

**DRAFT**  
**SPEAR**

**Good Practice Guidelines Package**

**for**  
**Workshop**

**10 - 11 May 2005**  
**Wellington**

## **Welcome – Chair SPEaR; Prof. Richard Bedford**

- Good Practice Guidelines a priority for the sector
- SPEaR Committee established a Working Group
- Improving sector capability – lifting the game of Gov't practice  
and flows to the wider sector
- Web-based product – access for all
- Aiming for transparent expectations of all stakeholders
- Embedded in practitioner community
- Evolving and useful resource

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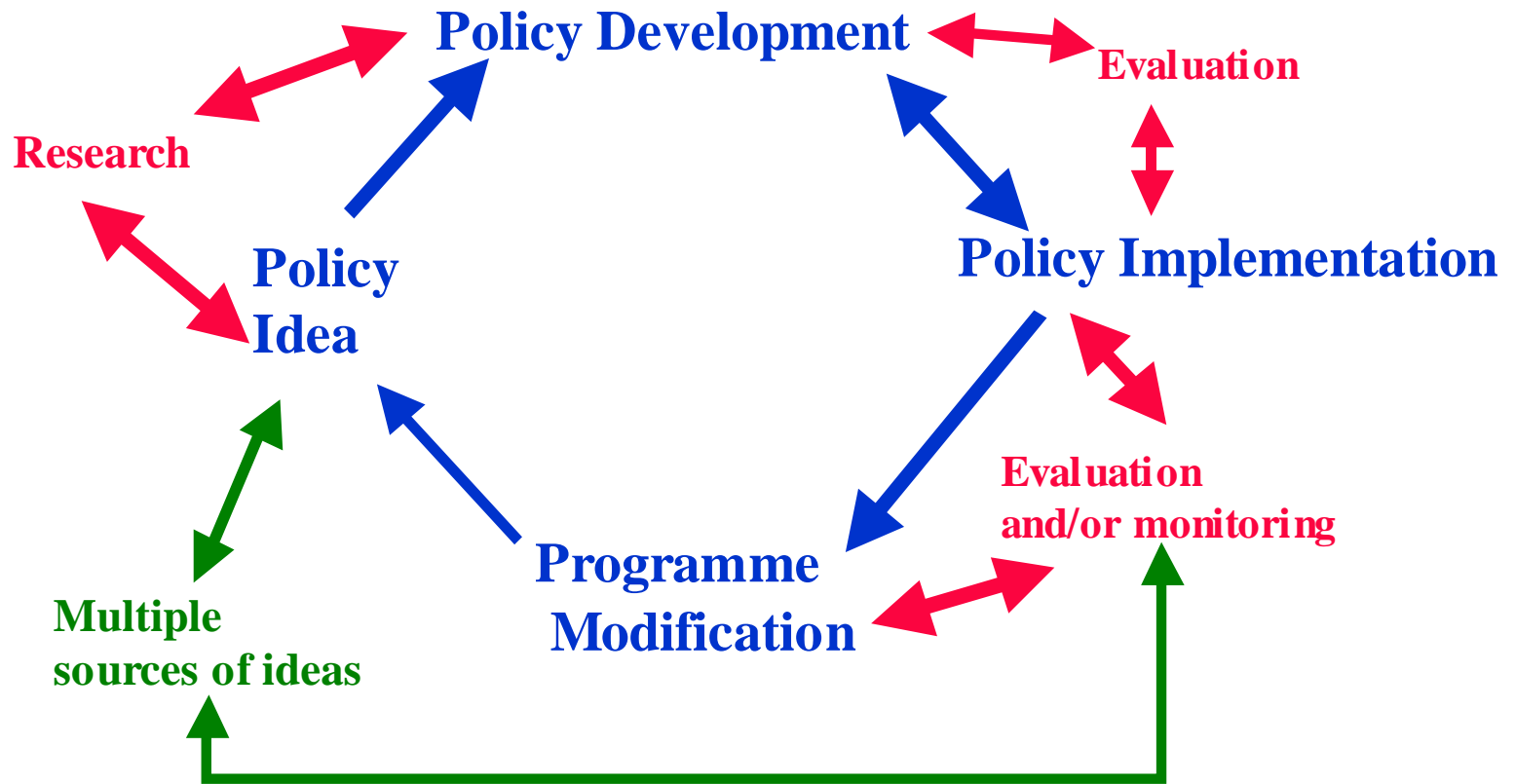
## **1.0 OUTLINE**

- 1. This workshop is designed to test and further develop a good practice guideline 'product' to assist in setting standards for good practice in New Zealand social policy research and evaluation.**
- 2. The 'product' will be web-based so it is open and accessible to all parties.**
- 3. It should provide advice relevant to all stakeholders in social policy research and evaluation:**
  - public servants in management, policy, research and evaluation functions,**
  - academic researchers,**
  - private sector and third sector researchers and evaluators, and**
  - practitioners in all sectors.**

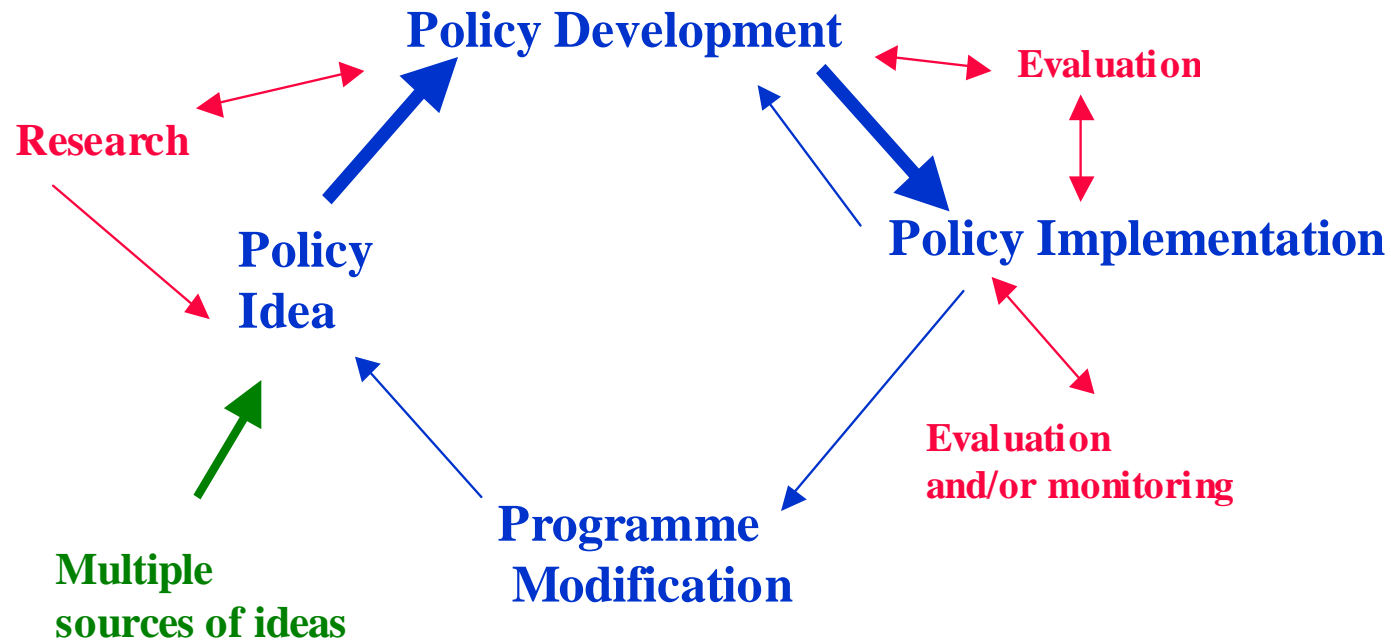
- **To date, we have been using the term ‘best practice’ while aware that this begs the question “who defines best?”**
- **We have therefore begun to use the term ‘good practice’ in this document. However, there are aspects of this term which also beg questions.**
- **You may wish to comment on this aspect and whether ‘IT MATTERS’?.**

<b>2.0</b>	<b>CONTEXT</b>	
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# The Policy Cycle Ideal



## The Policy Cycle in Practice



It is important to note that social R & E is only a part of the evidence spectrum used by policy advisors and decision makers. Other forms of evidence include information analysis from administrative data, cost-effectiveness analysis, forecasting and modelling, policy consultations, organisational feedback and expressions of popular opinion.

It is also important to note that the existence of social R & E does not guarantee its uptake,



<b>3.0</b>	<b>DEVELOPMENT PROCESS</b>	
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### 3.1 Process to April 2005

**Notes of Key Points: Best Practice Workshops (RG/PH to June 04 SPEaR)**

#### **Guidelines for R & E involving Pacific Peoples:**

Recommended that an Advisory function/body is needed to get critical mass and quality enhancement, to enable knowledge building and minimise the one-off myriad of ad hoc 'advisory' gatherings now.

This would need to be accessible by a range of agencies for a range of projects. Could be hosted by SPEaR and resourced partly by SPEaR (and perhaps partly by agencies).

At present a few people are being stretched over and over again and agencies need to work smarter.

### **3.1 Process to April 2005**

**Notes of Key Points: Best Practice Workshops (RG/PH to June 04 SPEaR)**

#### **Guidelines for R & E involving Maori:**

Balance between conceptual/principles and vision/pragmatism is important.

Need to provide a framework for case studies and lessons.

Some further development and resourcing required to achieve this.

## **Notes of Key Points: Best Practice Workshops (RG/PH to June 04 SPEaR)**

### **Ethics**

Debate occurred about need for a social agency ethics committee or whether existing mechanisms (e.g. ASSR, AES, on job supervision/training, approval processes) were sufficient and able to be strengthened into existing project practice.

Needs some further distribution/consultation (including range of current practice).

Good to utilise ASSR/AES material.

Experts keen for engagement.

## **Notes of Key Points: Best Practice Workshops (RG/PH to June 04 SPEaR)**

### **Contracting**

Clear need to improve practice.

Range of viewpoints expressed and there is a clear need for improved understanding between commissioners and contractors.

R & E/Legal/Public Finance Act & audit, needs closer weaving.

Competition v collaboration – dialogue needed.

Modular contracting practice across agencies not effective in the long term as it leads to duplication.

Need to focus on meta learning and net accumulation of knowledge.

## **Notes of Key Points: Best Practice Workshops (RG/PH to June 04 SPEaR)**

### **Overall**

**Endorsement of process/appreciation for inclusion.**

**Willingness for ongoing engagement.**

**Importance of enduring relationships.**

**Vision of evidence informed policy/quality R & E supported.**

**Lifting the game needed.**

**Capacity and capability building vital.**

**Communication improvement and sharing of knowledge a good start.**

**Breadth/teeth/traction needed in SPEaR Department's through this programme of work and the game would lift through to the wider social R & E sector.**

## 3.2 May 2005 Workshop Objectives

The aim for the workshop is:

*To bring together a group of R & E practitioners and specialist knowledge holders, in relation to key areas of guideline development to shape, inform and extend the content of a good practice guideline “product” for draft release on the SPEaR website.*

To achieve this objective, we aim to:

- *Achieve a working degree of consensus among the Practitioner community (both Govt/non-Govt.) through the workshop process on a draft guideline structure and content*
- *Develop a draft guideline for public release on the SPEaR website to encourage to wider feedback;*
- *Have an evolving web-based product, which is embedded in the operating environment, that is useful for all social R&E community operators.*

### 3.3 Process Proposed Post May Workshop

Objectives post-workshop include:

SPEaR Committee sign-off on a draft product for communication via the SPEaR website

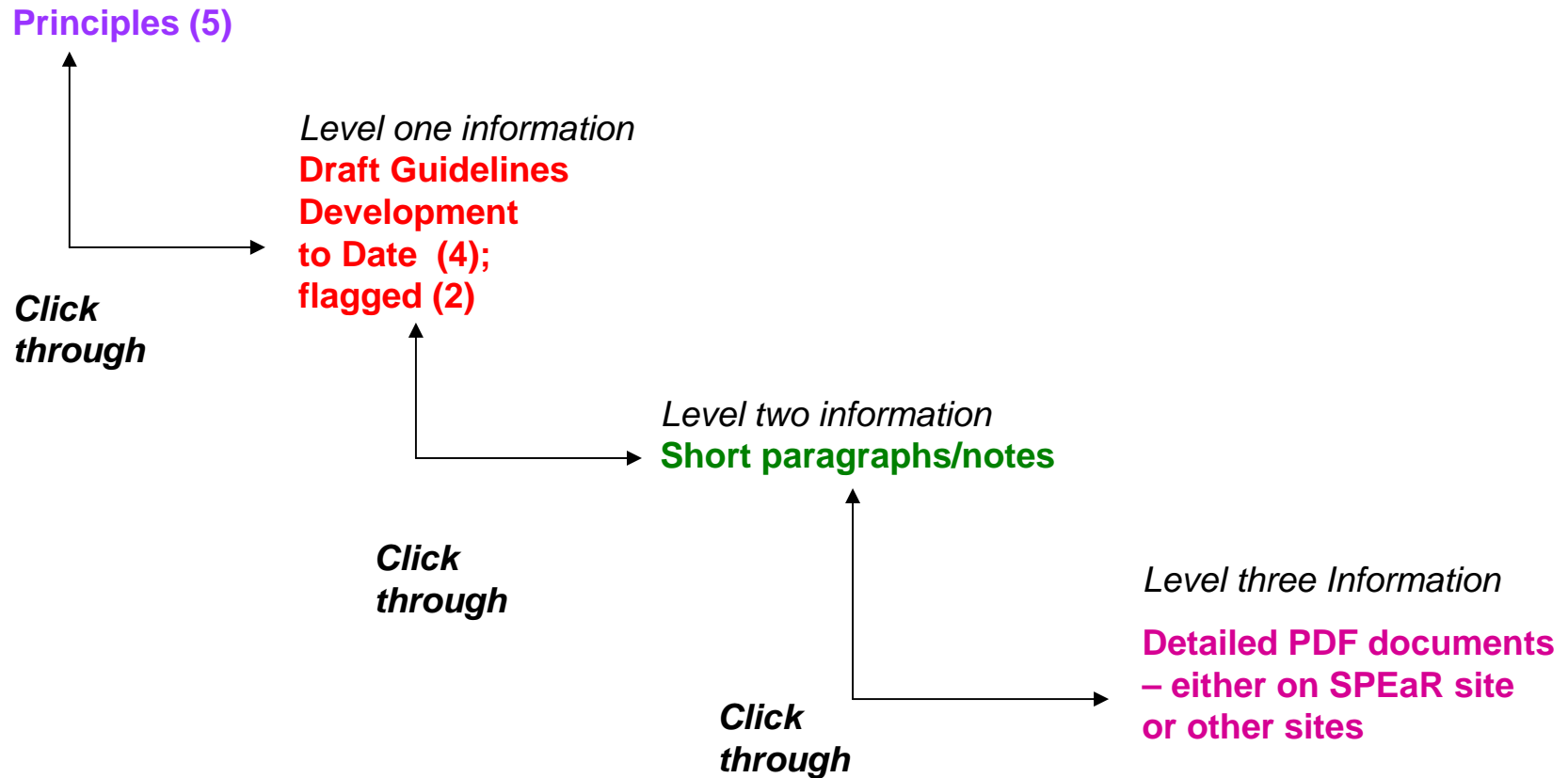
obtaining a mandate for, and identifying key expertise to enable further development e.g. developing a section for R & E involving recent Migrants and Refugees, and a section for R & E on sensitive subject matter (e.g. R & E involving mental health service consumers, trauma survivors, etc.) where there are particular challenges involved in gathering reliable information

obtaining a mandate for further promotion of the draft guidelines and application testing in a range of agencies;

considering effective ways of implementing and monitoring the use of the guidelines building on the recommendations of the 2004 workshops and this 2005 workshop.

<b>4.0</b>	<b>THE DRAFT GUIDELINES</b>		
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## The Layers/Tiers of information Approach



## THE PRINCIPLES

### RESPECT

*Relationships between all stakeholders in social sector research should be based on respect for the inherent value of each contributor (be they researcher, contractor, policy manager, project manager or participant) and the skills, experience and knowledge each person brings to the research and evaluation process.*

## THE PRINCIPLES

### INTEGRITY

*The actions and behaviour of social sector officials advancing research and evaluation should work to establish, maintain and enhance the integrity of all stakeholders, and the professional and ethical integrity of the research and evaluation, policy and service delivery functions.*

## **THE PRINCIPLES**

### **RESPONSIVENESS**

*The methods of engagement and the technologies of research of all researchers and evaluators should ensure they acknowledge, understand and respond to differences in institutional, professional and cultural practice, including the appropriate provision of means for a suitable level of engagement.*

## THE PRINCIPLES

### COMPETENCY

*All research and evaluation officials and contractors involved in the development and execution of social research and evaluation should possess the core competencies necessary for performing their duties to a high level.*

## **THE PRINCIPLES**

### **RECIPROCITY**

*Relationships between social sector officials, researchers and participants should enable reciprocal, balanced exchanges of knowledge, resources and time that recognise the value of diverse contributions in a respectful and appropriate manner.*

## **4.4 Draft Guidelines Development to Date**

Working from the principles framework, four key areas have been developed to date.

- **Research and Evaluation Contracting**
- **Research and Evaluation Ethics**
- **Research and Evaluation involving Maori**
- **Research and Evaluation involving Pasifika**

## **Illustrations of the layers/tiers**

### **Illustration 1**

#### **4.4 Draft Guidelines Development to Date**

##### **Research and Evaluation Contracting**

**Utilise SPEaR Good Practice guidelines during all [phases of contracting](#) practice.**

Click on ‘phrases of contracting’ and get



## **Illustration 2**

**This is *level one information***

**Research and Evaluation Contracting**

***Integrity***

**Ensure the budget for the project is adequate for undertaking the contract<sup>[\[1\]](#)</sup>.**

**Click on [1](#) and get**

*This is level two information*

**“The Budget for a research or evaluation project will almost never be sufficient to cover all stages and tasks to an ‘ideal’ level and ‘trade-offs’ are usual when scoping a project.**

**Part of the ‘skill’ applied by experienced researchers and evaluators lies in making ‘trade-offs’ that do not compromise the project to the point where utility is seriously undermined.**

**Seek advice at the scoping stage particularly and at any other stages where ‘trade-off’s’ are involved.”**

Click on **red** and get

This is *level three information*

This would show a page with a series of project budgets listed and one could scroll and click to the full document – we have one such document as *A2.7 Pre-Design Phase Funding Bid Example* in the Appendices.

## **A APPENDICES**

### **A1 SPEaR Working Example 1 & 2**

### **A2 Level Three Information Samples**

**A2.1 Sample of a Letter: Protection of Contractee Information**

**A2.2 Sample Acceptance Letter – Agency to Potential Contractee**

**A2.3 Sample Letter of Agreement For  
[NAME OF RESEARCH CONTRACT]**

**A2.4 Sample CONTRACT PERFORMANCE STANDARDS**

**A2.5 Agreement for the Purchase and Provision of  
?????Research**

**A2.6 Discussion Paper on Intellectual Property  
(Carl Davidson, NoDoubt Research 2004)**

**A2.7 Pre-Design Phase Funding Bid Example**

## 4.5 Areas Identified for Development

Two further areas have emerged where good practice guides are indicated. There are particular challenges in gathering reliable information due to a variety of factors. These areas are:

- R & E involving recent Migrants and Refugees
- R & E on sensitive subject matter (e.g. R & E involving mental health service consumers, trauma survivors, etc.)

## **4.5 Areas Identified for Development cont'd.**

Particular challenges include aspects such as language, gender, beliefs and constraints on discussing sensitive matters with 'outsiders', perceptions of researchers/evaluators and government, trauma survival issues, credible access and analytical integrity, participant and information gatherer safety, etc.

These aspects are current and as policy and programme interest continues to grow, so will the demand for 'evidence'.

There are people with relevant knowledge and experience who can assist in the development of guidelines in these areas.

**We also seek your input about effective ways of implementing and monitoring the use of the guidelines through building on the recommendations of the 2004 workshops (see section 3.1, pages 8 & 9) and the deliberations of this 2005 workshop.**