI) Framework for Action, government will seek out opportunities to partner with Iwi and Māori to deliver housing and urban development projects and shape the system in a way that is effective for all.

Kāinga Ora – Homes and Communities, as the government’s housing provider and urban development agency, has a critical role to play. Coordinated action across other government agencies and with local government, the community housing and social sectors, and with the private sector will be key.

With the skills, knowledge, experience and perspectives of everyone working together we can help ensure that everyone in Aotearoa New Zealand lives in a home and within a community that meets their needs and aspirations.

Hon Grant Robertson
Minister of Finance

Hon Dr Megan Woods
Minister of Housing

28 September 2021

Te wāhi ki te kāwanatanga whānui

Roles across government

The role of Te Tūāpapa Kura Kāinga – Ministry of Housing and Urban Development

Te Tūāpapa Kura Kāinga – Ministry of Housing and Urban Development (HUD) will lead implementation of the GPS-HUD on behalf of government. HUD will coordinate work across government, facilitate input from partners and stakeholders, and monitor progress towards our goals.

The Ministry's role is to work across the housing and urban development system. We work in collaboration with communities, iwi and Māori, central and local government, housing providers, planners, builders, and developers; as well as welfare, community, sustainability and other not-for-profits with interests at both national and local levels.

HUD will facilitate action, bringing parties together to unite around a common strategy and direction, and to nurture an environment where all parties can succeed. HUD's role is to provide tools, levers, investment, and information to enable and contribute to the work of others.

HUD is also responsible for strategy, policy, funding, monitoring and regulation of the housing and urban development system. HUD's role is to oversee the system's progress and performance and identify where change is needed.

The role of Kāinga Ora – Homes and Communities

As government's housing provider and lead developer in the planning and delivery of urban development projects, Kāinga Ora has a key role to play in implementation of the GPS-HUD and in delivering the outcomes we want to see.

The Kāinga Ora – Homes and Communities Act 2019, sets out the Kāinga Ora objectives, functions and operating principles. Key excerpts are included in Appendix 1 Excerpts from the *Kāinga Ora – Homes and Communities Act 2019*.

The role of Kāinga Ora is to contribute to sustainable, inclusive, and thriving communities that:

- provide people with good quality, affordable housing choices that meet diverse needs
- support good access to jobs, amenities, and services
- otherwise sustain or enhance the overall economic, social, environmental, and cultural well-being of current and future generations.

The operating principles that guide Kāinga Ora address five areas:

- Public housing solutions that contribute positively to well-being
- Housing supply meets needs
- Well-functioning urban environments
- Stewardship and sustainability
- Collaboration and effective partnerships.

This GPS-HUD sets out expectations which Kāinga Ora must give effect to when performing its functions. These build on the operating principles and functions outlined in the legislation. These are included in Appendix 2 *Expectations for Kāinga Ora – Homes and Communities*.

These expectations will be complemented by an annual letter of expectations provided by responsible Ministers. The expectations set out in this GPS-HUD and any additional annual expectations are reflected in the Kāinga Ora Statement of Intent and reported through the Kāinga Ora Annual Report.

Best practice example 22: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mā te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 2–3, 43–44 (continued).



The role of other government agencies

In addition to HUD and Kāinga Ora, the priorities described in the focus areas also point towards specific roles for other agencies, including the Ministry of Business, Innovation and Employment, the Ministry for the Environment, the Ministry of Transport and Waka Kotahi.

A wide range of government agencies also have important roles to play in the housing and urban system, and in supporting the outcomes and focus areas described in this GPS-HUD. For example:

- Providing social infrastructure and services like education and health is a key shaper of communities, influencing where people seek to live, their transport choices, and how connected they feel to their communities.
- Te Puni Kōkiri plays an important role in supporting housing outcomes for Māori, particularly in rural communities, including around the development of papakāinga and improving the quality of Māori housing stock.
- The Ministry for Pacific Peoples leads work to gain improved housing conditions and home ownership for Pacific families. This work is holistic and takes a Pacific-specific approach, ranging from building the skillsets of Pacific families to withstand economic and other shocks, to supporting Pacific organisations to build and provide affordable housing options.

It is important that all agencies understand their role in the housing and urban system, and the influence they have in ensuring that everyone in Aotearoa New Zealand lives in a home and within a community that meets their needs and aspirations.

The Government expects all agencies to help implement the GPS-HUD, and to consider how they can shift and align their work programmes, policies and investments with the direction and priorities set out in it, while also delivering on their core roles.

In almost all cases, improving our housing and urban outcomes will support better wellbeing across all portfolio areas of government. HUD has an important role in supporting and driving this collective approach.

Working alongside the Reserve Bank of New Zealand

The Reserve Bank of New Zealand has always played an important role in our housing system through its role in setting Monetary and Financial Stability Policy.

In February 2021 the Minister of Finance issued a direction (under section 68B of the Reserve Bank Act) to the Reserve Bank requiring it to have regard to government policy on housing in relation to its financial policy functions. While its core objectives and mandate remain, the Reserve Bank now has to take into account the Government's objective to support more sustainable house prices, including by dampening investor demand for existing housing stock to help improve affordability for first-home buyers.

HUD and the Treasury are working closely with the Reserve Bank, to better understand what is happening in the housing market, and to understand how the Reserve Bank's important role, and the tools it has available, can help deliver the better housing outcomes for New Zealanders sought through this GPS-HUD.

Sub-element 5.2: Does it identify who will report on its progress?

Best practice example 23: Ministry of Health
Faiva Ora 2016–2021 – National Pasifika Disability Plan (GDS19–27), p. 20.

 **Implementation plan**

To deliver the Faiva Ora Plan 2016–2021, annual implementation plans will be developed, with input from the Faiva Ora Leadership Group and key stakeholders. These plans will be presented to the Disability Support Services Senior Management Team for approval.

The annual implementation plans will identify the organisations that will lead and contribute to delivering on the actions, success measures, specific timeframes, deliverables and costings.

The Faiva Ora Plan 2016–2021 may be updated to reflect any changes to government and Ministry of Health priorities.

 **Monitoring and reporting**

The Ministry of Health Disability Support Services will monitor and report on the plan’s implementation.

Progress reports on the plan will be provided to the Minister of Health through the monthly Minister’s report as per request. Six-monthly progress reports will be reviewed by the DSS Senior Leadership Team. Overall progress will be communicated to the disability sector through the Ministry of Health DSS quarterly newsletter.

Sub-element 5.3: Does it explain how progress will be reported (e.g. reports and statistics) and over what time frame?

Best practice example 24: Ministry for Social Development
Better Later Life Action Plan – He Oranga Kaumātua: Action plan 2021–2024 (GDS23–18), p. 26.

How we will track progress

Te āhua aroturuki i ngā mahi

The Ministerial Steering Group includes three Ministers whose portfolios align with the three priority areas in the Action Plan. It oversees implementation of the Action Plan.

An Officials Steering Group works with the Office for Seniors to coordinate monitoring and reporting of the Action Plan. These groups will meet regularly to track progress on the implementation of the Action Plan, identify and mitigate risks, and adjust priorities.

We will report on progress on the Action Plan to the Government every two years. These reports will be published on the Office for Seniors website: www.officeforseniors.govt.nz

Te whakamahere mahi me te āta whai haere i te kauneke

Planning action and tracking progress

HUD will lead the development of an implementation plan to provide more detail on the actions, roles and responsibilities for delivering the change required to realise the GPS-HUD.

Government will work alongside stakeholders across the system, including with local government, iwi and Māori, industry, non-government organisations, and communities to develop and test the implementation plan, and ultimately bring the GPS-HUD to life.

Given the nature of the implementation plan, it is expected that it will be updated more regularly than the GPS-HUD. The first will be published in the first quarter of 2022.

Tracking progress

Tracking progress of the GPS-HUD is key to ensure we continue to respond to changes in context.

We will report on the following:

- The health of the system – measuring progress towards the vision and four outcomes. Reporting will occur every three years reflecting that change is expected over the longer term. This is in line with the required three-yearly review of the GPS-HUD.
- The impact of the GPS as a tool to direct, connect, and align – measuring effectiveness of the GPS-HUD in aligning direction, supporting collective action, and enabling a system-wide response. Reporting will occur annually.
- Progress towards implementing programmes contributing to the GPS-HUD – measuring the delivery of work programmes that support the GPS-HUD. Reporting will occur annually.

An initial set of indicators has been developed. This is included in Appendix 3 *Baseline indicators*. Good information on what is happening in the system is critical to planning, measuring progress and monitoring outcomes.

Government will continue to invest in improving and increasing the availability of data on housing and urban development.



Government will continue to invest in improving and increasing the availability of data on housing and urban development.



Best practice example 25: Ministry of Housing and Urban Development
Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20-03), pp. 45, 52-53.



Āpitihangā 3: Ngā tohu paerewa
Appendix 3: Baseline indicators

Best practice example 25: Ministry of Housing and Urban Development

Te Tauākī Kaupapa Here a te Kāwanatanga mō te Whakawhanake Whare, Tāone anō hoki – Government Policy Statement on Housing and Urban Development (GDS20–03), pp. 45, 52–53.

We have identified the following preliminary baseline indicators on the health of the housing and urban development system. Indicators will be reported for Māori where data is available. Further work is required to collaboratively develop measures with iwi and Māori for the ‘Māori housing through partnership’ outcome, and final indicators will be confirmed with stakeholders.

These indicators reflect the data that is available now. Further work will be undertaken to identify additional indicators required and work towards making them available.

	Preliminary indicator	Desired change	Latest baseline figure	Source
Thriving and resilient communities	Percentage of people who describe the location of their home as ‘suitable’ or ‘very suitable’	Increase	93.3% (total population) 89% (Māori population)	General Social Survey (2018)
	Proportion of people with access to essential services, (including health care, supermarkets, and schools) by walking, cycling, public transport and car within 15 minutes	Increase	Access to primary schools within 15 minutes by mode Walking: 62% Cycling: 89% Public transport: 70% Car: 99%	Waka Kotahi (2020)
	Percentage of trips in high-growth areas on public transport, walking and cycling	Increase	19%	New Zealand Household Travel Survey (2015 – 2018)
	Percentage of recently-built homes with access to frequent public transport services	Increase	9.5%	Waka Kotahi (2020)
Wellbeing through housing	Number of people estimated to be in severe housing deprivation	Decrease	41,724 people (12,879 Māori) were estimated to be living without shelter, in temporary accommodation or sharing accommodation. A further 60,399 people (15,327 Māori) were living in uninhabitable housing.	Census (2018) These figures reflect the situation in March 2018. They do not reflect the impact of more recent developments, policies, or the impact of COVID-19.
	Ratio of housing costs to income	Decrease	21.0 (Total NZ households) 21.5 (Māori households)	Household Economic Survey 2018-2019
	Percentage of households reporting damp and mould in housing	Decrease	5.8% (All NZ households) 12.2% (Māori households) These figures to be confirmed	Household Economic Survey 2018-2019

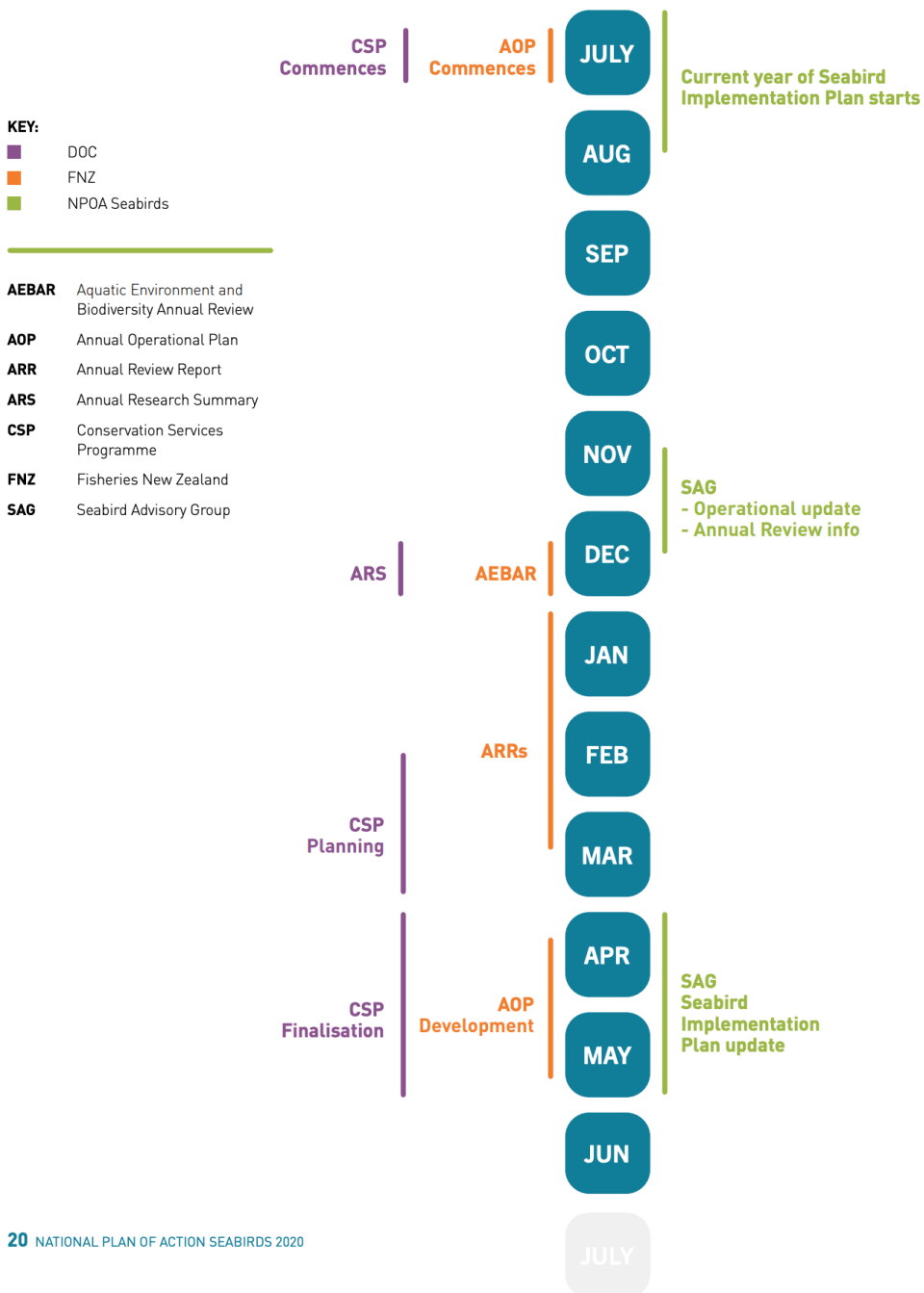
Sub-element 5.4: Does it discuss whether the GDS will undergo a review once it is completed, updated or expired?

Best practice example 26: Ministry for Primary Industries and Department of Conservation (jointly held) *National Plan of Action – Seabirds 2020* (GDS02–09), p. 20.

Review

The NPOA Seabirds 2020 will be reviewed after five years. The review will assess whether the objectives have been met and, to what extent, the objectives and longer-term goals are still relevant or need to be changed. The review will also assess how effective the NPOA Seabirds 2020's implementation processes have been.

NPOA Seabirds review process



Element 6:

Alignment and Authority

- 6.1. Does it discuss predecessors to the strategy and identify any lessons learnt from these?
- 6.2. Does it align with its department's statement of intent?
- 6.3. Does it align with its department's annual report?

Sub-element 6.1: Does it discuss predecessors to the strategy and identify any lessons learnt from these?

Best practice example 27: Ministry of Transport

Road to Zero – New Zealand’s Road Safety Strategy 2020–2030 (GDS24–06), pp. 5, 15–16.



But we know from overseas experience that a focus on improving driving skills and addressing risk-taking behaviours will not solve the road safety problem by itself. No one expects to crash, but people make mistakes – including those of us who are usually careful and responsible drivers.

We need to build a safe road system that is designed for people. This means doing our best to reduce crashes, but acknowledging that crashes will continue to happen. When crashes occur, we can prevent serious harm through safe vehicles, safe speeds and forgiving road design.

This approach has dramatically improved road safety in other countries, so we know it works. It was introduced in the previous road safety strategy *Safer Journeys* 2010–2020. In the instances where we have fully applied this approach, it has been proven to save lives on our roads. But we haven’t done enough.

Safer Journeys has not been implemented as intended. Although it was based on a sound approach and compelling evidence, it did not have sufficient buy-in, investment, leadership and accountability to achieve a significant reduction in deaths and injuries. Most critically it did not have the buy-in from all New Zealanders that it is unacceptable for people to be killed or injured on our roads.

We now have the opportunity to do more and to go further. We can commit to a bolder vision about what is possible – no longer regarding zero deaths and serious injuries as an aspiration but as necessary and achievable.

Adopting this vision for road safety represents a commitment to embed road safety in transport design, regulation, planning and funding. Safety should be a critical investment priority and should not be traded off against other priorities. Every death or serious injury on our roads is a call to act, investigate, diagnose and address.

Road to Zero looks to a future New Zealand where no one is killed or seriously injured in road crashes. Over the next decade, we know that new transport technologies will bring significant opportunities as well as challenges, and the very nature of how we transport goods and people across the country is likely to change. By placing safety at the core of our transport system, we can anticipate and adapt to the changes ahead while continuing to strive for our vision.

Throughout the development of this strategy, the Ministry of Transport engaged with representatives from central and local government, key players in the transport sector, and road safety experts and advocates through a series of reference group workshops. They also held workshops with stakeholders from across New Zealand to listen to their road safety concerns and priorities for their communities and regions, and to gauge their level of support for a new road safety vision. We also received feedback from over 1,300 submitters about our proposals in the *Road to Zero* consultation document. We are grateful to all those whose perspectives and expertise have helped to shape this strategy.

This strategy articulates our vision, guiding principles for how we design the road network and how we make road safety decisions, as well as targets and outcomes for 2030. It sets out the five areas we want to focus on over the next decade, and a framework for how we will hold ourselves to account.

This strategy will be implemented through a series of separate action plans that will outline the actions we will take to drive change, as well as the timelines and responsibilities for implementing them.



We need a safe system which recognises crashes are inevitable but deaths and serious injuries are not.

Traditional approaches to road safety assume that the root of the road safety problem is crashes. As a result, individual road users – who are often blamed for being “bad drivers”, “careless cyclists”, or “distracted pedestrians” – have historically been presented as the cause of the problem.

But international evidence shows that only about 30 percent of serious crashes are caused by deliberate violations and risk-taking behaviour, while the majority result from simple errors of perception or judgement by otherwise compliant people (International Transport Forum, 2016).

Instead of simply asking: “Why did that person crash?”, what if we also asked: **“Why was that person killed or seriously injured in the crash?”**

In shifting our focus, we’re required to develop solutions that target a different culprit: an unforgiving system that doesn’t take into account the fact that people sometimes make mistakes when using our roads.

While actions to improve people’s skills and behaviour and to deter risk-taking behaviour are still critical to our success, this alone will not fix the problem. We must also turn our attention to fixing a transport

system that fails to protect people – by improving our road network, tackling unsafe speeds and lifting the safety of our vehicle fleet.

This kind of ‘Safe System’ thinking has dramatically improved road safety in some countries, and underpins approaches adopted in other fields like aviation, shipping, and workplace health and safety. It was introduced to New Zealand in our current road safety strategy *Safer Journeys*. In cases where we have successfully adopted this approach, it has proved to save lives on our roads.

We now have the opportunity to do more and to go further.

The Safe System approach remains the gold standard in road safety. However, New Zealand has had mixed results in embedding this approach. Other countries have done better through also adopting a galvanising vision (such as Vision Zero), underpinned by clear targets to reduce road trauma.

This strategy seizes the opportunity to commit to a bolder vision about what is possible, to learn from what did or did not work in *Safer Journeys* and take more transformative actions to reduce deaths and serious injuries on New Zealand roads.

OVER 50% of major trauma injuries treated in our hospitals are from road crashes (Major Trauma Network, 2018).

ROAD CRASHES ARE THE SECOND LARGEST CAUSE OF DEATH from injury, after suicide (IPRU, 2012).

Even **IF EVERYONE OBEYED THE ROAD RULES**, New Zealand would still have **MORE THAN 180 DEATHS** on the road each year.



Safe System in action: Centennial Highway

SH1 Centennial Highway, a 3.5 km stretch of road just north of Wellington, was once particularly treacherous. On average, at least one person died and another was seriously injured here every year.

In 2005, a flexible median safety barrier was installed and the speed limit was lowered to 80 km/h. Since then, there have been no fatal or serious injury crashes. The barrier is hit around twice per month without a single death.

Best practice example 27: Ministry of Transport

Road to Zero – New Zealand’s Road Safety Strategy 2020–2030 (GDS24–06), pp. 5, 15–16 (continued).

What can we learn from reviews of Safer Journeys?

In 2015, an independent interim evaluation of the effectiveness of *Safer Journeys* found that while the focus of the strategy was sound, there was insufficient leadership and sector capacity necessary for successful implementation. Greater collective and sustainable leadership, coordination and participation from Ministers and government agencies was needed.

In addition, *Safer Journeys* lacked national targets and overall outcome targets. This allowed operational focus to shift away from road safety. It also meant there was limited ability to track the impacts of interventions and the overall impact of the strategy over time.

The interim evaluation made a series of recommendations about how the road safety system is managed in New Zealand. These included recommendations that any new strategy set ambitious trauma reduction targets and that we update the value of statistical life to help us allocate resources more rationally. It also recommended that we strengthen road safety management capability and refresh the high-level governance group for road safety in New Zealand.

Road to Zero charts a bold course for the next decade.

Road to Zero articulates a shared vision for New Zealand, as well as the key principles to guide decision-making across the system. It outlines our approach to the challenges of the next decade and the steps we need to take to meaningfully reduce road trauma.

The strategy will be supported by several action plans. These will set out the key interventions that will support progress towards each of the focus areas over the course of this strategy. An initial three year action plan is being published alongside the strategy. Further will follow.

The strategy complements a number of other Government strategies and work programmes. This includes:

- ▶ developing NZTA’s mode shift plan – a strategy to achieve a shift to public and active transport through joint investment and land-use decisions
- ▶ implementing the New Zealand Rail Plan to enable a resilient and reliable rail network for moving freight and increased public transport options through metropolitan rail
- ▶ improving public transport services
- ▶ delivering on the Disability Action Plan’s intentions to increase the accessibility of transport for disabled people
- ▶ delivering on *Better Later Life He Oranga Kaumātua* 2019 – 2034 to improve the health and social participation outcomes of older people.

Ongoing engagement with tangata whenua will be important

We recognise iwi Māori as tangata whenua of New Zealand holding unique and direct relationships with the Crown. The Government has obligations under the Treaty of Waitangi to work in partnership with Māori, to ensure equal participation at all levels, to protect Māori interests, and to reflect the views and aspirations of Māori in decision-making that directly affects them.

In developing this strategy, the Ministry of Transport consulted with a range of Māori-focused stakeholders. The insights from these groups have been appreciated. Work is underway to better understand the issues and opportunities for Māori in road safety, but much more is needed to build relationships, insights, and responses to appropriately meet the needs of tangata whenua in New Zealand. Ongoing partnership with Māori will be a focus as we move from the development of the strategy to the implementation. On the specific actions in the strategy, we recognise that mainstream policy approaches do not always work for Māori and different policy responses may be needed.

This is the start of what will be an ongoing and important process.

Sub-elements 6.2 and 6.3: Does it align with its department’s statement of intent (6.2) and annual report (6.3)?

Best practice example 28: Department of Corrections
Hōkai Rangi: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Statement of intent: pp. 4–6, 9, 11–14, 18.

<i>Hōkai Rangi</i>	<i>Ara Poutama Aotearoa</i>
<p><i>Hōkai Rangi 2019–2024</i> is our organisational strategy. It seeks to put wellbeing at the heart of everything we do, to deliver better outcomes for the people we manage, our staff and partners, and all of our communities in Aotearoa. In response to the overrepresentation of Māori in the Corrections system, it was developed with Māori, and utilises a Māori worldview to underpin the changes we seek. <i>Hōkai Rangi</i> prioritises partnership with Māori, and humanising and healing approaches as critical in delivering greater outcomes for all people in the Corrections system, and their whānau.</p> <p><i>Hōkai Rangi</i> was the name given to us by Te Poari Hautū Rautaki Māori – our Māori Leadership Board. It is taken from the karakia <i>Kete o Te Wānanga</i>, which describes the ascent by Tāne into the highest heavens. It is drawn from the following section, <i>Ko te hōkai nuku, ko te hōkai rangi</i> (traversing the earth, ascending into the heavens). It aligns with the metaphor of Ara Poutama Aotearoa which is drawn from the same narrative.</p> <p><i>Hōkai Rangi</i> represents the journey of Ara Poutama Aotearoa, the people in our care, and their whānau to achieve their full potential.</p>	<p>The name Ara Poutama Aotearoa was gifted to us after extensive consultation with communities and iwi. It refers to an aspirational pathway for people in prison, and people subject to community-based sentences and orders. It also highlights our responsibility to guide and support these people and their whānau to reach Te Tihi o Manono, the point from which unlimited potential can be realised.</p> <p>Poutama specifically refers to the stepped pattern found on tukutuku panels and woven mats symbolising genealogies and the ongoing steps of learning and achievement. Many believe the stepped pattern represents the steps which Tāne ascended in his quest for superior knowledge.</p>

Best practice example 28: Department of Corrections
Hōkai Rangi: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Statement of intent: pp. 4–6, 9, 11–14, 18 (continued).

Foreword from the Minister of Corrections

As Minister of Corrections, I'm pleased to present Corrections' Statement of Intent for 2021–22.

This document outlines the key areas that I expect Corrections to lead and, importantly, updates the public on Corrections' activities and the introduction of its five-year organisational strategy, *Hōkai Rangi*.

The prison network we inherited was under stress and heading in the wrong direction. It is undeniable the high rates of imprisonment include an overrepresentation of Māori. The increasing prison numbers were leading to escalating costs and diverting money away from work that could make a real difference in people's lives.

This Government aims to bring lasting and meaningful reform to the justice system and Aotearoa/New Zealand as a whole through its wellbeing approach, which looks beyond the short-term to longer-term intergenerational outcomes.

Hōkai Rangi, a strategy authentically co-designed with Māori and incorporating a Te Ao Māori worldview, is a perfect example of that.

It is bold, but nothing less than bold is required if Corrections is going to be successful on its path.

My time as Corrections Minister has brought me into contact with countless staff and offenders across our prisons and community corrections sites.

I have met offenders who have transformed their lives with the help of staff and a focus on rehabilitation and mental health. This is how we will make long-lasting change that will ultimately lead to fewer victims and safer communities.

It will also lead to safer environments for staff, which is a key priority to me. Their important work to keep New Zealanders safe every day is done alongside some of our most dangerous and challenging people. They are essential to this strategy.

There is still a long way to go on the path to reform our justice sector. This Statement of Intent outlines the continuation of a real shift towards that goal.

Responsible Minister statement

I am satisfied that the information on strategic intentions prepared by the Department of Corrections is consistent with the policies and performance expectations of the Government.



Hon Kelvin Davis
Minister of Corrections

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Statement of intent: pp. 4–6, 9, 11–14, 18 (continued).

B

Introduction from the Chief Executive

In this, the final period of our 2018–2022 Statement of Intent, I thought it was important to provide updates on changes to our organisational strategy. In August 2019, we launched *Hōkai Rangī*, our five-year organisational strategy covering 2019–2024. It represents a new strategic direction for us: one that builds on the good things we were already doing, but importantly, innovates to find new and alternative ways of doing things to achieve better outcomes for people under our management, their whānau, and the wider community.

The strategy sets a clear expectation to address the overrepresentation of Māori in our system, and we knew we had to do things differently to realise that. It is a bold strategy and requires us to be equally bold in fulfilling its promise.

We've made a strong start, and despite the COVID-19 interruptions and the Waikeria Prison riot, progress continues at pace. Our staff are at the heart of us being able to deliver *Hōkai Rangī*. Investing in the ongoing strength, safety, and capability in our people is a significant focus for the organisation. In 2020, we realigned our Executive Leadership Team to deliver *Hōkai Rangī*. This included establishing a new People and Capability group responsible for building the capability of our people, and ensuring they are well supported to do their work.

As we move forward, there will be a greater level of accountability and workforce flexibility for our four regions to operate and support their frontline staff. This will enable our frontline staff to be supported in a way that is more responsive to their needs, and ensure they have the skills and capability to lead our implementation of *Hōkai Rangī*.

The organisation cannot deliver *Hōkai Rangī* alone. Developing, improving, and strengthening authentic partnerships with Māori is an important step on our journey. Our work on the Māori Pathways programme has become a key part of *Hōkai Rangī*. The Māori Pathway was part of the 2019 wellbeing budget – a \$98 million investment over four years to shift the Corrections system using kaupapa Māori and whānau-centred approaches. The partnerships developed through this are enabling us to generate new ideas and ways of working. Results will be assessed by Māori and the Crown together.

An additional \$10 million was invested in the Wāhine Māori Pathways in the 2021 budget. Women have unique needs and this funding will support a series of initiatives designed in partnership with Māori to build better outcomes for women at Christchurch Women's Prison and across the Canterbury community.

Our pathways work is focused in three areas: Hawkes Bay, Te Tai Tokerau and Te Mana Wāhine (Christchurch). These areas have been provided with the investment, mandate, and objective of adapting ours, and our partners', approaches to better support the *Hōkai Rangī* outcomes. I anticipate these three geographical areas, along with the Waikato, through the Waikeria Prison redevelopment, provide us the opportunity to try new ways of working which can then be transferred elsewhere.

I am confident that the coming year will see further important changes in the way we operate, and I am looking forward to sharing these in next year's Statement of Intent. These changes, supported by strong and authentic partnerships, will enable us to improve outcomes with and for Māori, and create humanising and healing pathways through the Corrections system, as envisaged by *Hōkai Rangī*.

Chief Executive statement of responsibility

In signing this information, I acknowledge that I am responsible for the information on strategic intentions for the Department of Corrections/Ara Poutama Aotearoa.

This information has been prepared in accordance with section 38 and section 40 of the *Public Finance Act 1989*.



Jeremy Lightfoot

Secretary for Corrections and Chief Executive

Te Tumu Whakarae mō Ara Poutama Aotearoa

About the Department of Corrections *Ara Poutama Aotearoa*

Our core roles

Managing New Zealand's prisons/ corrections facilities

Corrections is responsible for 18 prisons across New Zealand, one of which, Auckland South Corrections Facility, is managed privately. As at 31 May 2021, they housed 8,418 people, down from an historic high in March 2018 of 10,820.

The 18 prisons span the length of New Zealand from Northland Region Corrections Facility to Invercargill Prison. Three prisons (Auckland Region Women's Corrections Facility, Christchurch Women's Prison and Arohata Prison) are for women, while the remaining 15 are for men.

The profile of the people in each prison differs depending on the site. Facilities are equipped to manage people of varying security classifications, ranging from minimum to maximum security, and status, either remand or sentenced.

Prisons are complex environments. They accommodate complicated and vulnerable individuals. While a person is in prison, Corrections is responsible for their safety, rehabilitation, health and wellbeing. People in prison are provided with food, clothing, primary healthcare and mental health services, cultural and spiritual support, offered rehabilitation and reintegration programmes, and assistance to help transition safely and successfully into their community upon release.

Sentences and orders in the community

Corrections manages approximately three times as many people in the community as we do in prison, at more than 100 Community Corrections sites nationwide, as well as one Public Protection Order Residence on the grounds of Christchurch Men's Prison.

Corrections administers 10 different community-based sentencing options, the most restrictive of which is home detention. There are also several community-based orders that the Courts can impose to keep the community safe, even when someone is not serving a sentence. The most serious of these is an extended supervision order, which enables the ongoing monitoring and management of the risk posed by a high risk sex offender or a very high risk violent offender.

Probation staff are trained to manage people in a way that maintains public safety, through building effective relationships with the individual and their whānau, and supporting them to complete their sentence or order.

Community-based sentences and orders often allow individuals to keep their employment, and maintain pro-social community and whānau connections, while still being held to account for their actions. When required, staff escalate their response by imposing sanctions or pursuing formal prosecution for breaching their conditions. Formal prosecution may result in imprisonment.

Corrections monitors people subject to community-based sentences and orders differently depending on the nature of the conditions imposed by the Courts or the New Zealand Parole Board. Monitoring can include home visits, regular check-ins with probation officers, electronic monitoring, and person-to-person supervision.

Delivering rehabilitation programmes, reintegration services, and health services

Every person's rehabilitation journey is unique and is based on several considerations such as the nature of their offending, their risk of re-offending, their motivation to change, and their physical and mental wellbeing. Rehabilitation programmes, reintegration services, and health services are opportunities to help people in the corrections system turn their lives around, thereby reducing re-offending, a key goal of *Hōkai Rangī*.

The suite of interventions includes addressing health needs, cultural support, educational opportunities, vocational training, motivational sessions, offence-focused programmes, alcohol and other drug treatment programmes, intensive residential programmes, and individualised psychological treatment.

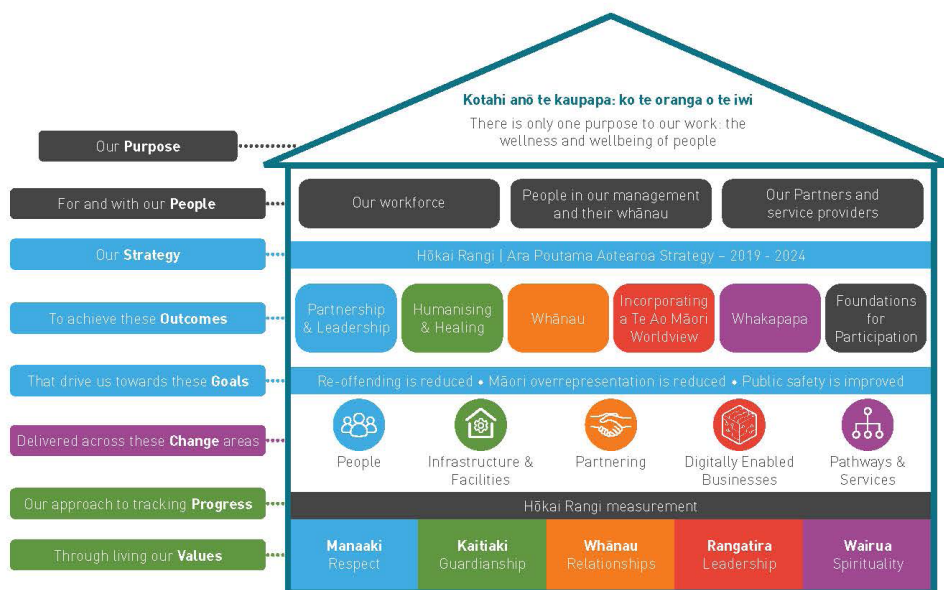
Corrections delivers rehabilitation interventions and reintegration services to thousands of people, both in prison and in the community. Programmes can be run with a mixed-delivery model with some key programmes and services being delivered by internally employed specialists, such as psychologists, and some being delivered in partnership with non-profit community groups.

Best practice example 28: Department of Corrections
Hōkai Rangi: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Statement of intent: pp. 4–6, 9, 11–14, 18 (continued).

Our strategic direction: *Hōkai Rangi*

Corrections is on a transformational journey guided by our overarching strategic framework outlined below.



Hōkai Rangi Ara Poutama Aotearoa Strategy 2019–2024

In August 2019, Corrections launched *Hōkai Rangi*, our organisational strategy for improving outcomes with, and for, Māori. *Hōkai Rangi* represents a new strategic direction for Ara Poutama Aotearoa: one that builds on the good things that are already happening, learns from doing, and, most importantly, innovates to find new and alternative ways of doing things to achieve better outcomes with Māori and their whānau. This strategy will underpin transformative and intergenerational change for people in the Corrections system and their whānau. At the heart of the strategy is the concept of oranga, or wellbeing.

Safety is at the core of everything we do – it is critical to achieving our *Hōkai Rangi* wellbeing outcomes. We have a uniquely wide range of safety risks. The approach we take to our work must balance the needs of the people we are managing with the safety and wellbeing of our staff and the public.

The principles of *Hōkai Rangi* and the focus on safety and wellbeing are complementary. We have a zero-tolerance policy towards assaults on staff

or towards other people in prison. No assault is acceptable. *Hōkai Rangi* will guide our approach to implementing a healing and humanising approach that centres wellbeing without compromising safety.

Our strategic goal – Public safety is improved

Everyone benefits when people no longer commit crime. The person leaving prison gets a chance to build a crime-free life, and they may be reunited with their whānau. But by far the greatest benefit is that there are no more victims, and our communities are safer places to live.

Corrections improves wellbeing in our communities, by focussing on encouraging sustainable desistance from offending through specialist rehabilitative treatment, and reintegrative support.

For the small population of high-risk people who present an ongoing danger to themselves or those around them, Corrections improves public safety through safe and secure custodial facilities, liaison with Police, timely access to treatment and rehabilitation programmes, 24-hour monitoring and, where necessary, civil detention.

Statement of intent: pp. 4–6, 9, 11–14, 18 (continued).

Our strategic goal – Re-offending is reduced

To help build a safe society, we need people to succeed in living offence-free lives.

Corrections continues to invest in rehabilitation and reintegration, with the aim of helping people and their whānau build positive relationships at every step of their sentence. People’s physical and mental health needs are supported, education opportunities are offered, as are industry training and qualifications. Kaiwhakamana and Fautua Pasefika (kaumātua and Pacific community leaders who have access to prisons) provide spiritual and cultural support for Māori and Pacific peoples to assist in their safe rehabilitation and ultimate return to the community.

When people are released from prison, Corrections helps them find jobs, accommodation, and support. People on community-based sentences and orders are also helped to move away from offending through rehabilitation programmes, enhancing work and living skills, and supporting people into mental health services.

When people make positive progress after leaving the Corrections system, it’s not just a positive outcome for them. It’s good for all New Zealanders.

Reducing Māori overrepresentation

Overrepresentation of Māori in the Corrections system is one of our key challenges, and one we have the opportunity to address.

New Zealand has one of the highest imprisonment rates per capita among Organisation for Economic Co-operation and Development (OECD) countries, and Māori are disproportionately represented. Māori are also overrepresented among people on community sentences or orders such as supervision, community work, home detention, release on conditions, remand, and parole. Generally, Corrections manages people who have committed more serious crimes and who have more complex needs, while Police and the Ministry of Justice are responsible for lower level responses including fines and diversions.

Corrections aims, along with our partners and iwi and Māori providers, to prevent Māori entering the Corrections system, and reducing their risk of re-offending once they have completed their sentence or order. We will continue to focus on understanding what effective rehabilitation and reintegration services look like for Māori, recognising that the models used in international jurisdictions may not adequately respond to the unique characteristics of the New Zealand population. Guided by *Hōkai Rangi*, we do this in partnership with Māori, and are willing to embrace mātauranga Māori in this process.

Statement of intent: pp. 4–6, 9, 11–14, 18 (continued).

Our change areas

We will progress *Hōkai Rangi* to ensure we set the foundations for major improvement across all areas of Corrections. To do this, we identified five change areas:

- > Our people (workforce)
- > Our infrastructure and facilities
- > Partnering with stakeholders
- > Becoming a digitally enabled business
- > Pathways and services.

Together the five change areas will both inform the development of new programmes, infrastructure, and our work culture over the next three years.

We will provide stewardship over our people and organisational culture to ensure the Department has the capacity and capability to achieve the outcomes defined by *Hōkai Rangi*. This will include fostering a values-led, positive, culturally competent, learning culture, and a diverse and inclusive workforce.

Infrastructure and facilities planning and delivery in both custodial and non-custodial settings will be aligned with *Hōkai Rangi's* requirements for humanising and healing environments. Our work will deliver quality asset management performance, to ensure that physical infrastructure assets, our staff, the impacts of change, and safety and wellbeing are at the centre of our work.

The purpose of partnering is to support the identification, strengthening and management of relationships with Correction's stakeholders across all portfolios of work, and to ensure they are aligned with the outcomes described in *Hōkai Rangi*. It describes how stakeholders and partners are at the centre of all considerations by Corrections by delivering holistic, integrated, sector-wide service.

Maintaining and developing an increasingly digitally enabled business is aligned with the Department's strategic outcomes. Broad oversight and governance, and forward-focussed stewardship over Corrections' digital assets will ensure a focus on business continuity and deliberate improvements over time.

The people under our management, and their whānau must have timely, tailored access and support, and are able to identify and access the best pathway and services for effective rehabilitation, holistic wellbeing, and reintegration to prevent future re-offending. *Hōkai Rangi* will ensure these people and groups are at the centre of all considerations, and that pathways and services delivered are fit for purpose.

Statement of intent: pp. 4–6, 9, 11–14, 18 (continued).

Managing in a changing environment

To achieve the desired outcomes of *Hōkai Rangī* and realise our strategic goals, Corrections will need to navigate challenges within our operating environment, all while ensuring people are at the centre of our efforts.

Corrections manages some of New Zealand’s most vulnerable and complex people at the direction of the Courts and the New Zealand Parole Board. Corrections is responsible for their safe management for the duration of their sentence or order. In addition to our core roles, Corrections has faced several changes to its operating environment in recent years. The COVID-19 pandemic, an increase in the number of people on remand, significant housing shortages, responding to the needs of women under our management, and responding to extremism have presented some of the major challenges to the current operating environment.

Responding to challenges presented by COVID-19

The COVID-19 pandemic has presented unique challenges to keeping our staff and people in prison and in the community safe while ensuring that the wellbeing of people remains at the centre of our efforts.

As the COVID-19 pandemic has continued to affect New Zealand, Corrections has implemented significant safety and wellbeing precautions in prisons and at community sites which scale up or down appropriately at varying Alert Levels. At the various Alert Levels, it was necessary to suspend private visits to prisoners and non-essential home visits and community work, introduce a two-week separation period to keep new arrivals prison separate from other prisoners was introduced, provide prison and community-based staff appropriate personal protective equipment, undertake contract tracing, and continue promoting of good hygiene.

Corrections takes a deliberately cautious approach as sites return to full operations when Alert Levels reduce, while ensuring the health, safety, and wellbeing of staff and the people we manage.

The COVID-19 pandemic highlights opportunities to trial innovations and initiatives as part of the implementation of *Hōkai Rangī* much quicker than previously intended.

The focus areas include:

- > using technology to support rehabilitative outcomes and contact with family and whānau;
- > investing in education and skills development to support effective reintegration;
- > leveraging a mobile workforce to improve outcomes in the community;
- > strengthening our capabilities in mental health and addictions;
- > rethinking how people on remand are managed; and
- > designing a prison network that enables wellbeing.

The plan is now focused on leveraging these initiatives and refining and prioritising our operational activity based on wellbeing outcomes for our staff, the people we manage, and their whānau.

COVID-19 is likely to be an ongoing issue for Corrections for some time, and as with the 2020 outbreak, if COVID or any other pandemic were to occur in New Zealand we will adapt our processes and procedures as needed, in line with our *Hōkai Rangī* values, to ensure the continued smooth running of our network.

A growing proportion of people on remand

Since March 2019, there has been a steady increase in the remand population, and as of the end of February 2021, the daily average for the previous eight months was 36%. This is forecast to reach 41% by June 2024, not accounting for any further impacts from COVID-19.

The increase of people on remand is largely due to an increase in prosecution of more serious offending. The increase in the remand population is also associated with several other factors, including practices around granting bail and bail enforcement, an increase in the use of custodial remand for family violence offending, and longer stays in remand due to cases taking longer in the courts.

Corrections will work with justice sector partners on a range of initiatives to reduce the remand population, and improve outcomes for people on remand, such as improving access to programmes and interventions, and examining how to rebalance spending on programmes and activities to achieve this.

Best practice example 28: Department of Corrections
Hōkai Rangi: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Statement of intent: pp. 4–6, 9, 11–14, 18 (continued).

How we will track progress

Our strategy – *Hōkai Rangi*

Hōkai Rangi recognises the importance of measurement to track our strategic goals. It is very deliberately a long-term strategy which, when launched in August 2019, had actions ranging from 'to begin immediately' to plans that span more than five years.

Measurement is, and will continue to be, critically important to achieving our vision, outcomes, and goals. In the development of *Hōkai Rangi*, we identified next steps relating to action-planning and measurement, "we will need a plan for implementing our short- and medium-term actions and a set of measures and indicators so that we can track our progress". Recognising that what we are doing is complex, and in many respects new, it is critical that we learn what works and build our evidence base. This is why Corrections is developing a framework to ensure we are measuring our progress appropriately.

The process

Authentic co-design with Māori, incorporating a te ao Māori worldview, and greater connectedness with whānau, are also key elements of the Department's strategy. The progress framework is to be developed from a Māori perspective, as much as a Pākehā perspective, and be agreed in partnership with Māori, in order to be meaningful to all parties. To date, an initial set of indicators and measures has been developed in partnership with Māori.

There are six collective strategic outcomes we aspire to that are the major focus for Corrections moving forward:

- > Partnership and leadership
- > Humanising and healing
- > Whānau
- > Whakapapa
- > Incorporating a te ao Māori worldview
- > Foundations for participation.

From these we have developed seven initial key indicators that will allow us to track our progress.

- > Relationships with Māori are authentic and effective
- > Mātauranga Māori (understanding) is elevated and embedded in what we do
- > Services and programmes are with whānau, for whānau
- > Interactions promote positive relationships, manaaki (respect), and safety
- > Mana and wellbeing are enhanced through honouring whakapapa and identity
- > Self-determination, healing, and resilience are central to our approach
- > People gain the skills, tools, and knowledge to thrive in their communities.

Our current measurements and projections are outlined in Vote Corrections – Justice Sector – Estimates 2021/22. Corrections is currently building our reporting measurement framework in relation to *Hōkai Rangi* objectives, and the Department will be piloting these from mid-2021.

As development of the framework to measure progress continues, Corrections will keep measuring its progress through its current Statement of Performance measures, as well as the Recidivism Index, the Rehabilitation Quotient, and through the Ministry of Justice's Seriousness of Offences Scale.

Where relevant, these measures will be provided in reports to relevant stakeholders, Ministers, the Government, Parliament, and the public.

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170.

Foreword

We have more than 10,000 staff who work in some of the most difficult and challenging environments in Aotearoa New Zealand, with complex people who have serious convictions, including for physical and sexual violence. People also often come into our management with significant learning, disability, mental health and addiction needs.

We have long committed to doing everything we can to help people address the causes of their offending, improve their wellbeing, and safely reintegrate back into their communities. But there is more to do, especially to address Māori overrepresentation.

This drive to do better led to the development of Hōkai Rangī, our strategy to transform the corrections system. In 2020/21, we focused on setting the foundations for this long-term change, while maintaining our commitment to reducing re-offending and improving public safety.

We realigned our organisation and redirected resources to better invest in the safety, wellbeing, and capability of our staff. This groundwork is critical to ensuring the changes we make are sustainable and that our staff are fully supported to achieve this change.

We made fantastic progress in our flagship projects. The co-design of Hikitia, our new mental health and addiction service at Waikeria Prison, is progressing well, we launched Te Mana Wāhine Pathway for women in Canterbury, and we started testing new ways of working through our Māori Pathways programme in Te Tai Tokerau and Hawke's Bay.

We introduced better ways of staffing our prisons through Making Shifts Work, launched the Health, Safety and Wellbeing Plan, and continued to make progress in safely reducing the prison population.

Alongside this, we've supported 1,259 people into work through our This Way for Work programme, delivered 3,687 rehabilitation programme placements in prison and a further 4,064 in the community, and provided more than 1,200 accommodation places to people released from prison. All these numbers represent real people who have found work, overcome addiction, reconnected with their family, and taken a step towards a life free from crime.

We know we can't do this on our own. Every week, our staff, partners, volunteers, service providers, and other government agencies work together in prisons and communities. We continued to build and maintain partnerships with iwi, hapū, and whānau over the year. These are playing a critical role in how we design and deliver our rehabilitation and reintegration services to ensure the right programmes are delivered to the right people in the most appropriate way.

Of course, the year had its challenges. COVID-19 continued to loom large despite a long period of being in Alert Level 1. The lessons we learned during the early 2020 lockdown held us in good stead, especially in rapidly changing our processes and daily routines to comply with different Alert Levels.

We dealt with a serious riot incident at Waikeria Prison and received valuable support from local iwi and kaumātua as well as our union partners and emergency services. That this incident was resolved without any loss of life or serious injuries is a testament to the bravery, professionalism, and courage shown by all involved.

I never take for granted our responsibility to improve people's lives and keep our communities safe. Every day we work with people where every action can have a very real consequence. As we continue to transform the corrections system, we have to start out small, learn from others, and make decisions based on what works.

We must also continue to manage and balance public and personal safety risks in everything we do. That's what our staff do every day. I could not be prouder of them and what they've achieved this year.



Jeremy Lightfoot
Secretary for Corrections and Chief Executive
Te Tumu Whakarae mō Ara Poutama Aotearoa

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)
Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).

We have made significant progress since our formation

Corrections was established in 1995 on the principles of public safety and rehabilitation. These principles still underpin our work, but over time our understanding of public safety has evolved. We know we cannot simply imprison people until they have finished their sentence. We have to give them the tools they need to address the causes of their offending and change their lives for the better.

This has seen our rehabilitation and reintegration services change significantly since our formation – from the introduction of employment and industry training in prisons to the expansion of mental health and addiction services and increased investment in accommodation support.

Alongside this, we have invested in tools such as body worn cameras to keep our staff safe, redeveloped Auckland Prison’s maximum-security facility to better respond to people with mental health needs, and carried out a strategic assessment of the entire prison network, which provided important context for our organisational strategy *Hōkai Rangī 2019–2024*.

Hōkai Rangī was developed with Māori to deliver major change

In 2017, the Waitangi Tribunal released *Tū Mai Te Rangī!* The report drew attention to our success in reducing re-offending overall, but concluded we were in breach of the treaty principles of active protection and equity for our lack of strategic focus on Māori.

We stepped up to the call to do better, launching *Hōkai Rangī* in August 2019.

Hōkai Rangī outlines our commitment to improve outcomes with, and for, Māori. It was developed with Māori and incorporates a Te Ao Māori worldview. Through *Hōkai Rangī*, we are building on the good work we have done while recognising the need to find new ways of achieving better outcomes for those we manage, especially Māori.

By improving people’s wellbeing, we make whānau and communities safer

At the heart of *Hōkai Rangī* is the concept of wellbeing for all people, including our staff, people serving sentences and orders, their whānau, victims, and our communities. By improving the wellbeing of those we manage, we help break the cycle of re-offending and ultimately make our communities safer for all New Zealanders.

Our work to ensure the wellbeing and safety of people is focused on six outcome areas: partnership and leadership; humanising and healing; whānau; incorporating a Te Ao Māori worldview; whakapapa; and setting the foundations for participation. These outcomes help us deliver on our inter-connected strategic goals.

Public safety is improved: We improve public safety through the management of safe and secure custodial facilities, liaison with Police, comprehensive risk assessment tools, electronic monitoring and, where necessary, civil detention.

Re-offending is reduced: We provide rehabilitation and reintegration services to help people address the causes of their offending and build positive relationships with their whānau at every step of their sentence or order. By helping people break the cycle of re-offending we also improve the safety of our communities.

Māori overrepresentation is reduced: We, along with our partners, aim to reduce the overrepresentation of Māori in the corrections system. We cannot do this alone, and a joined-up approach with justice sector, community and Te Tiriti o Waitangi partners is critical to addressing this disparity.

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)
Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).

We are transforming the Corrections system

We have come a long way since our formation, with insights from past efforts informing our thinking about the future.

The foundations have been set to transform the corrections system

Since the introduction of Hōkai Rangī, we have set the foundations for long-term transformation of the corrections system.

We have embedded our leadership commitment to change by establishing a Deputy Chief Executive Māori position, re-aligning our organisational, governance and assurance structures, and redirecting resources to better invest in the safety, wellbeing, and capability of our people.

This work is critical to ensuring the changes we make are sustainable and that our staff are supported to achieve this change.

We are continuing to build and deepen critical partnerships

Authentic partnership with Māori is a priority, and Hōkai Rangī underscores our commitment to working with Māori. Corrections is deepening its relationships with Te Tiriti o Waitangi partners, Māori organisations and post-treaty settlement entities. Partnering with Māori is integral to delivering the most effective and efficient outcomes for Māori and the wider justice system.

New ways of partnering with Māori are being tested at key pilot sites. These include our Māori Pathways and Te Mana Wāhine Pathways programmes, Te Mauri Paihere ki Mangakootukutuku accommodation for women and children, and Hikitia – Waikeria Mental Health and Addiction Service. The lessons from these pilots will inform changes to how we work elsewhere.

We also work with many other organisations and individuals in the public sector, private sector, and our wider communities.

Change is happening at all levels right across the organisation

Change is happening right across Corrections to meet our long-term strategic goals. We are lifting the cultural capability of our staff, strengthening our health, disability, mental health and addiction services and our rehabilitation and reintegration services, while also establishing partnerships with mana whenua at prison sites.

Alongside this, we are re-designing the women’s prison network to be more responsive to the specific needs of women. We have also started a long-term programme to improve our physical prison environments and introduce new operating approaches that are focused on tailored pathways, greater family connectedness and wellbeing.

We have substantively delivered on 20 short-term actions in Hōkai Rangī despite the impact of COVID-19. We must ensure that what we are doing works, which is why we are also developing a new framework to help track our progress.

More information about these initiatives are referenced throughout Part A of this report.

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).

We are contributing to justice sector priorities through Hōkai Rangī

Corrections, with the other agencies in the justice sector, is addressing long-term, systemic challenges.

In early 2020, the Justice Sector Leadership Board agreed in principle to a shared vision, purpose and principles to guide sector change. The principles describe a justice system, founded on the rule of law, that treats all people with humanity, dignity, respect, and compassion.

The Justice Sector Leadership Board's Strategic Plan identifies three areas for the sector to work together:

- > **Strengthening Māori Crown relationships** – During 2019 and 2020, the Ināia Tonu Nei kaitiaki worked together with the Justice Sector Leadership Board to develop a Mana Ōrite agreement. The agreement, signed between Ināia Tonu Nei and the Justice Sector Leadership Board in April 2021, aligns well with our vision in Hōkai Rangī and having Māori at key levels of decision making.
- > **Transforming the Criminal Justice System** – The sector is focusing on improving the experience of all people who have contact with the justice system. To do this, the Justice Sector Leadership Board is engaging with the judiciary, partnering with Māori and communities, and strengthening workforce culture and capability. Work being undertaken by other agencies, with sector support, includes Police's Reframe Strategy and Te Pae Oranga Iwi Community Panels, and supporting the development of the Te Ao Mārama District Court model.
- > **Improving system performance** – Sector agencies are developing initiatives to improve and strengthen system performance. This includes the Joint Venture on Family Violence and Sexual Violence, a National Strategy related to family and sexual violence that aims to improve safety, expand services, and change longstanding behaviours and attitudes.



The whakataetae kapa haka brings participants closer to their culture, identity, and language.

Whakataetae kapa haka competition reconnecting people to culture

In 2020, the first inter-site whakataetae kapa haka (competition) was launched, with nine prisons taking part. The competition grew in 2021 with 16 sites across the country participating.

The whakataetae kapa haka brings participants closer to their culture, identity and language, and is part of our ongoing work to improve people's wellbeing, connect them with hapū and iwi, and create a positive rehabilitative environment.

The competition also teaches participants about the importance of belonging, discipline, and dedication, and sees staff and participants working together to ensure performances are a success.

The theme this year was whānau, and in nearly all the performances, whānau were invited to come into the prisons to see their family members participate.

Kapa haka tutors from the community, iwi, and mana whenua supported the participants in their learning and preparation. The performances were judged with taonga awarded to the winners.

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).

We are professionalising our workforce

We have a team of more than 10,000 people who work hard every day to serve the people of Aotearoa New Zealand. Eighty-five percent of our staff are employed in frontline roles, interacting with people in prisons or on community-based sentences and orders. That our staff have the greatest opportunity to help people improve their wellbeing is integral to our success in achieving our goals.

We are investing in the safety, capability and wellbeing of our workforce to ensure they have the skills and resources they need to lead our implementation of Hōkai Rangī. To strengthen our workforce, we have made changes to our organisational structure, redirected resources, and increased our efforts to improve staff wellbeing and cultural capability. This included realigning our Executive Leadership Team and establishing a new People and Capability group in 2020.

We are a values-led organisation

Our five shared values guide our work. They are:

- > **Manaaki (Respect):** We care for and respect everyone
- > **Kaitiaki (Guardianship):** We are responsive and responsible
- > **Whānau (Relationships):** We develop supportive relationships
- > **Rangatira (Leadership):** We demonstrate leadership and are accountable
- > **Wairua (Spirituality):** We are unified and focused in our efforts

These values underpin Hōkai Rangī, and how we 'do' change with our staff, the people we manage, and our partners.

Integrity underscores everything we do

Working with people who have committed crimes and harmed communities means we must meet the highest standards of integrity. Our Code of Conduct describes the principles we operate by and the standard of behaviour expected of all staff, contractors, consultants, and volunteers.

Our Integrity Assurance Team provides high quality specialist investigation services and advice, alongside delivering an integrity awareness programme focused on raising awareness of and preventing fraud, corruption, dishonesty and other criminal risks, giving staff the skills and tools they need to avoid manipulation.

We expect our staff to act with integrity, honesty and professionalism, and have clear Speak Up policies encouraging staff to speak up if they see, hear or experience something that concerns them. This includes an 0800 phone number for our staff to report integrity concerns. Our Code of Conduct and human resources processes ensure every one of us can be held to account for behaviour that falls short of expectations.

We recruited the right people and built cultural capability

Our recruitment processes reflect our values and are designed to ensure we recruit staff with the right capabilities and attributes needed to be successful in each of our working environments. These processes ensure the quality and integrity of new recruits and, depending on the role applied for, include selection processes covering pre-employment drug testing, fitness testing, Police vetting, and role-playing exercises. Recruitment for key roles now also focuses on competency in working with and for Māori. Our centralised team of recruitment advisors work closely with applicants to make the process as simple as possible.

In 2020/21, we recruited 915 people to frontline roles in prisons and the community, and a further 345 people to other areas of Corrections.

Building our cultural capability is an essential part of our Māori Pathways programme (refer to page 40). We are rolling out a cultural capability programme for staff in Hawke's Bay and Northland to enable us to provide more whānau-centred and kaupapa Māori approaches at these sites.

We are also finalising a te reo Māori language strategy to ensure Māori language is valued, visible, and prioritised in our practices and embedded in our policies. This work meets the Maihi Karauna (Crown's Strategy for Māori Language Revitalisation) requirement that all public service departments develop a te reo Māori language plan by 30 June 2021.

We aligned our governance, assurance and oversight structures to achieve our Hōkai Rangī goals

Corrections has robust governance, assurance, and oversight arrangements. These arrangements ensure the people we manage are treated fairly, the corrections system is operating effectively and we use public funds appropriately, we are on track to progress Hōkai Rangī, and we are honouring our Te Tiriti o Waitangi and stewardship obligations.

Following the introduction of Hōkai Rangī, we strengthened these functions by re-aligning our executive leadership roles, organisational functions, and governance and assurance structures.

In 2019/20, we created new Deputy Chief Executive Māori and Health roles. In 2020/21, we continued this work by creating new Deputy Chief Executive People and Capability, Deputy Chief Executive Infrastructure and Digital Assets, and Deputy Chief Executive Finance, Planning and Assurance roles, and simplifying and strengthening their functions.

Our Executive Leadership Team meets regularly to discuss strategic performance and operational challenges and opportunities. Governance structures at every level of Corrections provide clear escalation channels to ensure critical issues are visible at the highest levels of the organisation.

Key governance groups are outlined below. Many other advisory groups and boards meet regularly to oversee specific areas of our operations.

Key executive governance groups

- > The Executive Leadership Team Strategy Committee sets and executes our long-term strategic direction in line with Hōkai Rangī and the wider justice sector, and Government’s strategic priorities.
- > The Investment Committee directs investment and resources to carry out Corrections’ and the Government’s strategic objectives.

- > The Organisational Performance Committee provides organisation-wide oversight and governance of the integrated performance of Corrections in line with its strategic priorities, and governance over assurance activities. This includes improving our process to ensure better executive governance oversight of monitoring entity reports and the organisational response to them.
- > We have targeted portfolio committees which oversee the operating performance and business change aspects of their various assets, programmes and projects.
- > The Audit and Risk Committee is independently chaired and provides advice on our risk processes, assurance programmes and control environment.

Key operational and policy-based governance groups

- > Te Poari Hautū Rautaki Māori (the Māori Leadership Board) provides strategic leadership on policy and initiatives to improve outcomes for and reduce re-offending by Māori. Te Poari includes iwi representatives and has a critical role in advancing Hōkai Rangī.
- > The Health, Safety and Wellbeing Risk Governance Group focuses on serious risks to health and safety, notably effective hazard identification and risk management.
- > The Wellness and Wellbeing Insights & Advisory Group for People in the Care of Ara Poutama Aotearoa includes seven independent members and offers advice on areas where improvements to welfare and wellbeing can be considered and achieved. It also considers how to address issues raised through inspections undertaken by the Office of the Ombudsman and Inspectorate.
- > The Security Reference Group is a cross-functional group supporting the Chief Security Officer to coordinate security controls, review security incidents, and recommend appropriate process improvements.

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).

The Inspectorate provides independent assurance

The Office of the Inspectorate – Te Tari Tirohia provides assurance that people in the Corrections system are treated in a fair, safe, secure, and humane way. Its functions include the investigation of complaints from people in the corrections system and their whānau, prison inspections, the investigation of all deaths in custody, and special investigations.

While part of Corrections, the Inspectorate is independent from operational activities and management, which is necessary to ensure objectivity and integrity.

The Office of the Inspectorate has been strengthened, restructured, and professionalised since 2017. This has included investment in new roles and capability, including independent legal, clinical, and communications capability. There has also been a deliberate shift from a complaints-focus to a broader focus on independent oversight and systemic assurance.

The Chief Inspector reports directly to the Chief Executive to ensure operational independence. The Office also now develops thematic reviews, focused on lived experience and understanding root causes of issues, to enable strategically planned investment and system-level responses.

In 2020/21 the Inspectorate dealt with 6,616 cases overall.

The complaints system is being reimagined in line with Hōkai Rangī

The complaints system was enhanced in December 2020 with the creation of the Early Resolution Team in the Inspectorate. This team resolves lower level complaints and frees up regional inspectors to investigate more complex issues. Complaints that are urgent or relate to safety can come directly to the Inspectorate without being handled in the prison first.

The Inspectorate dealt with 5,555 complaints in 2020/21. This is an increase of 41% from the previous year, which can largely be attributed to the establishment of the Early Resolution Team. Ninety-eight percent related to people in prisons. The most frequent complaint categories were prison property, the complaints process, prison health services, and staff conduct and attitude.

In March 2021, the Chief Inspector was tasked by the Minister of Corrections to lead a review of Corrections' complaints systems. The complaints review will reimagine the complaints system through the lens of Hōkai Rangī and identify achievable changes.

Prison and thematic inspections promoted continuous improvement

In 2020/21, inspections have been carried out at Arohata Prison, Auckland Region Women's Corrections Facility, Christchurch Women's Prison, Auckland South Corrections Facility, and Invercargill Prison. The Inspectorate is also conducting a number of thematic inspections. A first thematic report about older people in prison was published in August 2020. A second thematic inspection relates to inter-prison transfers, and a third to the lived experience of women in prison.

These inspections promote a culture of continuous improvement and are being used to enhance our management of people in the corrections system, and our practice, procedures, and policies.

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).



We will track progress against Hōkai Rangī goals

Hōkai Rangī recognises the importance of measurement to track our progress against our outcomes and strategic goals. The work we are doing is complex, and in many respects new, so it is critical we learn what is most appropriate, and what builds our evidence base.

We continue to develop a Hōkai Rangī Measurement Framework to help us track our progress. This was co-designed with Māori. The framework has seven indicators of change, that work together, reflecting the holistic and interconnected nature of Hōkai Rangī's six outcome domains: partnership and leadership; humanising and healing; whānau; incorporating a Te Ao Māori worldview; whakapapa; and setting the foundations for participation.

The seven indicators are:

- > **Relationships with Māori** are authentic and effective
- > **Mātauranga Māori** is elevated and embedded in what we do
- > Services are **with whānau, for whānau**
- > Interactions promote **positive relationships, manaaki, and safety**
- > Mana and wellbeing are enhanced through **honouring whakapapa and identity**
- > **Self-determination, healing, and resilience** are central to our approach
- > People gain the **skills, tools, and knowledge** to thrive in their communities.

A first wave of prioritised measures and insights will soon be piloted at a small number of prison and Community Corrections sites. The pilot will gather experience, evidence, and insight data from people in our management, whānau, Māori partners and our staff. This approach reflects Hōkai Rangī's focus on wellbeing.

While we continue to test and refine the measurement framework, we are tracking progress through existing measures such as the Recidivism Index and Rehabilitation Quotient. When tracking our progress, it is important to note that results are impacted by factors both within, and outside of, Corrections' influence.

Recidivism Index

The Recidivism Index measures the percentage of people who are reconvicted or re-imprisoned within a given period after being released from prison or after commencing a community-based sentence.

This year's Recidivism Index shows both re-conviction and re-imprisonment (or imprisonment) rates have fallen since last year's index was completed among people who were released from prison or who started a community-based sentence during the periods observed.

For the full Recidivism Index for 2020/21, see pages 162–166.

Rehabilitation Quotient

The Rehabilitation Quotient is an annual assessment of our rehabilitation programmes and reintegration services. It measures the extent to which they reduce re-offending, by comparing the rates of re-conviction and re-imprisonment of people who participated in certain programmes with the rates of similar people who did not participate in that programme.

Modest reductions in re-imprisonment and re-sentencing rates were recorded across most of the interventions evaluated. This is a positive outcome, although most results do not reach statistical significance. The general direction of results indicates the likely positive impacts of our wider rehabilitative and integrative efforts.

For the full Rehabilitation Quotient for 2020/21, see pages 167–169.

Measuring the seriousness of re-offending

Our figure for measuring the seriousness of re-offending is derived from the Ministry of Justice's Seriousness of Offences Scale. The scale assigns a numeric score for every criminal offence according to its seriousness. For example, murder has a seriousness score of 12,000 while minor theft has a seriousness score of 70.

In 2020/21, re-offending by people on a community-based sentence or order had an average seriousness score of 178.5 [2019/20: 154.6] while re-offending by people released from prison had an average seriousness score of 316.1 [2019/20: 304]. The results shown here for 2019/20 differ from those in the 2019/20 Annual Report due to the use of an improved method of calculation.

Best practice example 28: Department of Corrections
Hōkai Rangī: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).

People's offending behaviour is being addressed through psychological and kaupapa Māori approaches

Offence-focused interventions have traditionally focused on motivation to change, cognitive-behavioural interventions and general skills such as problem solving, communication, and self-regulation.

We employ more than 200 registered psychologists who work directly with people in our management, either in group programmes or one-on-one.

People at high risk of serious re-offending generally engage in psychologist-led group and one-on-one treatment. Individual one-on-one treatment is often helpful in instances where a person may not be ready to benefit from group-based programmes or when they cannot participate in these.

People at medium risk of serious re-offending engage in programme facilitator-led group-based treatment. People at low risk of serious re-offending generally do not engage in offence-focused treatment as evidence suggests it can be counter-productive. These people can still engage in a wide range of other interventions to support their wellbeing and reintegration back into the community.

In 2020/21, we delivered 3,687 rehabilitation programme placements in prison [2019/20: 3,738] and a further 4,064 places in the community [2019/20: 3,199]. 88% of participants successfully completed their prison-based programme [2019/20: 85%], while 68% of participants in the community successfully completed their programme [2019/20: 63%].

In 2020/21, 633 people in prison [2019/20: 534] and 460 people in the community [2019/20: 391] received one-on-one treatment from a Corrections psychologist.

Since the introduction of Hōkai Rangī, we have elevated Te Ao Māori approaches, and are designing more programmes based on kaupapa Māori values. A new organisational structure has helped uplift cultural capability and strengthen programme design, policies and practice. In 2020/21, a new Manager Kaupapa Māori Practice was established, and Kaupapa Māori Supervisors now report to this role.

We are reviewing our suite of offence-focused interventions in line with Hōkai Rangī

In 2020/21, we undertook a review of our suite of programmes, notably for people with a history of sexual offending and people at medium risk of seriously re-offending. We began developing a framework to promote equity and elevate mātauranga Māori and kaupapa Māori theories and practices to the same level as psychological theories and practices. This approach will help uphold our Te Tiriti obligations and align with Hōkai Rangī outcomes.

To support the needs of young adults, we moved from delivering location-based youth programmes to a flexible model that enables them to engage in psychological support close to their whānau. To support the needs of women, we began re-designing the Kimihia Women's Violence Prevention Programme. The programme has undergone a collaborative design process that included the women we manage, their whānau and tangata whenua.

People were supported to reconnect with their culture, and strengthen their mana and dignity

We have established programmes that reconnect people with their culture to strengthen their mana and dignity and support their motivation to change.

The Tikanga Māori Motivational Programme is delivered across all prisons and Community Corrections sites. The programme aims to motivate people to change their antisocial behaviour by helping them to understand their cultural identity, and encouraging and challenging them to understand and embody the kaupapa and tikanga of their tipuna (ancestors). More than 2,000 people take part in the programme each year. In 2020/21, we began working with providers and partners to strengthen the programme and explore new models of procuring tikanga experiences to achieve the best outcomes for the people we manage and their whānau.

We operate five Te Tirohanga focus units to provide kaupapa Māori therapeutic environments in prisons across Aotearoa New Zealand. The units include a range of interventions such as the Mauri Tū Pae group-based, offence-focused programme delivered by Māori service providers.

Best practice example 28: Department of Corrections
Hōkai Rangi: Ara Poutama Aotearoa Strategy 2019–2024 (GDS03–03)

Annual report: pp. 7, 14–16, 18, 33–34, 39, 72, 170 (continued).

Appendix Four: Our strategies

We have a number of multi-year strategies guiding how we work to achieve our strategic outcomes of improving public safety and reducing re-offending.

The strategies below are those which were current throughout 2020/21.

<p>Hōkai Rangi 2019–2024</p>	<p>Hōkai Rangi is our over-arching strategy that is guiding how we work and how we will work in the future. It will deliver greatly improved outcomes with and for Māori and prioritises authentic partnerships. Hōkai Rangi can be viewed online: https://www.corrections.govt.nz/resources/strategic_reports/corrections_strategic_plans/hokai_rangi</p>
<p>Statement of Intent 2018–2022</p>	<p>Our Statement of Intent tells our story, outlining who we are and what we do, describes our current operating context, and explains how we will measure our success over the four-year horizon of the strategy. The Statement of Intent can be viewed online: https://www.corrections.govt.nz/resources/strategic_reports/statements-of-intent/statement_of_intent_2018-2022</p>
<p>Wahine – E rere ana ki te Pae Hou 2017–2021</p>	<p>Wahine – E rere ana ki te Pae Hou: Women’s Strategy is Corrections’ overarching strategy for women, which contains the vision and underlying principles for the way we work with women. The women’s strategy can be viewed online: https://www.corrections.govt.nz/resources/newsletters_and_brochures/corrections_works/2017/corrections_works_sept_2018/wahine_e_rere_ana_ki_te_pae_hou_womens_strategy_2017-2021</p>
<p>Breaking the Cycle: Our Drug and Alcohol Strategy through to 2020</p>	<p>Breaking the Cycle is our Drug and Alcohol strategy. It is reducing the harm of drug and alcohol use by people in the corrections system by focussing on problem limitation, supply control and demand reduction. Breaking the Cycle can be viewed online: https://www.corrections.govt.nz/resources/strategic_reports/breaking_the_cycle_our_drug_and_alcohol_strategy_through_to_2020</p>

