

# Integrated Assessment in Recovery

## An Evaluation of the Integrated Assessment of the Land Use Recovery Plan

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**Canterbury**  
District Health Board  
Te Poari Hauora o Waitaha

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## **Executive Summary**

### **Introduction**

This report provides the findings of an evaluation of the Integrated Assessment (IA) of the Land Use Recovery Plan (LURP) for greater Christchurch carried out by Environment Canterbury (ECAN), Christchurch City Council (CCC) and Canterbury District Health Board (CDHB).

The LURP was prepared by ECAN at the direction of the Minister for Canterbury Earthquake Recovery with the purpose of ensuring “that efforts to restore and enhance greater Christchurch are well coordinated and facilitate a timely and expedited process for the recovery” (Environment Canterbury, 2013a).

### **Methods**

#### **The Integrated Assessment**

To perform the IA, the team developed 37 criteria divided amongst four key classes: Social, Cultural, Economic, and Environmental. These classes were taken from the Local Government Act 2002 and, although they have been removed from the act by the 2012 amendment bill, were still considered appropriate for organising the criteria into manageable topic areas. The criteria were based on scoping work already conducted for the LURP plus existing ECAN guidance or strategy documents, previous impact assessments and other policy documents, and Iwi management plans. Each of the criteria had an accompanying description, e.g. “Well-functioning public transport system”, and a five point scale from, for example “-1 The Plan hinders provision for an integrated public transport system” to “+3 The Plan ensures that an accessible integrated public system extends to Greater Christchurch and takes account of future growth and economic/environmental constraints”.

The criteria were used to facilitate an assessment workshop in February 2013. Fifty-six participants were selected to achieve a broad range of expertise. Participants were divided into four groups based on their expertise around one of the four asset classes. Participants then rated a pre-consultation draft of the LURP according to each of the criteria, and provided recommendations on how the LURP could be improved to achieve a better rating. Facilitators recorded the rating and discussion and provided feedback to LURP authors.

A further workshop to assess how the recommendations had been adopted was held in April 2013. A LURP author provided an overview of the current draft LURP and twenty five participants were again split into four groups and asked to provide feedback.

A final in-house assessment was carried out by the IA team in June 2013. This compared the recommendations from previous assessments with the current draft LURP, and provided recommendations to help the LURP meet the original recommendations.

#### **The Evaluation**

The evaluation was carried out by two evaluators from Community and Public Health (a division of CDHB) who were not otherwise involved with the LURP or the IA. Surveys and in-depth interviews were conducted to capture the experiences of workshop participants, IA team members, and LURP

authors. The impact of the IA on the draft LURP was further investigated by examining the lists of recommendations produced after each of the workshops and the final in-house analysis.

## Findings

This evaluation demonstrates that IA methodology can be used to improve a municipal plan over and above the improvement achieved using traditional consultation. The great majority of people involved with the IA, including the LURP authors, valued their involvement in the IA and felt that it resulted in improvements to the draft LURP, including increased scope. Furthermore, an increasing proportion of recommendations were included in the LURP at each stage of the IA, and a LURP author reported that these changes may have been missed had it not been for the IA. This success was all the more remarkable given that the IA was carried out under significant time pressure. It is therefore concluded that it is appropriate to use IA methodology again to assess future plans or policies.

Apart from directly improving the LURP, the evaluation identified a number of other benefits arising from the IA. These benefits included:

- Promoting the exchange of ideas amongst influential people from a range of fields. Especially, promoting improvements to the LURP amongst people who will be involved with its implementation, and promoting public health ideas to an influential audience.
- Giving workshop participants a sense of ownership over the LURP.
- Improving the quality of the submissions made by the organisations of workshop participants.
- Building capacity to carry out IAs.
- Maintaining an on-going constructive relationship between CDHB, ECAN and Christchurch City Council.
- Promoting the use of IA methodology.

Although no formal comparison of methodologies was conducted, the evaluation identified some potentially important advantages of the IA methodology compared to traditional consultation or other forms of impact assessment. The use of criteria was highly valued for their utility in generating discussion and assisting with building consensus. This consensus allowed all views to be taken into account objectively, so LURP authors did not have to subjectively combine the range of views generated by traditional consultation. Similarly, the written feedback provided from the IA meant that authors did not have to interpret and record spoken information, so had more time to understand new ideas, which in turn had a greater chance of being implemented.

The use of criteria also enabled a large number of people to make a meaningful contribution at the assessment workshop. As such, the IA was able to make use of a wide range of expertise. Although there was no formal consideration of evidence at the workshops, the great majority of people involved felt that the expertise of the participants ensured that the IA recommendations did take the evidence into account.

It was beneficial to be able to work with a very early pre-consultation draft, because it provided greater opportunity to include big new ideas into the LURP.

The process was helpful for providing meaningful consultation for people from different population groups, including Māori. Having many influential people considering the same issues allowed Māori

participants to express their ideas and concerns to an interested and influential audience. Furthermore, the ability to re-write criteria gave participants the chance to re-frame the questions to be appropriate for the world views of a variety of cultures.

Despite the strengths of the IA process, the evaluation identified a number of shortcomings in the execution of the IA of the LURP. The majority of these shortcomings were, one way or another, attributable to the short timeframe available to carry out the IA. Nevertheless, these shortcomings present important lessons which should be taken into account when carrying out future IAs. The evaluation report provides a list of recommendations (page 32) detailing how IA teams may avoid these shortcomings when assessing future plans or policies.

## Introduction and Background

This report provides the findings of an evaluation of the Integrated Assessment (IA) carried out to inform the Land Use Recovery Plan (LURP) for greater Christchurch.

### The LURP

The Canterbury Earthquakes of 2010-2011 had a dramatic impact on human activities in the greater Christchurch area. As a result of these changes, existing resource management, local government, and transport planning instruments may no longer provide optimal outcomes for the region. In response to this problem, Environment Canterbury (ECAN) requested that the Minister for Canterbury Earthquake Recovery direct ECAN to develop the Land Use Recovery Plan (LURP) to “ensure that efforts to restore and enhance greater Christchurch are well coordinated and facilitate a timely and expedited process for the recovery from the effects of the Canterbury earthquakes” (Environment Canterbury, 2013a).

ECAN was tasked with developing a broad strategy based on a wide range of data sources within a compressed timeframe. According to the Minister’s direction, the LURP was to be prepared within 7 months and was to identify “the location, type and mix of residential and business activities within specific geographic areas necessary for earthquake recovery” (2012). The direction stated that the LURP would identify amendments to be made to existing statutory planning documents, and should consider but could not amend other recovery planning documents such as the Christchurch Central Recovery Plan and the Natural Environment Recovery Programme (NERP). In addition, the Minister’s direction stated that ECAN should carry out and document public consultation on the LURP (2012) and the Recovery Strategy for Greater Christchurch states that government-led recovery programmes should use appropriate impact assessment as part of their development (2012).

### The Integrated Assessment

As part of its obligation to consult on the LURP, ECAN approached the Canterbury District Health Board (CDHB), Christchurch City Council (CCC) and consultant Martin Ward to form a cross-agency assessment team to carry out an IA on the LURP. The purpose of the assessment was to evaluate early in the plan development process how well the plan met identified sustainability and wellbeing criteria, and to provide recommendations to improve the plan.

IA methodology was chosen because:

- The method had been used for the Christchurch Central City Plan (Quigley & Ward, 2011), so was familiar to the assessment team. This consideration was particularly important given the limited time available to carry out the assessment.
- The assessment criteria could be based on the existing Recovery and Urban Development Strategies, the Central City Plan, policy documents and sustainability and wellbeing assessments.
- The scoping of key issues had already been completed through prior consultation workshops.
- The assessment would help meet the Minister’s requirement for consultation.

## **The Evaluation**

To help determine the value of conducting the IA, and to improve any future IAs, the IA team engaged Community and Public Health (the Public Health Division of the CDHB) to conduct an evaluation of the IA of the LURP. The IA methodology is a relatively new alternative to impact assessment, having been developed for use on the Canterbury Water Management Strategy in 2010. Although the methodology has also been used for other projects, including the Central City Plan, it has not yet been evaluated for use as an assessment and consultation tool for planning documents. As such, it is important to determine whether the IA made a useful contribution to the development of the LURP. Furthermore, as the methodology is still relatively new, it is likely that refinements could be made to increase the effectiveness of future IAs. As such, the purpose of this evaluation is to document the contribution of the IA to the development of the LURP and to identify lessons from this IA process which could be used improve the way future IAs are conducted

## Methods

### The IA

A detailed description of the methods used to complete the IA is provided in Appendix 1 and 2 of the IA report (Environment Canterbury, 2013c). A brief account is presented here.

### The IA team

The IA team was made up of personnel from Environment Canterbury, the Canterbury District Health Board, Christchurch City Council and the Ministry of Health. The Team was assisted by Martin Ward, an experienced sustainability assessment practitioner.

### Development

Screening and scoping of key issues to be covered by the consultation for the LURP had already been completed through public workshops prior to Christmas, and the same scope was adopted for the IA. The screening and scoping process is documented in two separate reports – an Issues Paper (Environment Canterbury, 2012) and Context Paper (Environment Canterbury, 2013b).

To develop the assessment framework, the team crafted 37 criteria based on an agreed set of desired outcomes under each of the four wellbeings legislated in the Local Government Act (Social, Cultural, Economic, and Environmental). The assessment criteria were developed using principles taken from guiding or strategy documents, previous impact assessments, and other policy documents and iwi management plans. The criteria included a description, e.g. “Well-functioning public transport system”, and a five point scale from, for example “-1 The Plan hinders provision for an integrated public transport system” to “+3 The Plan ensures that an accessible integrated public system extends to Greater Christchurch and takes account of future growth and economic/environmental constraints” .

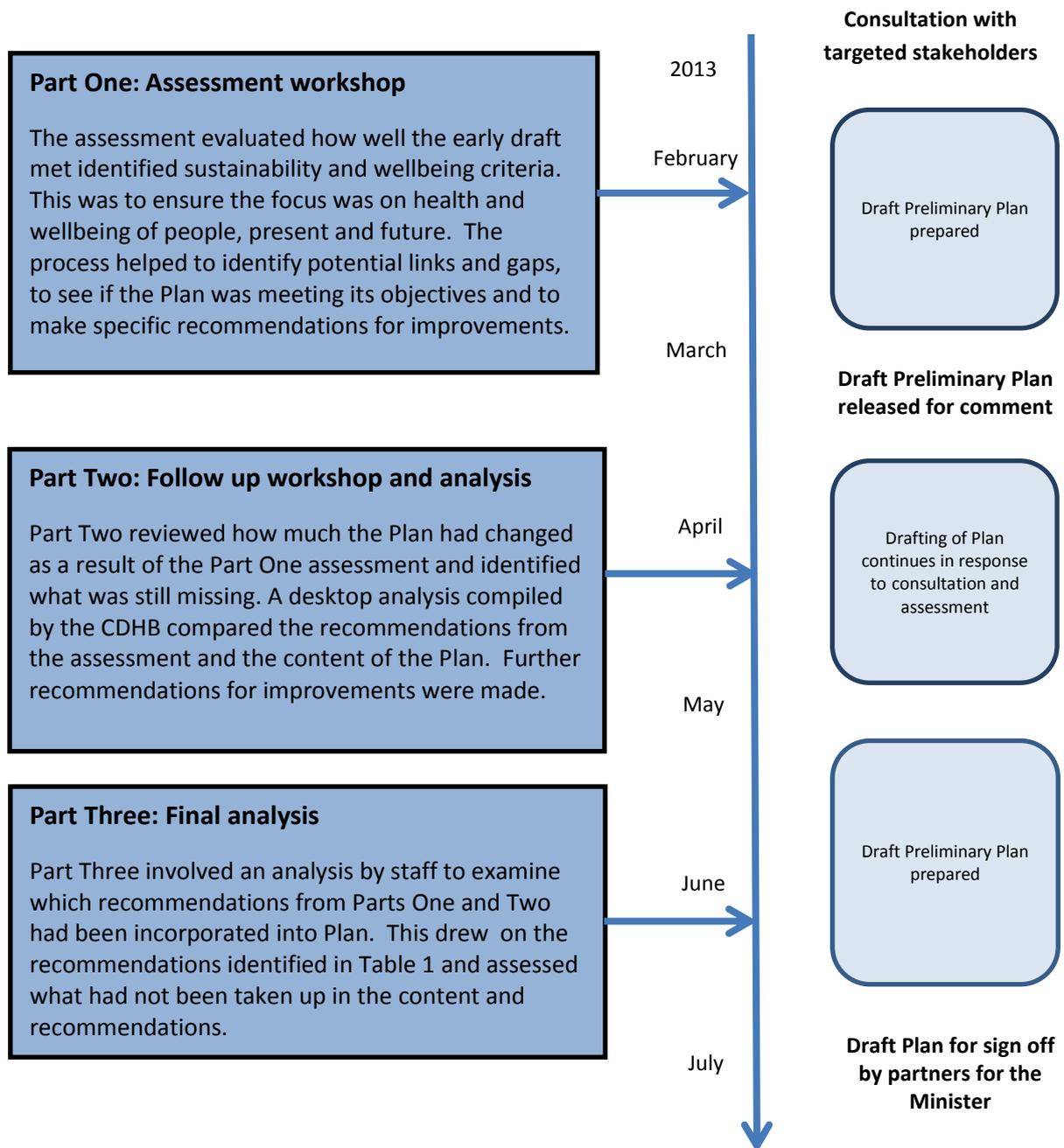
For the full list of criteria see Appendix 1 and for all scores see Appendix 2. Scoring the Plan against assessment criteria involved participants assigning a top and bottom line to each criterion. The top line is the objective, target or norm that the workshop participants wished the Plan to aim for, while the bottom line is the minimum standard.

### Workshops

The assessment was carried out at an assessment workshop held in February 2013, with a follow up workshop held in April 2013 and a final in-house analysis carried out during June 2013. A timeline for the workshops alongside the development of the draft LURP is presented in Figure 1.

Fifty six participants attended the assessment workshop to review a pre-release version of the preliminary draft LURP. Invitations were targeted to people who had experience and knowledge in a broad range of areas of interest including social wellbeing, cultural wellbeing, environment, architecture, transport, economics, land use and communications. Participants were recognised in their field and many were members of professional institutes and non-government organisations. The development and business communities had already been consulted widely through earlier consultation and other forums so they were not targeted for the IA workshops. People who had already contributed to the context and issues papers were excluded from the IA workshops.

**Figure 1: Timeline for Integrated Assessment alongside progress of the Draft LURP**



The assessment workshop was a full-day workshop held on February 15, 2013. The workshop participants and the IA team attended the entire workshop, but the LURP authors were called away to present to the Christchurch City Council, so were unable to attend some sessions. Each workshop participant was allocated to one of four streams (social, cultural, environment, economic) and assigned a set of criteria to work on. In the morning session, participants were asked to evaluate and improve the criteria and to set top and bottom lines for what they would like the plan to achieve. In the afternoon session they rated the plan according to the criteria and described why they gave the rating they did and what it would take for the plan to achieve their top and bottom ratings. Participants were also given the opportunity to move around the room for a short time to

examine the criteria and scoring of the other streams. The day ended with a group discussion and an overview of the day.

Following the release of the preliminary draft LURP, people who were invited to the assessment workshop were again invited to an evening follow-up workshop, with twenty five participants attending on April 16, 2013. The LURP authors were also able to attend the follow-up workshop. The goal of the follow-up workshop was to determine whether the preliminary draft LURP had included the recommendations from the assessment workshop and whether there were any unintended consequences, and to make further recommendations to help improve the plan. Participants gathered into one of three groups corresponding to the three priority areas of the Plan: Principal Land Use Responses; Housing; and Business. Each group reviewed their priority area and then made recommendations recorded by the Plan writers.

In preparation for the follow-up workshop, the IA team had prepared a changes report detailing which recommendations had been incorporated into the LURP. However, only one group made use of the changes report while reviewing the LURP. Other groups simply discussed how the plan should be improved. The Plan was not put through a scoring regime as done in the first Integrated Assessment workshop.

Before the draft LURP was submitted to the Minister, staff from CDHB (Community and Public Health) and ECAN performed an in-house analysis to highlight recommendations that may still require further consideration. Staff systematically worked through the draft plan and compared it to the recommendations from the assessment and follow-up workshops, and provided further recommendations to help further improve the draft LURP.

Following each workshop, the IA team prepared a report for the LURP authors outlining the recommendations and the reasoning behind them.

## **The Evaluation**

The evaluation was carried out by two evaluators from Community and Public Health who were not otherwise involved with the LURP or the IA.

The experiences of workshop participants, IA team members, and LURP authors were captured using in-depth interviews and participant surveys after each of the assessment workshop and follow-up workshop.

The IA team developed a feedback survey which was provided to all participants at the end of the assessment workshop. Eleven responses were received (20% response rate). Feedback from this survey was summarised by the IA team and included in the IA report.

After the follow-up workshop, participants from either workshop were given the opportunity to complete an online feedback survey (Box 1). The survey was sent to the 52 workshop participants for whom there was still a valid email address, and there were 25 responses (48%). An evaluator performed a thematic analysis of these survey responses.

Nine in-depth interviews were conducted with interviewees selected to obtain representation from ECAN, CDHB, Christchurch City Council, and Te Rūnanga o Ngāi Tahu, as well as members of the IA

team, the LURP authors, and a workshop participant from each workshop stream. An additional thematic analysis was carried out on the interview responses.

The impact of the IA on the draft LURP was further investigated by examining the lists of recommendations produced after each of the workshops and the final in-house analysis, and by examining the draft LURP alongside the recommendations from the final in-house analysis.

The staff time required to conduct the assessment workshop and produce feedback for the LURP authors was documented by IA team members.

**Box 1. Survey questions for workshop participants.**

*How much did you value your involvement in the Impact Assessment of the LURP?*

Highly valued

Somewhat valued

Not valued

*Are you satisfied that the information you provided during the IA workshop has informed the draft LURP?*

Yes

No

Any comments?

*Do you think that all stakeholders were represented at the IA workshop?*

Yes

No

If no, please indicate which additional stakeholder groups you think should have been involved in the workshop session

*Would you consider attending a similar workshop in the future?*

Yes

No

Please explain

*Do you have further comments about the IA of the LURP?*

Open-Ended Response

## Findings

### Impact of the IA on the LURP

The IA appears to have had a substantial positive impact on the draft LURP. The comparison of recommendations from each stage of the IA with the final draft shows an ever decreasing number of recommendations which remain to be adopted (Table 1). Furthermore, all but one of the interviewees felt that the IA had resulted in improvements to the draft LURP. Team members and workshop participants noted that there were phrases from the IA that had been directly imported into the draft LURP, and ideas from the IA which received increased prominence in the draft LURP following the IA recommendations being provided to the LURP authors. Sixty-eight percent of survey responders (17 out of 25) indicated that they were satisfied that the information they provided at the IA helped to inform the LURP. Importantly, a LURP author noted that there were important issues raised by the IA which may have been missed had the IA not been undertaken.

*Interviewer: And so you think that those were things that wouldn't have happened if there hadn't been the integrated assessment?*

*Author: Potentially, it might have been missed off, yes. I think we always think that we sort of know the issues and know what you want to say but actually getting it on paper and everyone interpreting it in the same way and slightly different and there were still some issues that we missed off in drafting, or weren't as explicit as they could have been or explained in the same way as everyone else expected and so the integrated assessment provided that testing which was really useful.*

A LURP author felt that important advantages of the IA compared to normal consultation were that they received a written summary of recommendations and that there was an opportunity to check whether the changes they made achieved the purpose of the recommendation. Although many interviewees felt that having the authors in the room was important, at least for indicating that they took the IA seriously, the authors themselves felt that the information they picked up by being there was similar to what they could get from their other consultation activities. Furthermore, an author felt that it was difficult for authors to interpret group discussion in real time without being influenced by the author's knowledge of the existing draft. In contrast, written feedback, already interpreted by the IA team, was more likely to be assessed objectively. Similarly, workshop participants reported that it was useful to have the criteria to build a consensus between participants, rather than requiring the LURP authors to integrate disparate ideas.

*Author: Actually listening to the groups you pick up a lot of things, but even then, you think you understand it and even if you write it down on a piece of paper and you mean to go back to it later you still kind of lose it because of the time constraints and things moving so quickly and [the IA] was only one small component of the feedback you're getting as well ... so having it written down with recommendations and those being summarised as well and these are the key points you needed to address better was really, really useful.*

*Author: And particularly from the team that have been working on the assessment, for them to and take what they heard and put it into a written form and*

*then the second stage and the third stage to actually read through the whole document themselves and test it against the original criteria and then provide feedback saying you still haven't addressed these issues properly or in as much detail as we think you should.*

Despite the utility of the written feedback, an author and an IA team member expressed regret that there was not more time for the authors and the IA team to work together on the draft LURP. This time may have been especially useful for addressing some of the more general recommendations generated by performing the IA on such an early draft of the LURP.

*Author: It may not have led to much difference but it may have allowed more time for the assessors to spend more time with the drafters ... I still don't think we missed anything from the actual draft itself but there was some pretty big concepts there. We just couldn't dedicate the time to it. Or get buy in from governance and departments as well. There were recommendations from the integrated assessment and we skimmed over them or put the words in there, in the draft, but never really got into the issue with governance and departments.*

An author also noted that the conversations in the assessment workshop revealed that there were many cases where the intention of the authors and the workshop participants was the same, but that the wording of the preliminary draft was open to incorrect interpretation. These conversations were helpful for ensuring the intention of the LURP was expressed clearly.

Most interviewees felt that the IA helped to increase the scope of the draft LURP, especially to ensure consideration of the health effects of the plan and issues beyond RMA requirements. Furthermore, team members noted that the IA also identified relationships between different areas of the plan, which were then able to be highlighted in the plan.

In contrast to the majority view, one workshop participant felt that the compressed timeframe meant that the IA had little opportunity to influence the draft LURP. These comments were supported by the feedback from some survey respondents who felt that issues such as increasing greenfields housing development were pre-determined and not up for discussion.

*Participant: The people doing the work really wanted to make a difference through the workshops and to do a good impact assessment and to have some feedback and to challenge the draft at that stage. I'm cynical and ... I don't know if they [ECAN] were really prepared to make ... open to making a lot of changes. And part of that could have been just the timing. I mean from outside and as soon as you got to the workshop and talked to ECAN people and realised what amazing pressure they were under, time issues to perform. And you know the idea of this workshop turning up something that could ask them to rewrite huge sections or to rewrite them in ways that the Minister wouldn't accept. I could see that it was very difficult for them. So I think the people, you know, [the IA team] and all those people in the workshop would like to think we could have made a difference but I'm not sure that ECAN, again on behalf of other bodies, was really prepared to make that change.*

Even amongst interviewees who felt that the IA did make a big difference, there was uncertainty about exactly which changes could be attributed to the LURP. Two team members mentioned that it would have been useful to have some specific feedback from the authors about what changes were made or why recommendations were not adopted and one team member said that the fact the IA was not mentioned in the draft LURP suggested that the authors may not value the IA as much as they claimed to. All participants interviewed reported that they did not receive any feedback about the IA recommendations or their effect on the draft LURP.

Recommendation: That when undertaking future IAs, plan authors are asked to provide brief point-by-point feedback explaining their response to each recommendation.

Recommendation: That when undertaking future IAs, workshop participants are provided with a written summary of the recommendations from each workshop, and if possible the responses of the plan authors to each recommendation.

Most interviewees were unsure what effect the IA would have on the way land was ultimately used, in practice. They felt that the IA prompted improvements throughout the plan, but that it had the greatest effect on the context surrounding the actions. A few interviewees expressed disappointment that the IA did not have greater influence on the LURP's Actions, which would be directly implemented. However a LURP author and an IA team member argued that the context was just as important when using the plan to make decisions about land:

*Author: People focus on the actions but in the decision making you can't be inconsistent with the whole work. So whatever words are in there are powerful in themselves.*

There was some concern amongst a few participants and team members that, despite the IA, the draft LURP did not contain sufficient detail to ensure that it would be implemented appropriately. Team members, participants, and authors all acknowledged that the plan would require good monitoring to ensure that its implementation achieves the desired outcomes, and most also expected that sufficient monitoring would occur. One team member and one author noted that the draft LURP now acknowledges the need for annual rather than triannual reporting. An author acknowledged that the authors had an on-going responsibility to ensure that the interpretation and implementation of the plan was consistent with the intention of the LURP document.

*Author: It's written to achieve some really great things, and I think it will, but it's the implementation and interpretation that's going to be key from the partners, the councils and private sector and courts and hearing commissions ultimately as well ... it is all up to those people that are actually using it interpreting it and that's a role for us drafters and governance to follow up on that and be proactive about promoting it.*

Team members and participants also suggested that the IA would improve the implementation of the plan because many of the workshop participants were in professional positions which meant they would be directly involved with interpreting and implementing the plan. By being exposed to the ideas in the workshop at an early stage, workshop participants were more likely to interpret the LURP in an appropriate way.

*Participant: Not just an integrated assessment and criteria and doing that side of it but getting them involved early on, knowing that they'll be actually involved in the implementing and input component of the recovery going forward.*

There was a very strong feeling of frustration at the fact that many of the issues that workshop participants considered important to land use recovery were outside the scope of the LURP as defined by the Minister's direction. This frustration was most frequently expressed in relation to the environment stream and issues covered by the NERP, but was also expressed in relation to other streams. This limitation to the scope created a sense of disillusionment amongst workshop participants which has the potential to hinder future consultation efforts.

To further investigate the potential for the IA to influence issues outside the scope of the LURP, an evaluator contacted the lead NERP author. She reported that the NERP team received input from the IA and covered the issues raised in the NERP. It is unfortunate that IA workshop participants remained unaware that out-of-scope issues discussed at the workshop were still passed on to the appropriate people in the recovery planning process.

Recommendation: That workshop participants be allowed to adjust the scope of their assessment where necessary. Where the IA team has no pre-defined avenue to feed back recommendations outside the original scope of the work, an alternative feedback mechanism should be discussed and agreed by workshop participants and IA team members.

**Table 1 Part One: Summary of recommendations from the assessment workshop**

<p><b>TRANSPORT</b></p> <ul style="list-style-type: none"> <li>▪ Include public and active transport plans for all developments and centres</li> <li>▪ Ensure employment centres are accessible via a full mix of transport modes</li> <li>▪ Ensure land use patterns are integrated with transport infrastructure</li> <li>▪ Protect key corridors for future public transport</li> </ul>	<p><b>HOUSING</b></p> <ul style="list-style-type: none"> <li>▪ Maximise the range of housing types and for elderly</li> <li>▪ Subdivision covenants allow for a range of house sizes and types</li> <li>▪ Partner to deliver social housing and residential care services</li> <li>▪ Warrant of fitness scheme for rental housing</li> <li>▪ Prepare affordable housing policies for new developments.</li> <li>▪ Housing meets current short term to be reused in the future</li> <li>▪ Reuse building houses for workers eg affordable housing.</li> </ul>
<p><b>HAZARDS AND ENVIRONMENT</b></p> <ul style="list-style-type: none"> <li>▪ Explicit links to RPS on avoidance of natural hazards including planned retreat</li> <li>▪ Acknowledge climate change and flooding</li> <li>▪ Create green services - green roofs, walls, stormwater, buildings, natural corridors</li> <li>▪ Integrate with the Natural Environment Recovery Programme (NERP)</li> <li>▪ Provide context of the natural environment and reference existing strategies</li> <li>▪ Explicitly protect aquifer recharge area</li> <li>▪ Explicit links with CWMS Implementation Programmes</li> <li>▪ Protect groundwater for drinking water refer to drinking water standards</li> <li>▪ Acknowledge the potential for land use to affect water quality</li> <li>▪ Minimise impacts on the environment to strengthen whakapapa</li> <li>▪ Maintaining and securing productive land</li> <li>▪ Ngāi Tahu involved at the top level for natural resources</li> </ul>	<p><b>IMPLEMENTATION</b></p> <ul style="list-style-type: none"> <li>▪ Consultation using broad community involvement.</li> <li>▪ Community, partners and stakeholders involved in monitoring/ implementation.</li> <li>▪ Use SMART indicators</li> <li>▪ Need clear objectives that drive actions</li> <li>▪ Leadership – clear decision making lines.</li> <li>▪ Consider agency or group targeted to facilitate change.</li> <li>▪ Delegate decision-making to appropriate scale</li> </ul>
<p><b>REBUILDING AND BUILDING COMMUNITIES</b></p> <ul style="list-style-type: none"> <li>▪ Enable development in existing communities and how red zone community relocated.</li> <li>▪ Equity of accessibility a focus here for existing and new communities</li> <li>▪ Strong centres-based policies in plans - local and key activity centres.</li> <li>▪ Local retail included in new subdivisions.</li> <li>▪ Strengthen the use of suburb master plans.</li> <li>▪ Incentivise and encourage mixed-use developments.</li> <li>▪ Health and social services in new developments</li> <li>▪ Direct agencies to ensure social services provided in all communities.</li> <li>▪ Encourage the mix of mode use in retail areas to encourage interaction with the street.</li> <li>▪ Synchronise land use with community development.</li> <li>▪ Provide people with quality connections to the built environment where can express their interests</li> <li>▪ Create a sense of belonging and identity and provide for community diversity</li> <li>▪ Provide spaces for communities to gather.</li> <li>▪ Use surplus Crown land for social services including educational.</li> </ul>	<p><b>LOCATION AND QUALITY OF DEVELOPMENT AND BUILDINGS</b></p> <ul style="list-style-type: none"> <li>▪ Target the quality design of buildings and standards and a systems approach to urban design.</li> <li>▪ Develop incentives necessary to improve more concentrated redevelopment of existing areas.</li> <li>▪ Integrate and design of the public space</li> <li>▪ Health and wellbeing aspects to design should be central to building design and performance.</li> <li>▪ Integrate existing with new land-use and be clear about how to achieve this.</li> <li>▪ Guidance and incentives are put in place to encourage high energy rating rebuilding.</li> <li>▪ Dedicated development agency with a focus on brownfield development</li> <li>▪ Provide a business tsar to champion business needs</li> <li>▪ Remove resource consent compliance costs for red zone businesses.</li> <li>▪ Brownfields development more explicitly supported through range of non-regulatory mechanisms</li> <li>▪ Use existing infrastructure over building new</li> <li>▪ Land availability lined up with market needs – staging and sequencing</li> <li>▪ High level zoning for business - industrial (all), office (all) and other.</li> <li>▪ Name all Māori reserves</li> <li>▪ Draw on and use local people and products</li> <li>▪ Review criteria for a floating zone and see if it can be extended to other areas and types.</li> </ul>
<p><b>Table 1 continued on next page</b></p>	

<b>Table 1 Part Two: Summary of recommendations from the follow-up workshop</b>	
<p><b>TRANSPORT</b></p> <ul style="list-style-type: none"> <li>▪ Specific requirements for active transport</li> <li>▪ Refer to all transport documents \ strategies</li> </ul>	<p><b>HOUSING</b></p> <ul style="list-style-type: none"> <li>▪ Quality and repair of existing and new housing</li> <li>▪ Warrant of fitness scheme for rental housing.</li> <li>▪ Include toolbox for sustainable housing</li> <li>▪ Ensure transitional housing available locally for people awaiting a rebuild</li> <li>▪ Minimum standards for temporary homes as may become more permanent housing stock.</li> </ul>
<p><b>HAZARDS AND ENVIRONMENT</b></p> <ul style="list-style-type: none"> <li>▪ Outline plan for flood management</li> <li>▪ Natural green spaces and cover and access to green spaces and cover</li> <li>▪ Maximise sustainable opportunities</li> <li>▪ Improved and enhanced natural ecosystem health and biodiversity</li> <li>▪ Advanced surface water management, including water harvesting and storm water management</li> <li>▪ Protect waterways for a variety of values</li> <li>▪ Protection of quality and quantity of groundwater</li> </ul>	<p><b>IMPLEMENTATION</b></p> <ul style="list-style-type: none"> <li>▪ Increase emphasis on collaboration and community participation in implementation</li> <li>▪ Strengthen way to work with industry and developers</li> <li>▪ Firm commitment for active community involvement</li> <li>▪ Take a long-term sustainable view to manage growth - Whakatauki</li> <li>▪ Strengthen information on monitoring and reporting progress</li> <li>▪ Leadership for implementation</li> <li>▪ Institutional change monitoring and data sharing</li> <li>▪ Ensure cultural and Māori concepts are included in the Plan and engage fully with Ngāi Tahu as a partner</li> </ul>
<p><b>REBUILDING AND BUILDING COMMUNITIES</b></p> <ul style="list-style-type: none"> <li>▪ Build communities and the concept of villages is visible</li> <li>▪ Ensure health and social services</li> <li>▪ are equitably located</li> <li>▪ Social services are placed in new subdivision or centre developments.</li> <li>▪ Clarify the role and function and scale of centres</li> <li>▪ Insurance impediments to redevelopment especially multiple ownership</li> <li>▪ Lyttelton Port and town recovery issues added</li> </ul>	<p><b>LOCATION AND QUALITY OF DEVELOPMENT AND BUILDINGS</b></p> <ul style="list-style-type: none"> <li>▪ Focus on vulnerable populations</li> <li>▪ Development and financial contributions reviewed to how best utilised</li> <li>▪ Specifics on OIC expiry – clarify responses to transitional processes for change.</li> <li>▪ Infrastructure is a community asset - ensure it is built to a high standard.</li> <li>▪ Toolbox for sustainable housing</li> <li>▪ Evaluate the housing parks</li> <li>▪ Protect rural productive land and manage rural residential</li> </ul>
<b>Table 1 Part Three: Summary of recommendations from the in house assessment</b>	
<p><b>TRANSPORT</b></p> <ul style="list-style-type: none"> <li>▪ Integrate active and public transport into new development and local retail centres</li> </ul>	<p><b>HOUSING</b></p> <ul style="list-style-type: none"> <li>▪ Transitional housing is not well developed</li> <li>▪ Outline ways to integrate greater housing density into inner urban areas that are semi occupied or of poor quality to use existing infrastructure</li> <li>▪ Ensure quality and repair of existing and new housing</li> </ul>
<p><b>HAZARDS AND ENVIRONMENT</b></p> <ul style="list-style-type: none"> <li>▪ Address the implications of hazard and managed retreat from identified areas – this is not included and no explanation has been provided</li> <li>▪ Ensure natural green spaces and cover (green roofs, storm water, buildings, natural corridors)</li> </ul>	<p><b>IMPLEMENTATION</b></p> <ul style="list-style-type: none"> <li>▪ Ensure community participation in monitoring and review of implementation</li> <li>▪ Ensure wide range of community representation on the Strategic Implementation Forum</li> <li>▪ Land use change part of annual monitoring and reporting</li> </ul>
<p><b>REBUILDING AND BUILDING COMMUNITIES</b></p> <ul style="list-style-type: none"> <li>▪ Focus on building communities and urban villages– difficult but still not included in recommendations</li> </ul>	<p><b>LOCATION AND QUALITY OF DEVELOPMENT AND BUILDINGS</b></p> <ul style="list-style-type: none"> <li>▪ Consider more mechanisms/ tools for intensification rather than regulatory mechanisms</li> <li>▪ Clearly direct staging and sequencing of Greenfield land</li> <li>▪ Review tenure issues to support intensification and multiple ownership</li> </ul>
<b>Table 1 continued on next page</b>	

<b>Table 1 Part 4: Summary of recommendations not adopted in the Draft LURP</b>	
<p><b>TRANSPORT</b></p> <ul style="list-style-type: none"> <li>Integrate active and public transport into new development and local retail centres*</li> </ul>	<p><b>HOUSING</b></p> <ul style="list-style-type: none"> <li>Transitional housing is not well developed*</li> <li>Outline ways to integrate greater housing density into inner urban areas that are semi occupied or of poor quality to use existing infrastructure*</li> <li>Ensure quality and repair of existing and new housing*</li> </ul>
<p><b>HAZARDS AND ENVIRONMENT</b></p> <ul style="list-style-type: none"> <li>Address the implications of hazard and managed retreat from identified areas – this is not included and no explanation has been provided</li> <li>Ensure natural green spaces and cover (green roofs, storm water, buildings, natural corridors)</li> </ul>	<p><b>IMPLEMENTATION</b></p> <ul style="list-style-type: none"> <li>Ensure community participation in monitoring and review of implementation*</li> <li>Ensure wide range of community representation on the Strategic Implementation Forum</li> <li>Land use change part of annual monitoring and reporting</li> </ul>
<p><b>REBUILDING AND BUILDING COMMUNITIES</b></p>	<p><b>LOCATION AND QUALITY OF DEVELOPMENT AND BUILDINGS</b></p> <ul style="list-style-type: none"> <li>Clearly direct staging and sequencing of Greenfield land</li> </ul>

Table 1 shows the list of recommendations for improvements to the Plan at each stage and which recommendations were not adopted in the final draft. The number of recommendations not adopted is substantially lower at each stage of the process, consistent with the IA having a substantial influence on the draft LURP.

While Table 1 does not show the extent to which each recommendation was incorporated into the Plan (for example some assessment participants may prefer the Plan to go further still, and some recommendations were not taken up but the reasons why were visible in the Plan), it does show that to a large extent, the draft Land Use Recovery Plan has addressed the concerns identified through the integrated assessment process.

\*The draft LURP provides a mechanism which could allow for the recommendation to be implemented, but there is insufficient detail to ensure that the recommendation will be implemented

## Other effects of the IA

Apart from directly improving the draft LURP, the IA had numerous other benefits. Principal among these was the exchange of ideas between different fields, organisations, and interest groups that occurred at the workshops. All interviewees reported valuing these conversations, but for many different reasons, including building consensus, building relationships, understanding others' views, having a chance to explain one's views to others, and being able to clarify one's own ideas.

*Participant: Without even reading the feedback my thoughts were that the workshop was worthwhile. That gathered all the thoughts and opinions of all of those people in one hit like that. And that people that were actually there working on it [the LURP] were involved in the operation*

*Participant: Was valuable for me [as Māori] listening to non-Māori talk about culture*

In particular, people from outside of the public health field acknowledged that the IA was a great forum to promote public health ideas to influential people.

*Team Member: Well I think for, it's an opportunity for health spokespeople, for aged spokespeople, for housing spokespeople, to actually start ... pushing some of those more intangibles. Cause they're often the consequences, you know, unintended consequences often affect people as individuals or communities from decision making but you don't really have a pathway into expressing some of that. So I think that it provides those opportunities. And it takes it away from just, you know, it starts putting the human side into it. Yeah.*

*Interviewer: So why does the integrated assessment provide a better opportunity for that than what was available before, the other consultation process?*

*Team Member: A lot of it was targeted stakeholders. So it was targeted with the planning institute and it was targeted with the architects and it was targeted with the business community. So, it's, and none of those actually represent people, as communities.*

Another potentially important effect of the IA was to improve the quality of other submissions on the LURP. Team members and many workshop participants said that the information gained at the IA workshop helped to improve the quality of participants' personal or organisational submissions on the LURP. A comparison of the names of workshop participants and LURP submitters revealed no personal submissions from workshop participants. Nevertheless, individual workshop participants did report that they used their IA experience to improve their organisation's submission on the LURP, so it is likely that that there was some influence.

Team members felt that an important benefit of the IA was to give workshop participants a sense of ownership over the LURP. Although no workshop participants reported that they felt ownership after attending the workshop, upon questioning about the IA, many participants expressed strong opinions about the LURP, suggesting a level of engagement they were possibly not consciously aware of. Furthermore, all respondents to the feedback survey indicated that they valued their involvement in the IA, with three quarters (19 out of 25) indicating that they highly valued their

involvement. Furthermore, 88% of participants (22 out of 25) indicated that they would attend another IA workshop on a future plan or policy.

Another important effect of the IA was to encourage people to undertake more IAs in the future. Participants, team members, and the consultant all noted that an important benefit of the IA was to build capacity within ECAN and C&PH to undertake these assessments, and team members noted the importance of the IA for maintaining the ongoing constructive relationship between ECAN and C&PH. Similarly, two participants said that one of their primary goals in attending the IA was to learn more about the process with a view to implementing it in their own organisations. The limited timeframe of the IA also meant that it was an excellent stress-test for the methodology, demonstrating that it was possible to develop useful criteria and recruit a suitable range of participants even at very short notice.

### Strengths and weaknesses of IA process

There was very strong support for the process used to conduct the IA, with all interviewees indicating that it would be appropriate to use a similar process to assess future plans or policies. However, one workshop participant noted that it would only be appropriate to use the process on a plan or policy where there was the possibility to increase the scope of the project if necessary.

There was also a very positive feeling about the performance of the staff involved with conducting the IA in such a compressed timeframe. The IA consultant felt that the IA team members all “brought a good measure of objectivity and wisdom to the process” which ensured a good outcome despite the very short timeframe. Three interviewees said, without prompting, that they would use the same team if they had to conduct the IA again.

*Team member: But you know I think we should be really proud of the fact that we worked together and just got on with it.*

*Participant: Just congratulate the people who did all the work.*

Most interviewees felt it was important that the Plan’s authors attended the workshops, and expressed disappointment that the LURP authors were required to be elsewhere during part of the assessment workshop. Most people valued the authors’ attendance because it showed a commitment to the IA. Many participants also said it would have been useful to be able to ask the authors to explain concepts in the draft. However, one participant and one author acknowledged that allowing participants to interpret the LURP themselves may highlight ambiguous wording and so produce a document that is less likely to be misinterpreted in the future.

### Use of criteria and rating process

There was broad support for the process of rating the draft plan against criteria. In particular, the rating process was seen as a good way to stimulate discussion, build consensus, and provide quantitative feedback to the authors.

*Participant: It was really good. They prepared the scene very, very well and then sort of let us loose before breaking it up at the end, which is a really good concept.*

Despite the general feeling of support, most participants and team members interviewed had some reservations that the criteria may not allow all the key issues to be considered. These interviewees

also acknowledged that it was difficult for the IA team to produce useful criteria in the short timeframe available, and that the ability of workshop streams to re-write their criteria addressed much of the problem. However, some still felt that there was not enough time at the workshop to get the criteria right, and one workshop participant felt that they would never have got to the right criteria given the problems with the criteria they started with. Another participant felt that, had they been able to read the criteria before attending the workshop, they would have been able to do a better job of revising them in the short time available.

*Participant: Yes I think it was good. I suspect, well I'm pretty sure because of time the actual criteria weren't always particularly good or useful, maybe just badly worded and imprecise. But I liked the idea. It was quite good to be able to focus and say you know was something better than or worse than.*

**Recommendation:** That workshop participants be sent a copy of the draft criteria prior to attending the workshop

Another participant felt that there was important information in the assessment workshop morning discussions that was not captured because the focus was on finalising the criteria rather than rating the plan. This problem may have been alleviated had there been a dedicated note taker in addition to the facilitator in each work stream.

These reservations are not surprising given that in previous IAs the criteria-setting and the rating processes have been carried out as separate full-day workshops, rather than as the morning and afternoon sessions of a single day workshop. However, it was also acknowledged that, for the IA of the LURP, holding two full-day workshops would have excluded many participants due to the difficulty of re-arranging their diaries at such short notice.

**Recommendation:** That the criteria-setting and rating process be carried out as separate full-day workshops whenever practicable.

Some team members and the IA consultant suggested that the only way to ensure that draft criteria were ready to go to the assessment workshop was to pilot test them on a wide range of people. Although the criteria development process for this IA was very rushed, it may still have been beneficial to carry out some informal pilot testing on staff not involved with the IA project.

There was also some concern that the IA team did not have sufficient expertise to develop the criteria in some areas. Specific concerns were the lack of economic knowledge and cultural knowledge within the team. These concerns were reflected in the changes made to the cultural criteria at the assessment workshop.

**Recommendation:** That every effort is made to thoroughly pilot the criteria before bringing them to the assessment workshop, using both lay-people and people with specific expertise relating to each criterion.

One interviewee voiced concern that the rating process does not explicitly address the question of what impact the plan would have on specific populations. Instead it relies on workshop participants having a wide range of expertise and sufficient experience to be able to implicitly consider the

impact of the plan on different population groups when rating it against the criteria. It may be beneficial to include some kind of impact assessment component at the criteria-setting or rating steps. Explicit consideration of the impact on specific population groups could be especially important when the workshops are held at short notice, as was the case for the IA of the LURP, because it is difficult to recruit a broad range of sufficiently knowledgeable participants in a very short time.

**Recommendation:** That consideration be given to how the impact of the plan or policy on specific population groups could be explicitly considered in the criteria-setting or rating processes.

There were mixed views on how the assessment workshop should be run. While some interviewees felt that the current format (breaking into four streams, each of which consisted of about 12 participants and considered one of the four key asset classes) was an excellent way to extract the wisdom from a group of 50 people, some also felt that there were some shortcomings.

Some participants felt that they could have made valuable contributions to more than one stream. The programme for the assessment workshop included an opportunity for participants to move between groups and share ideas, but participants were not given this opportunity on the day. One team member acknowledged that, because participants were assigned to streams by the IA team, some would have preferred to be in a different stream.

Many interviewees noted that, despite the facilitators' best efforts, there were always a few people who dominated each group and a few who said little. Some interviewees felt that it would have been useful to split into a greater number of smaller groups. Similarly, in the literature, Tang and Davis (1995) suggest that group size should be small enough so that there will be time for each person to talk for two minutes on each issue discussed. Other interviewees felt that, had time allowed, it would have been better to hold multiple assessment workshops, each with fewer people. Multiple workshops would encourage everyone to contribute and allow you to compare the results from each workshop to help determine which ideas have the greatest support. Furthermore, holding multiple workshops would allow participants to contribute to multiple streams.

**Recommendation:** That IA workshops include a means for participants to contribute to multiple key asset class streams.

**Recommendation:** That the IA team consider ways to reduce group size, such as breaking into smaller discussion groups or holding multiple smaller workshops.

Participants noted that facilitators seemed to come and go throughout the day, and that when the facilitator changed they had to be brought up to speed with the discussion. Team members acknowledged that they were unable to effectively facilitate and record the discussion at the same time. They also suggested that the facilitators and note takers needed to meet before the workshop to ensure consistency of the style of facilitation and recording.

**Recommendation:** That a facilitator and note taker are assigned to each group before the workshop, and remain with those groups throughout the workshop.

Recommendation: That facilitators and note takers meet before the workshop to discuss the style of facilitation and recording.

Some participants felt that their stream risked being held back by a facilitator who was not sufficiently familiar with the topics for discussion. In the case of the IA of the LURP, the workshop participants were able to assist with leading the discussion so still arrived at a suitable outcome. However, there is no guarantee that workshop participants in every IA will be able to work so well together.

*Participant: So what I found and this was why I did step up and help our facilitator was that the people in the group understood a lot of the issues, right? And that's why they were there I suppose. But if the facilitator didn't it was hard for her to, you know, translate it. Put it on the board or on the paper to then feed in to the process formally ... Or in a similar vein even just tease things out of people. But in the end we were able to complement each other. I had the understanding perhaps, and she had the process.*

Recommendation: That the IA team select facilitators who are familiar with the issues likely to be discussed in their workstream. It may be necessary to select facilitators from outside the IA team.

Interviewees were unanimous in expressing their disappointment at the facilitation of the follow-up workshop. It had been intended that the follow-up workshop would be run like a mini assessment workshop. However, the facilitator himself acknowledged that he lapsed into running the workshop with a much more traditional consultation format.

*Author: The second [workshop] should have been done a lot better. That was a bit of a fail on my part in that it should have been more of a clearer integrated assessment kind of approach rather than it morphed into a workshop. Similar to the other consultation workshops that we'd had.*

Interviewees acknowledged that this lapse was understandable given the pressure the LURP authors were under and the fact that other members of the IA team were more familiar with IA methodology, but team members still felt that a better outcome could have been achieved had the workshop been facilitated differently. Of particular importance was the fact that IA team members had prepared a changes document detailing which recommendations from the assessment workshop had been addressed, with the intention that this changes document be used to help review the draft LURP at the follow-up workshop. However, because the facilitator did not draw attention to the changes document at the workshop it was only used by one of the key asset class streams (environmental).

IA team members felt that this situation could have been avoided if they had planned better for the follow-up workshop, or if they had facilitated the follow-up workshop themselves. Some team members said they were surprised that there was a follow-up workshop at all, which meant that some team members were not sufficiently prepared and some could not attend at all. These observations suggest that the IA of the LURP would have benefited from more thorough project planning from the start of the project. Better planning initially would have allowed team members

to better prepare for each stage of the process. Had they been better prepared, IA team members may have been more willing to facilitate the follow-up workshop themselves.

Similarly, one team member reported that the IA team was not really sure what kind of information would be useful for the LURP authors, so they had to adapt the process as they went along. Having a defined project plan, including feedback mechanisms, could have allowed the authors to provide this feedback at an earlier stage.

Recommendation: That the first stage of all IAs should be to develop an initial project plan in consultation with the policy's authors. The project plan should contain information about the sequence and approximate timing of workshops and the timing and nature of feedback. There should be clear expectations of what information should be provided from the IA team to the policy authors, and from the policy authors to the IA team.

### Use of evidence and expertise

Most interviewees acknowledged that the process of setting criteria and rating the plan at workshops allowed limited opportunities for using evidence from peer reviewed literature, other plans or policies, or previous assessment work.

IA team members suggested that, had more time been available, it would have been useful to use more evidence from peer reviewed literature and plans and policies from other municipalities in the initial drafting of the criteria to take to the workshop. However, team members also noted that the criteria were based on existing planning documents such as the Draft Central City Plan, Christchurch Transport Plan, Christchurch Urban Development Strategy, and the Canterbury Water Management Strategy, which did utilise such evidence in their development. Some team members felt that the people developing the draft criteria had sufficient knowledge of the literature to develop suitable criteria, but others reported that it would have been useful to have more expertise to draw on. Specifically, three interviewees said it would have been beneficial to have the criteria reviewed by Christchurch City Council and ECAN planning staff, and one felt it would have been useful to have a social scientist on board.

*Consultant: I think in every sense that [the criteria development] was underbaked. Not enough people, not enough preparation, not enough information on the table. And that was partly a consequence of the short timeframe, partly a consequence that the team at that stage ... were not familiar enough with the overall process. To set the right sort of framework for the day. But that's ok they'll do it well next time.*

Recommendation: That the initial criteria development utilises evidence from the literature and existing planning documents.

Recommendation: That all criteria are reviewed by people with the specific expertise required to assess the validity and appropriateness of each criterion.

Workshop participants felt that that the only practical way to utilise evidence at the workshops was to recruit participants with a good knowledge of the field. They felt that having relevant expertise and local knowledge was much more important than any briefing material that could be provided.

Furthermore, interviewees were confident that workshop participants did have sufficient expertise to implicitly consider the evidence, and that robust discussion in the workshop streams ensured that the recommendations from the IA were consistent with the best evidence.

*Participant: You know, if you were paying for their time the bill would have been quite hefty, but I guess it's a good indication that we had a high calibre of people in there helping work through these things*

### Timing of the workshops

There was a range of opinions on the timing of the workshops, with approximately half of interviewees saying that the timing was about right, and a quarter each saying that it would have been better to hold them earlier or later in the process of drafting the LURP. Overall, it appears that the assessment workshop was held at the right stage of the drafting of the LURP to achieve maximum benefit.

Those who thought the timing was about right said that they valued the chance to contribute to such an early draft, where there was still room for substantial changes. They acknowledged that it was brave of the LURP authors to allow their work to be critiqued before the plan was fully formed and before it was ready for release to the general public.

*Team member: I think that was quite empowering to people to realise that they were being given a very, very early draft and had the opportunity at that point, early point in time, of changing it. I think that was very brave of the LURP people to do, to give us that. I think it was good and that I've never seen them done that early before.*

*Consultant: The ideal for this assessment process is that you're challenging the people who are developing the plan, to reflect on the work they do and the stage of the process where there was still time to change it. And I believe from that point of view the timing was ok. They could and they did.*

However, some interviewees felt that the assessment workshop was held too late. As discussed in the "Impact of the IA on the LURP" section, one participant felt that by the time of the assessment workshop the plan was already so well developed that substantial changes would not be considered. One team member also suggested it may have been useful for the IA to have also been able to influence the issues and context papers (Environment Canterbury, 2012, 2013b) that were used as background for developing the LURP. In particular, the background could have provided more information about how to use brownfield land more effectively.

A LURP author and a workshop participant both felt that it would have been useful to assess a more developed version of the plan. They felt that by assessing at such an early stage, participants wasted time by assessing areas of the plan that the authors acknowledged were still weak. Furthermore, because there was so much revision left to do, they felt that that it was hard to provide useful detailed recommendations rather than broad brush statements about emphasis.

*Author: A couple of months after [the assessment workshop] that preliminary draft was kind of what we wanted it to be for that [assessment] workshop I suppose.*

*And then people really could have had a detailed debate about the individual words or concepts and principles as well as their having to skim across the top with their pencils.*

However, the authors did find it useful to get feedback at an early stage

*Author: It wasn't quite at that stage but at the same time we had the added benefit of coming up with criteria and agreeing them and knowing what the expectations were. Such a large and diverse but representative group, groups of people to agree on those criteria, on a vision and aspirations for land use recovery, and that then informed the further preparation of the plan ... So there's benefits of doing it during the early stages, but I think, I suppose the people that were in the workshop might have felt that their time could have been used better if that plan had been more developed and they had more to comment on. But the drafters found real value out of that day, having them provide those ideas at that stage. It was a bit of chicken and egg thing I guess.*

Recommendation: That future IAs are carried out on an early draft of the policy or plan, preferably an earlier draft than is used for general public consultation.

Recommendation: That consideration be given to assessing any background documents produced as part of the drafting process.

### **Workshop participants**

Attempting to recruit over 50 participants with a high level of expertise in land use issues to attend a full-day workshop at only 10 days notice proved to be challenging. The initial approach by email received a low response rate, so IA team members telephoned invitees who had not yet responded and personally asked them to attend or to nominate someone who could attend in their place. Team members said that they would have been unable to recruit suitable participants had they relied on email. Furthermore, they felt that their success relied on utilising IA team members' extensive networks within the Christchurch government and development communities. Reports from workshop participants about how they were recruited support these assertions. However, there was some concern that extensive use of personal networks could have biased recruitment towards European participants of high socioeconomic status, so it may be better to avoid this practice where time allows.

Recommendation: That workshop participants are invited to attend by means of a telephone call with additional information provided in an accompanying email.

IA team members and the IA consultant emphasised that people were not invited to be a representative of a particular interest group, but to bring a particular skill set and expertise in a particular area. This practice is supported by workshop participants who reported that most participants were used to considering a wide range of interest groups when making planning decisions. However, one participant felt that it was not sufficient to have expertise regarding the needs of interest groups affected by the plan. It was important to also have members of the

affected interest groups present, especially to ensure that groups can see that they have representation and feel included in the IA process.

*Participant: No, it's not enough ... because, you know, the whole idea of something like [the IA] is partly to build that consensus*

**Recommendation:** That in addition to including a broad range of expertise there should also be some representation from affected interest groups, to ensure that such groups can see that their interests are taken in to account in the IA process.

Despite the IA team's best efforts, there were still some gaps in the expertise at the assessment workshop. All interviewees were able to identify some areas that they felt did not have sufficient expertise, some of which were identified by many interviewees. Table 2 lists all the perceived gaps in participant recruitment and how many interviewees identified each.

IA team members frequently identified the lack of Pacific Island and private sector expertise. They reported that they had invited people with such expertise, but that they were unable to attend at short notice and the IA team was unable to find suitable replacements.

Area of expertise not represented	Number of interviewees each gap was noted by
Pacifika/Pacific Island people	5
People with private sector development and business experience	4
'People other than white middle class New Zealanders'	4
Refugees and new migrants	3
NGOs and community groups	2
Māori other than Ngāi Tahu	2
Environmental expertise (specifically an ecologist)	1
Selwyn and Waimakariri District Councils	1
People with disabilities	1
Treasury	1
Housing New Zealand	1

**Table 2. Gaps in expertise at the assessment workshop for the IA of the LURP, as identified by evaluation interviews (n = 9). The number of interviewees column provides a count of the number of interviewees who identified each knowledge gap in their interview.**

The IA consultant felt that the process of identifying the areas of expertise required and then potential participants was undermined by the short timeframe for participant recruitment. Instead, a "phone everyone you know" approach was taken, which led to a relatively homogeneous group of participants. While this approach was suitable for the situation the team was faced with, it would be preferable to identify potential participants based on a first principles approach.

**Recommendation:** That invitees are selected by first identifying the expertise required at the workshop, then identifying people who could bring that expertise.

Apart from the short notice, a number of other barriers were identified which may have prevented some invitees from attending.

Participants reported that they may have been more receptive to the idea of attending a workshop if they were more familiar with the IA process. Similarly, some participants said they didn't already know where the LURP fitted in with the recovery process. For these reasons, many participants' reaction to the email invitation was that the day of the workshop would be better spent doing more routine work. They suggested that it would be beneficial to be provided with more information about the IA process along with the invitation and before attending the workshop.

*Participant: I suppose it was a bit of a journey of faith perhaps ... Yes I suppose as the process becomes more common people will hit the ground running.*

Furthermore, many participants were unsure whether they were attending the workshop as a representative of their organisation or interest group, or as individuals with expertise. This uncertainty may have limited the contribution of some workshop participants if they felt they had to present solely their organisations' view.

*Participant: I can't actually remember which hat I was wearing, whether as an individual or I went as an institute rep to a couple of the workshops*

**Recommendation:** That all invitees are provided with a simple overview of the IA process including their role as an individual with expertise rather than an interest group representative. This information should be provided at the time of invitation and again a few days before the workshop.

One team member noted that the email invitations were written in a formal style which is characteristic of large government organisations, but which may seem formidable to some readers. It is possible that some invitees may have been put off by the style of the invitation email.

**Recommendation:** That written workshop invitations use lay language that is accessible to all invitees.

One participant noted that, even when people from minority groups did attend the workshop, it could be difficult for a person with no formal qualifications to make a contribution when faced with a group of people most of whom were highly qualified experts in one of the areas being discussed. Participants without formal qualifications may feel that their knowledge is less valid than the knowledge of the qualified "experts".

**Recommendation:** That the invitation for each participant provides some specific details about what expertise it is hoped they will be able to contribute to the assessment, to ensure that all participants feel that their knowledge is worth contributing and are more likely to attend.

### **Commitment to Treaty of Waitangi**

Most interviewees felt that the IA helped ECAN and the other participating organisations to meet their commitment to the Treaty of Waitangi. The reason mentioned by the most interviewees was that the workshops highlighted other value sets for decision makers to consider, including but not limited to Māori value sets. Highlighting other value sets was especially effective because, in having the opportunity to re-write the criteria, people from different cultural groups can re-frame the questions to be more appropriate for their world view.

*Participant: I think they do because we're not all, you know, knowledgeable about the Treaty itself. Let alone what it means today and whether that can be expressed. This is a way of putting other value sets on the table and making, you know, decision makers or whoever consider them. Whereas if there wasn't the process there may still be the legislative requirement or you know whatever it is. But that doesn't mean you're going to do it. Or do it well. And so the process is valuable for that reason.*

And separately:

*Interviewer: So do you think with those criteria there, compared to if you'd had just had people turn up for a public discussion like most of the consultation was, do you think that doing it this way made better use of what Māori representation there was there?*

*Participant: Yes, yes definitely. It's sort of front ending to the input so it's helping design the words before they go out to the public and having to respond to the words. So you get in to the front end and that's important and you can, perhaps, shoulder tap the ones who you think are going to hit the ground running. So it could be more efficient use of time and people.*

Two participants felt that IA would only be helpful for Māori groups if it was an important enough project for them to give their time to, on top of an already heavy consultation load. However, IA workshops early in the drafting of a plan could be used as effective preparation for individuals responsible for representing Rūnanga in targeted consultation, so may not represent a substantial increase in workload. A Māori participant said that was his experience of the IA of the LURP:

*Participant: I was involved in drafting the LURP after that and personally having been involved in the assessment that put me on notice of particular things that were missing out of the LURP*

Many interviewees felt that the IA also addressed the Treaty by compelling a wide cross section of influential people to think about equity issues for Māori and other groups. Such a process would have the dual benefit of producing innovative ideas for Māori and highlighting the importance of equity issues to potential decision makers.

The IA consultant and one workshop participant felt that by careful criteria design, the IA process could help to ensure that equity issues were not marginalised to the cultural stream and excluded from consideration in environmental, economic, and social discussions. Instead, inclusion of equity issues in criteria across all asset classes ensures that they must be considered.

In contrast to the above discussion, one workshop participant felt that the IA process could not help to address Treaty commitments because it was not a Māori-designed process. This concern may be partially addressed by giving workshop participants the opportunity to re-write criteria, but it would be better addressed by having Māori participation in the IA team.

One team member felt that in the case of the IA of the LURP, Māori participation was limited to representatives from Te Rūnanga o Ngāi Tahu and excluded other Māori in Canterbury. Although this problem is likely to be due to the short time frame for participant recruitment, it still highlights

an important issue that groups without representation at the IA, such as non-Ngāi Tahu Māori, may feel excluded from the IA process regardless of the outcome.

Recommendation: That Rūnanga be provided with sufficient information about the IA process to be able to determine the level of participation most suitable for them, including being given the opportunity to be part of the IA team.

Recommendation: That participant recruitment and criteria-setting processes explicitly consider minority and interest groups without formal representation in addition to established consultation targets such as Rūnanga, business forums, local government, and lobby groups.

### Staff time

Conducting the integrated assessment was a time intensive process, with the IA team having to develop criteria, recruit participants, conduct the assessment workshop, and provide feedback to the LURP authors. IA team members recorded their hours worked on the IA project up to the stage of writing up the assessment workshop. The hours contributed by each organisation are documented in Table 3. IA team members reported that the process required less work than it otherwise might, due to the good relationship among ECAN, CDHB and CCC through the 'Health in All Policies partnership', and the strong support of Ngāi Tahu and consultant Martin Ward.

Agency	Hours contributed
Environment Canterbury	303.5
Community and Public Health	81
Consultant (for ECAN)	45
Ngāi Tahu	24
Waimakariri District Council	16
Christchurch City Council	12
<b>TOTAL</b>	<b>469.5</b>

**Table 3. Hours contributed to the IA from each of the agencies involved.**

### Evaluation

The evaluation of the IA (i.e. this report) was carried out primarily as a post-hoc exercise gathering reflections on the IA process, and was not completed until several months after the IA and the draft LURP were presented to the Minister for Earthquake Recovery. The IA team had hoped that the evaluation would be carried out as a concurrent process which could feed back into the IA and produce findings in time for presentation to the Minister along with the IA report. However, although evaluation assistance was sought early in the IA process, communication difficulties meant that a dedicated evaluator was not assigned until after the assessment workshop.

Recommendation: That a dedicated evaluator be recruited on to the IA team in time to participate in the initial planning stage of the IA.

## Conclusions and Recommendations

This evaluation demonstrates that IA methodology can be used to improve a municipal plan over and above the improvement achieved using traditional consultation. The great majority of people involved with the IA, including the LURP authors, valued their involvement in the IA and felt that it resulted in improvements to the draft LURP, including increased scope. Furthermore, an increasing proportion of recommendations were included in the LURP at each stage of the IA, and a LURP author reported that these changes may have been missed had it not been for the IA. This success was all the more remarkable given that the IA was carried out under significant time pressure. It is therefore concluded that it is appropriate to use IA methodology again to assess future plans or policies.

Apart from directly improving the LURP, the evaluation identified a number of other benefits arising from the IA. These benefits included:

- Promoting the exchange of ideas amongst influential people from a range of fields. Especially, promoting improvements to the LURP amongst people who will be involved with its implementation, and promoting public health ideas to an influential audience.
- Giving workshop participants a sense of ownership over the LURP.
- Improving the quality of the submissions made by the organisations of workshop participants.
- Building capacity to carry out IAs.
- Maintaining an on-going constructive relationship between CDHB, ECAN and Christchurch City Council.
- Promoting the use of IA methodology.

Although no formal comparison of methodologies was conducted, the evaluation identified some potentially important advantages of the IA methodology compared to traditional consultation or other forms of impact assessment. The use of criteria was highly valued for their utility in generating discussion and assisting with building consensus. This consensus allowed all views to be taken in to account objectively, so LURP authors did not have to subjectively combine the range of views generated by traditional consultation. Similarly, the written feedback provided from the IA meant that authors did not have to interpret and record spoken information, so had more time to understand new ideas, which in turn had a greater chance of being implemented.

The use of criteria also enabled a large number of people to make a meaningful contribution at the assessment workshop. As such, the IA was able to make use of a wide range of expertise. Although there was no formal consideration of evidence at the workshops, the great majority of people involved felt that the expertise of the participants ensured that the IA recommendations did take the best evidence into account.

It was beneficial to be able to work with a very early pre-consultation draft, because it provided greater opportunity to include big new ideas into the LURP.

The process was helpful for providing meaningful consultation for people from different population groups, including Māori. Having many influential people considering the same issues allowed Māori participants to express their ideas and concerns to an interested and influential audience.

Furthermore, the ability to re-write criteria gave participants the chance to re-frame the questions to be appropriate for the world views of a variety of cultures.

Despite the strengths of the IA process, the evaluation identified a number of shortcomings in the execution of the IA of the LURP. The majority of these shortcomings were, one way or another, attributable to the short timeframe available to carry out the IA. Nevertheless, these shortcomings present important lessons which should be taken into account when carrying out future IAs. The list of recommendations below details how IA teams may avoid these shortcomings when assessing future plans or policies.

## Recommendations

- That when undertaking future IAs, plan authors are asked to provide brief point-by-point feedback explaining their response to each recommendation.
- That when undertaking future IAs, workshop participants are provided with a written summary of the recommendations from each workshop, and if possible the responses of the plan authors to each recommendation.
- That workshop participants be allowed to adjust the scope of their assessment where necessary. Where the IA team has no pre-defined avenue to feedback recommendations outside the original scope of the work, an alternative feedback mechanism should be discussed and agreed by workshop participants and IA team members.
- That workshop participants be sent a copy of the draft criteria prior to attending the workshop.
- That the criteria-setting and rating process be carried out as separate full-day workshops whenever practicable.
- That every effort is made to thoroughly pilot the criteria before bringing them to the assessment workshop, using both lay-people and people with specific expertise relating to each criterion.
- That consideration be given to how the impact of the plan or policy on specific population groups could be explicitly considered in the criteria-setting or rating processes.
- That IA workshops include a means for participants to contribute to multiple key asset class streams
- That the IA team consider ways to reduce group size, such as breaking into smaller discussion groups or holding multiple smaller workshops.
- That a facilitator and note taker are assigned to each group before the workshop, and remain with those groups throughout the workshop.
- That facilitators and note takers meet before the workshop to discuss the style of facilitation and recording.
- That the IA team select facilitators who are familiar with the issues likely to be discussed in their workstream. It may be necessary to select facilitators from outside the IA team.

- That the first stage of all IAs should be to develop an initial project plan in consultation with the policy's authors. The project plan should contain information about the sequence and approximate timing of workshops and the timing and nature of feedback. There should be clear expectations of what information should be provided from the IA team to the policy authors, and from the policy authors to the IA team.
- That the initial criteria development utilises evidence from the literature and existing planning documents.
- That all criteria are reviewed by people with the specific expertise required to assess the validity and appropriateness of each criterion.
- That future IAs are carried out on an early draft of the policy or plan, preferably an earlier draft than is used for general public consultation.
- That consideration be given to assessing any background documents produced as part of the drafting process.
- That workshop participants are invited to attend by means of a telephone call with additional information provided in an accompanying email.
- That in addition to including a broad range of expertise there should also be some representation from affected interest groups, to ensure that such groups can see that their interests are taken in to account in the IA process.
- That invitees are selected by first identifying the expertise required at the workshop, then identifying people who could bring that expertise.
- That all invitees are provided with a simple overview of the IA process including their role as an individual with expertise rather than an interest group representative. This information should be provided at the time of invitation and again a few days before the workshop.
- That written workshop invitations use lay language that is accessible to all invitees.
- That the invitation for each participant provides some specific details about what expertise it is hoped they will be able to contribute to the assessment, to ensure that all participants feel that their knowledge is worth contributing and are more likely to attend.
- That Rūnanga be provided with sufficient information about the IA process to be able to determine the level of participation most suitable for them, including being given the opportunity to be part of the IA team.
- That participant recruitment and criteria-setting processes explicitly consider minority and interest groups without formal representation in addition to established consultation targets such as Rūnanga, business forums, local government, and lobby groups.
- That a dedicated evaluator be recruited on to the IA team in time to participate in the initial planning stage of the IA.

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