

## **Good governance and democracy—are you engaged?**

Submission by Flash Langley on the *Local Government (Auckland Law Reform) Bill (2009)* to the Auckland Governance Legislation Committee

# **Supplementary Submission 02: Risk–managing the reforms**

Select committee supplementary submission by Flash Langley on the *Local Government (Auckland Law Reform) Bill (2009)* to the Auckland Governance Legislation Committee

Version 01 date: Monday 15<sup>th</sup> February 2010

During the Second Bill timeframe, I raised concerns of the lack in projections for what the reforms will deliver, and how reforms will be risk–managed. An emphasis was on estimates and outcomes are projected; and how will risks be actively mitigated.

At the time, I found the Government had made no progress with estimating (such as potential changes in rating levels); or how side effects will be predicted and avoided (such as a change in procurement policies). I can provide further details on request.

---

The focus of this Supplementary Submission is a recent tender by the Department of Internal Affairs for Monitoring and Evaluating the reforms, including determining what are the reform outcomes to be achieved. Whilst I acknowledge the Department have a present role in overseeing the reforms, I do not think enough has been done in proactive risk management. I suggest you consider what professional duties may need adding, or expanding, to the role of the Auckland Transition Agency (as defined in the First Act).

In this supplementary submission I provide the following documents, encouraging significant performance enhancements for increased effectiveness, by adopting a more inclusive and transparent consideration of how to risk–manage the Auckland Governance Reforms; and avoiding problems before they occur.

Attached documents:

1. Flash Langley's letter to Hon Rodney Hide, 04<sup>th</sup> February 2010. (2 pages)
2. GETS tender summary page, retrieved 04<sup>th</sup> February 2010. (2 pages)
3. Department of Internal Affairs Request for Quotation for Developing a framework for monitoring and evaluating the Auckland governance reforms Ref: DIA/2010/102/Q dated January 2010 (13 pages)
4. Department of Internal Affairs Budget Clarification, 12<sup>th</sup> February 2010 (1 page)

To: Hon Rodney Hide, Minister of Local Government

**Flash Langley**

By e-mail: [deborah.james@parliament.govt.nz](mailto:deborah.james@parliament.govt.nz)

[contact details omitted from the copy provided in the Select Committee supplementary submission.]

Thursday, 04<sup>th</sup> February 2010

## **Urgent enhancements needed for Auckland governance reform, better monitoring and evaluation**

Without prejudice

Dear Minister,

I share your commitment to ensuring that Auckland governance reforms deliver successful outcomes, and seek your urgent involvement to consider, convey and respond to the below suggestions and concerns that critically impact the reform process.

The Local Government and Community Branch of the Department of Internal Affairs during January issued a Request for Quotation titled [Developing a framework for monitoring and evaluating the Auckland governance reforms](#) Ref: DIA/2010/102/Q. In principle, I support their efforts which are an important and missing element in the reform process. In my opinion, that tender process and Request for Quotation are suboptimal; potentially leading to good — though not great success. What Auckland needs now is so much more than what this tender is allegedly capable of relevantly considering (whilst remaining consistent with Government's tendering policy for tender evaluations). Getting the best set of requirements established now will be critical for the success of this tender, as well as the flow-on evaluation activities and acceptance of the Supercity reforms.

**Please act fast, as the Department will be evaluating tenders over the coming week (upto 12<sup>th</sup> February 2010).**

To encourage discussion, on the next page I respectfully outline some suggestions for improved outcomes for Auckland, as they relate to the Department's plan.

Kind regards,



Flash Langley

PS: I considered submitting a tender, though declined to proceed as I realised that it would be impractical for this tender process to fully consider these suggestions if submitted as an incomplete tender.

04<sup>th</sup> February 2010

## **Suggestions for successfully evaluating the Auckland governance reforms**

In my opinion:

- The Request for Quotation requirements is necessary, but not sufficient. Potentially some high quality tenders may suggest improvements. The Department whilst open to suggestions, is ultimately constrained in what suggestions it can, and cannot, accept
- The Royal Commission called for a 'high quality implementation' of Auckland governance reforms as an essential ingredient. I am aware that the Department, from time to time, also considers that the quality of evaluation and monitoring frameworks directly affects the acceptance and success of Local Government reforms
- The emphasis (which is open to interpretation), appears to be medium to long term with a greater emphasis on retrospective assessment. I suggest a bolder, more encompassing emphasis is needed that will provide greater success. I suggest an explicit reframed need, such as provide a system [or framework] to proactively risk manage, mitigate and evaluate the Auckland Governance reforms. This will place greater reliance on avoiding or dealing with issues. (This suggestion includes the fact that the proposal includes elements of monitoring, intervening and evaluating)
- Stakeholder engagement is necessary, though not adequate. In addition to the academic efforts, stakeholders need to be more directly embedded into the team as a co-partner. The close communication is essential for increasing wider acceptance, and benefits timeliness when integrated with the decision making or direction at all stages of this and related projects. Please strongly consider this essential involvement prior to and during tender evaluation
- The systems should review and encourage improved management processes, decision making and culture. Whilst the Department has supervisory oversight, these monitoring and evaluation efforts will be more successful if adopted by the target organisations – rather than waiting for the Department to analyse and influence results
- What relevant best practices are essential or desirable?
- Encouraging public discussion on this potential project prior to start

Those are just some of the outline suggestions. The main thing I am trying to encourage is aim higher, and you will effectively and efficiently achieve so much more (after prioritisation). It is possible that high quality tenders may (or may not) have independently included similar thoughts – which are optional and piecemeal for the Department to consider. I consider these important for all tenders; in addition to the suggestions that will be included in individual tenders. I acknowledge that due to the short time constraints, there does not appear to have been a preceding Request for Information or visible processes for determining what the Departments needs may be. I believe the Department must urgently find a way of improving this vital project.

**GETS Reference: 28541**

<b>Title</b>	 Auckland Governance Reforms Monitoring and Evaluation Framework
<b>Request for Quote</b>	
Your Reference Number	
<b>General Information</b>	<p>The Department of Internal Affairs is requesting Quotations from suitably experienced and qualified research and evaluation specialists to develop an evaluation framework for monitoring and evaluating the Auckland governance reforms.</p> <p>The Department of Internal Affairs is requesting Quotations from suitably experienced and qualified research and evaluation specialists to develop an evaluation framework for monitoring and evaluating the Auckland governance reforms.</p> <p>The purpose of this project is to provide the Department with a monitoring and evaluation framework that will provide a comprehensive understanding the impacts and outcomes of the Auckland governance reforms. The framework produced will form the basis for on-going monitoring, and for a longer-term programme of research and evaluation activities.</p> <p><b>The framework will need to:</b></p> <ul style="list-style-type: none"> <li>• provide an agreed intervention logic, with appropriate indicators and measures of success;</li> <li>• identify key objectives and develop evaluation questions; and</li> <li>• recommend a prioritised and scheduled range of work programme elements, together with potential methods and costs.</li> </ul> <p>In developing the framework, the tenderer will need to take account of the views of other agencies and stakeholders. The framework will also need to identify which stakeholders will need to be engaged at various points throughout the evaluation process.</p> <p><b>The framework will also need to be structured so as to reflect and clearly address the following components:</b></p> <ul style="list-style-type: none"> <li>• a baseline monitoring framework;</li> <li>• a description of lessons learned from the transition process; and</li> <li>• evaluation of the short-term through to longer-term impacts and outcomes.</li> </ul> <p>The Department is looking for specialists who have developed similar frameworks in the past, and have the resources and capability to complete the project by 18 June 2010.</p> <p>Respondents are required to review and respond to the Quotation and Agreement document.</p> <p>Please note that parties making a response, including organisations with existing relationships with the Department, may not question or canvass staff of either organisation, other than through the tenders email. Any breach of this requirement will risk exclusion of the party from the RFQ processes</p>

<b>To access the RFQ documentation please download from below under file name</b>	
<b>Respond by Date</b>	
<b>Address Enquiries to</b>	Companies wishing to respond to this RFQ must email their intention to respond by <b>20/01/2010</b> and address any enquires to: <a href="mailto:tenders@dia.govt.nz">tenders@dia.govt.nz</a>
 <p>THE DEPARTMENT OF INTERNAL AFFAIRS Te Tari Taiwhenua</p>	

#### Additional Documentation to Download

File Name	Description	File Type	File Size
<a href="#">DIA 2010 002 - RFQ-AucklandEvaluation-Dec09.doc</a>	RFQ documentation	WORD	700kb
<a href="#">2010 102 Consultancy Contract - EMT approved.doc</a>	Consultancy Contract	WORD	123kb
<a href="#">Clarification 1 3 12 Jan Indicative Budget Information.doc</a>	Indicative Budget Information - uploaded on GETS 12 January 2010	WORD	314.5kb

#### Relates to the following TenderWatch Categories

914	Policy advice and guidance for Government
917	Local Government Services
852	Research and experimental development services on social sciences and humanities

[Copyright](#) | [Government Procurement](#)

## Response Cover Sheet

# Request for Quotation “RFQ”

For

**Developing a framework for monitoring and evaluating the Auckland  
governance reforms**

For

**THE DEPARTMENT OF INTERNAL AFFAIRS**

Ref: DIA/2010/102/Q

### Section to be completed by Respondent

**Company Name:**

**Address for correspondence:**

PO Box:

Attn:

Phone:

Fax

Email:

**Signed by:** \_\_\_\_\_

(Duly authorised person)

## TABLE OF CONTENTS

	PAGE NO
<b>1.0 RFQ GENERAL INFORMATION.....</b>	<b>3</b>
1.1 RFQ Name.....	3
1.2 RFQ Reference.....	3
1.3 RFQ Closes.....	3
1.4 Address for Communication .....	3
1.5 Quotation Delivery Method.....	3
1.6 RFQ Objectives.....	3
1.7 RFQ Rules and Rights Reserved by the Department of Internal Affairs .....	4
1.8 Timeline .....	5
<b>2.0 QUOTATION RESPONSE REQUIREMENTS.....</b>	<b>6</b>
2.1 Service Specifications .....	6
2.2 Specific Quotation Requirements .....	11

<b>1.0 RFQ General Information</b>			
<b>1.1 RFQ Name</b>	<b>Developing a framework for monitoring and evaluating the Auckland governance reforms</b>		
<b>1.2 RFQ Reference</b>	<b>DIA/2010/102/Q</b>		
<b>1.3 RFQ Closes</b>	<b>12.00 noon, 5 February 2010</b>		
<b>1.4 Address for Communication</b>	The Quotation and all communications shall be addressed and delivered to:  The Department of Internal Affairs Procurement Unit  Quotation for: <b>Developing a framework for monitoring and evaluating the Auckland governance reforms</b> Ref: <b>DIA/2010/102/Q</b>  Attention: Adam Ridley-Gibbons  At the following address:		
	<table border="1"> <tr> <td><b>Hand/Courier Delivery</b> Level 1 Reception  46 Waring Taylor St  Wellington</td> <td><b>Postal Delivery</b> PO Box 805  Wellington</td> </tr> </table>	<b>Hand/Courier Delivery</b> Level 1 Reception  46 Waring Taylor St  Wellington	<b>Postal Delivery</b> PO Box 805  Wellington
	<b>Hand/Courier Delivery</b> Level 1 Reception  46 Waring Taylor St  Wellington	<b>Postal Delivery</b> PO Box 805  Wellington	
Facsimile: 64-04-495-7217 Email: tenders@dia.govt.nz			
<b>1.5 Quotation Delivery Method</b>	<p>Every Quotation must:</p> <ol style="list-style-type: none"> <li>1. Be responded to in the format shown on Section 2.2 Specific Quotation Requirements with responses to each italicised question.</li> <li>2. Include a completed <b>Response Cover Sheet</b> attached as front cover of your response. If the Respondent is a Company, in addition to the full company name, the company number and Registered Office must also be included.</li> <li>3. Be signed by a person or persons duly authorised to sign on behalf of the Respondent.</li> <li>4. Be clearly marked as "Commercial in Confidence".</li> <li>5. Include <b>one</b> hard copy and an electronic copy (preferably in Office 2000), which should be delivered to the address for communication in accordance with the details provided in section 1.4 no later than the RFQ Closure Date.</li> </ol>		
<b>1.6 RFQ Objectives</b>	<p>The Department of Internal Affairs "the Department" is requesting Quotations from suitably experienced and qualified parties to develop a framework for monitoring and evaluating the Auckland governance reforms.</p> <p>The Department may enter into a Consultancy Agreement with the preferred respondent(s) to develop a framework for monitoring and evaluating the Auckland governance reforms.</p> <p>The Department at its sole discretion may, based on Quotations received engage multiple parties to work in partnership under the instruction of the Department for the service tendered.</p>		

<p><b>1.7 RFQ Rules and Rights Reserved by the Department of Internal Affairs</b></p>	<p>a) The Department may enter into an Agreement with the successful Respondent(s) to develop a framework for monitoring and evaluating the Auckland governance reforms.</p> <p>b) The Department reserves the right to limit or extend the list of potential participants beyond those that respond to this RFQ.</p> <p>c) This RFQ does not create any contractual relationship between the Department and any respondent who responds to this RFQ in respect to the supply of any Goods or Services outlined in this RFQ.</p> <p>d) The Department reserves the right not to accept the lowest or any quotation and will “if any” award the contract to its best advantage.</p> <p>e) The Department may suspend or cancel this RFQ process, in whole or in part, at any stage prior to completion of contract negotiations, without incurring any liability or cost</p> <p>f) The Department may negotiate with one or more Respondents.</p> <p>g) To assist in the evaluation of Quotations, the Department may, at its discretion, seek further details or clarifications from any Respondent about any aspect of the RFQ.</p> <p>h) The Department will notify the preferred Respondent (if any) by letter or facsimile, that it has been selected as the preferred respondent(s).</p> <p>i) Acceptance of a Quotation by the Department will be conditional upon the Department reaching a written and properly recorded Agreement with the Respondent.</p> <p><b>Confidentiality</b></p> <p>j) Any documents submitted by the Department to the Respondent are to be treated as strictly confidential and are to be used by the Respondent only in relation to the preparation of the RFQ. All Proposals submitted by the Respondent shall be treated as confidential and will not be returned.</p> <p>k) The entire RFQ process, including communications and negotiations, is confidential to the Department and the Respondent. No advertising, press release or other information relating to the RFQ or the subsequent acceptance of any response shall be published or otherwise made public without the prior written consent of the Department.</p> <p>l) The Respondent shall ensure that the same conditions strictly apply to any person or organisation the Respondent communicates with in the course of preparation and submission of the RFQ.</p> <p>m) The above requirements are in addition to the requirements under any separate confidentiality agreement or non-disclosure agreement that may arise between the Department and the Respondent.</p> <p>n) All communications, including responses, from vendors to whom this RFQ is sent will be treated as confidential, subject to the Departments obligations under the Official Information Act 1992 or any other enactment or rule of law.</p> <p><b>Reliance on Information</b></p> <p>o) The Department will rely on information provided by, or on behalf of, respondents at all stages of the RFQ process. In providing information, respondents represent to the Department that the information is complete and accurate in all material respects, which it is not misleading and that in preparing the information all reasonable skill and care has been exercised.</p> <p>p) Respondents will be deemed to have informed themselves fully on the requirements of the Request for Quotation and the work required and no additional costs will be accepted arising from a failure to observe this condition.</p>
---	---

	<p><b>Copyright/Intellectual Property</b></p> <p>q) The successful respondent will be required to warrant that any software or documentation provided by it will not infringe the intellectual property rights of any third party. The successful respondent will indemnify the Department against all costs, expenses and damages incurred by the vendor in connection with any breach by the vendor of this warranty.</p> <p>r) All rights to materials/information produced from this contract are vested in the Department of Internal Affairs.</p> <p>s) The Department will not be liable for any costs incurred in the preparation or submission of responses.</p> <p>t) Respondents will be responsible for any costs incurred in relation to the preparation, execution, completion and implementation of any agreement that may arise out of their participation in the RFQ process</p>											
<p><b>1.8 Timeline</b></p>	<table border="1" data-bbox="488 824 1422 1249"> <tr> <td data-bbox="488 824 1023 909"><b>Request for Quotation issued</b></td> <td data-bbox="1023 824 1422 909">8 January 2010</td> </tr> <tr> <td data-bbox="488 909 1023 994"><b>Closing Date for receipt of Quotations</b></td> <td data-bbox="1023 909 1422 994">12 noon, 5 February 2010</td> </tr> <tr> <td data-bbox="488 994 1023 1079"><b>Evaluation of Quotations</b></td> <td data-bbox="1023 994 1422 1079">Up to 12 February 2010</td> </tr> <tr> <td data-bbox="488 1079 1023 1164"><b>Notification of Successful and Unsuccessful respondents.</b></td> <td data-bbox="1023 1079 1422 1164">15 February 2010</td> </tr> <tr> <td data-bbox="488 1164 1023 1249"><b>Contract signed and commencement of service</b></td> <td data-bbox="1023 1164 1422 1249">26 February 2010</td> </tr> </table> <p>The above timeline is indicative only. The Department reserves the right to amend, modify or withdraw this schedule at any time, at its discretion and without notice.</p>		<b>Request for Quotation issued</b>	8 January 2010	<b>Closing Date for receipt of Quotations</b>	12 noon, 5 February 2010	<b>Evaluation of Quotations</b>	Up to 12 February 2010	<b>Notification of Successful and Unsuccessful respondents.</b>	15 February 2010	<b>Contract signed and commencement of service</b>	26 February 2010
<b>Request for Quotation issued</b>	8 January 2010											
<b>Closing Date for receipt of Quotations</b>	12 noon, 5 February 2010											
<b>Evaluation of Quotations</b>	Up to 12 February 2010											
<b>Notification of Successful and Unsuccessful respondents.</b>	15 February 2010											
<b>Contract signed and commencement of service</b>	26 February 2010											

## 2.0 Quotation Response Requirements

### 2.1 Service Specifications

#### Clients Needs

This project is for the Local Government and Community (LG&C) Branch of the Department of Internal Affairs. The Strategic Analysis and Information (SAI) Unit of the Branch will act as project managers and day-to-day client contacts.

The Department notes that the Auckland governance reforms will bring about a significant change in the way Auckland is governed. The reforms have sought to improve decision-making and local accountability leading to improved outcomes for Aucklanders.

It is generally considered to be good practice for government agencies to evaluate significant policy or administrative changes. It is intended that this project will provide a framework and plan for information collection, monitoring and on-going evaluation of the Auckland governance reforms. The expected benefits of such a plan include:

- an understanding of whether the reforms have achieved what was anticipated and whether the anticipated benefits are being realised;
- if the reforms are not achieving what was intended, identification of the critical barriers or constraints;
- to identify any key gaps or issues that need to be addressed in implementing new structures, processes or systems;
- an opportunity to learn what worked well and not so well as a guide for future processes; and
- to ensure that the knowledge, experience and understanding of managing a complex reorganisations within local government is retained.

#### Project objectives

The purpose of this project is to provide the Department with a monitoring and evaluation framework that will provide a comprehensive understanding the impacts and outcomes of the Auckland governance reforms. The framework produced will form the basis for on-going monitoring, and for a longer-term programme of research and evaluation activities. The framework will need to:

- provide an agreed intervention logic, with appropriate indicators and measures of success;
- identify key objectives and develop evaluation questions;
- identify methodologies appropriate for answering the evaluation questions and collecting information for the monitoring framework;
- consider models for the establishment of a suitable governance structure for the evaluation;
- recommend a prioritised and scheduled range of work programme elements; and
- identify the potential costs associated with the different elements of the programme of work.

In developing the framework, the successful contractor will need to take account of the views of other key agencies and stakeholders. The framework will also need to identify which stakeholders will need to be engaged at various points throughout the evaluation process.

The framework will also need to be structured so as to reflect and clearly address the following components:

- a baseline monitoring framework;
- a description of lessons learned from the transition process; and
- evaluation of the short-term through to longer-term impacts and outcomes.

A more complete description of the primary requirements for these components is given below.

## Project components

### **Baseline monitoring framework**

A significant amount of data and information already exists in relation to the both the activities and performance of local government in Auckland, and to the broader economic, social and environmental conditions across the Auckland region.

A baseline monitoring framework will provide an initial suite of baseline indicators to enable changes over time to be identified and analysed. Consultation with stakeholders will ensure there is a good understanding of the data available, as well as leading to the possible identification of benchmarks for ongoing changes. It is expected that the baseline monitoring framework will draw mainly on data or data collection mechanisms that are already available. Where possible the baseline monitoring framework will need to identify the information already available and how it might be used.

The Department would like to commence work on the collection, reporting of this data before July 2010. The project timeframe will therefore need to ensure that a draft monitoring framework and suitable set of robust indicators/measures are available by **31 March 2010**.

### **Lessons learned**

This component of the monitoring and evaluation framework will describe how the various aspects of the transition process devised for the Auckland reforms are to be evaluated. This will enable the Department to understand and identify what worked well and what did not work so well. This component could be viewed as a form of modified process evaluation with a focus on identifying good practice guidance for implementing any future reorganisation process (whether centrally or locally driven). It would also seek to identify aspects that the Department/Government or local government might seek to repeat or alter if a similar process were to be undertaken in the future.

The monitoring and evaluation framework will outline how evaluation and research associated with this component could be carried out. It will also identify high-level questions associated with the transition. Sources of information could include (but should not be limited to):

- ATA's public documents, monthly reports and the Department's monitoring reports;
- planned self-reviews of the policy process and the ATA monitoring process which will be undertaken separately by the Department, and the Local Government Commission's planned process debrief;
- material from councils generated through the transition process; and
- other sources (e.g. key participant interviews) as appropriate.

Given likely timing and funding constraints, it is likely that the actual work associated with this component will need to be completed by **15 February 2011**. The framework will therefore need to address this, and any other potential constraints, in the design and methodology provided.

### **Impact and outcome evaluation**

It is envisaged that this component would form the basis for a substantive programme of ongoing research and evaluation. The aim of this component is to look to enable the evaluation of the short-term impacts/outcomes through to the longer-term outcomes, by considering a range of questions such as:

- are local priorities being reflected in regional decision-making?
- is integrated planning being reflected in decision-making and improved service delivery by the Auckland Council?
- are council resources being effectively allocated?
- are local relationships contributing to effective governance (locally and with central government)?
- what benefits (social, economic, etc) have occurred for people in Auckland? and further afield?
- is well-being in the Auckland region improving?

Note that these are a preliminary suite of questions. The monitoring and evaluation framework produced as part of this RFQ will need to identify a fuller suite of questions. It will also need to identify a range of methods (quantitative and qualitative) that could be used to answer a range of questions.

This component deals with short to long-term outcomes (for example some changes in representation or elections may take at least three electoral cycles to show). The aim is to ensure that a range of evaluation questions and methodologies are linked to an appropriate timeframe and schedule.

This component will also need to include consideration of the work of other agencies. This includes ensuring there is integration between any evaluative activities planned by external agencies, and that proposed in the monitoring and evaluation framework produced.

The monitoring and evaluation framework will also need to ensure that the plan produced includes some examination of the contribution/success of aspects of the reforms to a range of potential audiences and stakeholders including (but not limited to):

- Auckland Council;
- Mayor;
- local boards;
- new statutory board for Māori and the statutory panel for ethnic communities; and
- new council controlled organisations, including the delivery of water and wastewater services.

The ongoing involvement and where possible integration of research conducted by government (including the new Auckland council) and non-governmental agencies is important to the eventual success of this project. This includes work specifically related to the transition as well as more general research into the social, economic and environmental well-being of the Auckland region. Consideration will need to be given as to how any other research is linked to the overall scope and scale of the monitoring and evaluation framework, and factored into any subsequent research timeframes.

#### **Background to Project**

From the terms of reference for the Royal Commission on Auckland Governance<sup>1</sup> and the initial Cabinet papers, the overarching objectives for the Auckland governance reforms can be summarised as intending to deliver improved local governance for the Auckland region through:

- improved economic performance for the Auckland region;
- strong regional governance and leadership;
- local democratic representation and improved community engagement;
- integrated planning; and
- the consolidation of resources with a view to improving efficiency.

In designing the new Auckland governance framework, the Government has passed legislation for a structure, powers and boundaries it considers will:

- provide for effective relationship and collaboration between local and central government;
- facilitate community engagement and participation;
- reflect communities of interest; and
- deliver appropriate ownership, governance and funding for infrastructure and service provision.

The Government has also aimed for a rapid and smooth transition process by legislating for the establishment of the ATA, and by the active monitoring of the ATA by the Department. The monitoring and evaluation framework will be able to show the impact of these changes.

<sup>1</sup> The Royal Commission was tasked with reviewing the local government arrangements in Auckland to maximise current and future well-being, and to maximise the region's contributions to wider national perspectives.

**Expertise required – key skills / proven track record**

A summary of key skills and capabilities that –

(a) could be used in this project are:

- Proven understanding of the implementation and limitations of a range of research and evaluation methods (both qualitative and quantitative); and
- Experience in stakeholder liaison and conducting research among stakeholders with differing opinions.

(b) are desirable for this project are:

- Experience working with the Local Government sector and clear understanding of the role of local government;
- Experience working in the Auckland region and a clear understanding of Auckland governance issues.

(c) must be able to be demonstrated for this project are:

- Development of integrated monitoring and evaluation frameworks for large and complex policy, reorganisation or change processes, that has involved multiple stakeholders;
- The development of intervention logics and measurement frameworks;
- Implementing integrated monitoring and evaluation frameworks for large and complex policy, reorganisation or change processes, that has involved multiple stakeholders;
- Experience in managing the complexity of working with central government and other key players.

**Key deliverables**

It is expected that an overall integrated monitoring and evaluation framework will be provided to the Department. This will include the following elements, delivered as part of this project:

- a detailed framework for baseline monitoring (including indicators/measures);
- a detailed programme for identifying the lessons learned as a result of the implementation of the governance reforms (including the identification of evaluation questions);
- a detailed programme for evaluating and researching the impact and outcomes of the reforms, and the identification of evaluation questions;
- identification of appropriate mechanisms for answering the questions;
- an overall summary monitoring and evaluation framework and accompanying intervention logic;
- a proposed prioritisation of aspects of the proposed programme and the identification of potential costs associated with these aspects.

**Timeframe for completion / delivery**

The timeline below is indicative only. The Department reserves the right to amend, modify or withdraw this schedule at any time, at its discretion and without notice.

<b>Tasks</b>	<b>Who is responsible</b>	<b>Completion date</b>
Contract finalised	DIA / Selected contractor	26 February 2010
Contract starts	DIA / Selected contractor	2 March 2010
Baseline monitoring framework completed	Contractor	31 March 2010
Draft monitoring and evaluation framework completed	Contractor	21 May 2010
Final monitoring and evaluation framework completed	Contractor	18 June 2010

**2.2 Specific Quotation Requirements**

The minimum requirements that Respondents to this RFQ need to include within a Quotation are outlined here.

Each proposal will be evaluated against the criteria numbered listed below. This list of criteria is not exhaustive and is not in any particular order of priority. It does not form the only criteria the Department will use for evaluating any response document. The Department may, at any time, change these criteria and/or the weighting it places on each criterion without notifying the Respondents.

In addition to the criteria below, responses will also be evaluated on the overall quality of the response document, taking in elements such as clarity, and quality of writing and demonstrated understanding of the objectives of the research.

**RESEARCH AND EVALUATION REQUIREMENTS****1) Framework development**

- a) *Briefly discuss the appropriateness of the suggested approach in achieving the project objectives.*
- b) *DIA is also interested in the proposed provider's suggestions for a different methods and/or approach if it will better meet the needs of the project. Please explain why you believe your proposed approach will better meet our evaluation needs.*
- c) *A project plan identifying the key project deliverables and timeframes.*
- d) *Identify any risks in the project methodology presented in either DIA's or your own proposed methodology and how you propose to mitigate these risks.*
- e) *Please detail any quality assurance processes that will be employed as part of the methodology.*

**2) Skills and Experience**

Please provide the following details:

- a) *Experience in the provision of (including detailing resources) of integrated monitoring and evaluation frameworks for understanding the impact of large changes*
- b) *Relevant details of existing /past relationships with the Department of Internal Affairs*
- c) *A minimum of three references from clients that your company has provided similar services to in the past two years*
- d) *Evidence of successfully providing quality assurance on project deliverables while undertaking and completing other similar projects.*

**3) Subject Matter Knowledge:**

Please provide the following details:

- a) *Experience in and with local government*

**4) Key Personnel**

- a) *Please provide a list of key personnel that you would propose to work on this project. Please identify their respective roles and responsibilities that they will be assigned in relation to this project*
- b) *Please provide information on the relevant experience and a brief resume of the*

*professional experience of key personnel who you would propose to work on this project*

- c) *Please provide details about the capacity of personnel to complete the project within the timeframes specified in this RFQ.*

**5) Project Management Skills**

Please provide evidence of project management skills that demonstrate:

- a) *Capability to manage critical projects delivering all the specified outputs within allocated time and budget; and*
- b) *An excellent understanding and experience in the development of monitoring and evaluation frameworks*
- c) *Evidence of high-level experience with project plans and project management processes including ensuring that a high quality service is assured throughout the life of the project.*
- d) *Please detail how you intend to manage communications with the Department during the period of the contract.*

**6) Ethics including conflicts of Interest**

- a) *Please detail any conflicts of interest or potential conflicts of interest you may have in undertaking this project*
- b) *Please detail any ethical considerations you foresee in conducting this research and any mitigating actions you intend to take. Please also detail your membership of any professional research organisations/institutions*
- c) *Please also detail your membership of any professional research organisations/institutions*

**7) Ability to meet timeframe**

- a) *Please demonstrate your ability to meet the timeframe set out in this RFQ document*

**8) Costs**

- a) *Please provide your project costs and estimated times for each of the key project components:*

<i>Component</i>	<i>Cost</i>	<i>Estimated hours</i>
<i>Project management</i>	<i>\$</i>	
<i>Development of baseline monitoring framework</i>	<i>\$</i>	
<i>Development of integrated monitoring and evaluation framework</i>	<i>\$</i>	
<i>Total</i>	<i>\$</i>	

- b) *Please identify any disbursements for this project (for example, airfares for key meetings). Please note these will be paid at cost and upon tax receipt/invoice.*
- c) *The period for which the prices are fixed for and the price review process practiced by your company.*

All prices quoted must be in NZ (\$) dollars, exclusive of GST.

#### **9) Reporting**

The proposed key personnel will report to the Department's Project Sponsor and will be expected to provide a final report to the Department Project Steering Committee.

*Please provide an example of the report format you intend to use and detail on the presentation format that would be used.*

#### **10) Health and Safety**

The Department is committed to compliance with the Health & Safety in Employment Act 1992. Each Respondent and its representatives and sub contractors must comply with the Health & Safety in Employment act 1992 and may be required by the Department to complete a Health and Safety Capability Questionnaire and an Acknowledgement of the Health and Safety Obligations and provide such other documentation as the Department may reasonably request in respect to health and safety issues.

- a) *Please provide confirmation that your company has current Health and Safety plan.*

#### **11) Agreement**

For your information an example of the form of contract that The Department will enter into with the successful respondent has been provided with this RFQ (refer Appendix 1).

- a) *Please review this document and confirm acceptance / non-acceptance of each clause. Where there is non acceptance please provide alternative position.*

#### **12) Insurance Cover**

Respondents should have adequate insurance cover for any risks related to the provision of the Services to Department of Internal Affairs.

- a) *Please provide details of types of relevant insurance held and amount of cover, i.e. Public Liability, Professional Indemnity.*

All prices quoted must be in NZ (\$) dollars, exclusive of GST.

State Insurance Building  
46 Waring Taylor St, PO Box 805  
Wellington, New Zealand  
Telephone +64 4 495 7200  
Facsimile +64 4 495 7222  
Website [www.dia.govt.nz](http://www.dia.govt.nz)

**Title:** Auckland Governance Reforms  
Monitoring & Evaluation Framework

**Reference:** DIA/2010/002

**From:** The National Procurement Unit

**Date Issued:** 12 January 2010

**To:** Market Update

### National Procurement Group Clarification

No	Question	Response
1	We have received a few enquiries concerning a likely budget for this piece of work.	To help all prospective respondents we can indicate the budget range is likely to be: \$50,000 - \$75,000