

# Creative New Zealand Programme Evaluation Policy

ARTS COUNCIL OF NEW ZEALAND TOI AOTEAROA

August 2018



**Purpose:** To outline standards, processes, roles and responsibilities to be applied by Creative New Zealand for programme evaluation

**Responsibility:** Senior Manager, Planning, Performance & Advocacy Services

**Accountabilities:** Distributed – as specified in this Policy

## 1. Objective

This Policy sets out the principles, standards, processes, responsibilities and accountabilities that guide Creative New Zealand programme evaluations.

## 2. Scope

This Policy applies to programmes, initiatives, pilots and programme policies operated by Creative New Zealand. It does not include Creative New Zealand's grant acquittal processes or fulfilment of reporting requirements and against key performance indicators (KPIs). Reports collated from these sources however may inform wider programme reviews or evaluations.

The Policy will inform a rolling annual Evaluation Plan, which will specify and align evaluation activities and performance planning across the organisation.

This Policy has been adapted for the Creative New Zealand and New Zealand context, with permission, from the Evaluation Policy of the Canada Council for the Arts.

## 3. Definitions

**Programme evaluation** is the systematic collection and analysis of evidence on the design, delivery and outcomes (results) of programmes and initiatives, in order to make recommendations about their relevance, effectiveness and efficiency.

## 4. Policy

Creative New Zealand undertakes regular programme evaluations of all of its investment categories to evaluate their **relevance, effectiveness** and **efficiency**. Programme evaluation is part of Creative New Zealand's programme management process.

The goal of evaluation is to determine programme impacts and assess whether or not the programme or initiative is achieving its expected outcomes.

Evaluation findings and recommendations should lead to decisions about programme improvement, future programmes or initiatives, resource allocation and accountability of funds.

Creative New Zealand will use evaluation for the following main purposes:

- Accountability for public funds.
- Demonstrating value and impact.
- Sharing knowledge with partners and stakeholders.
- Demonstrating efficient use of resources.
- Programme planning, improvement and/or resource allocation.
- Advocacy, to make the case for the arts.

Creative New Zealand will determine its evaluation programme through the development of a rolling annual Evaluation Plan that considers:

- strategic significance and degree of influence
- risk
- profile and visibility
- funding arrangements/partnerships
- one-time or repeat activity
- size and scope
- available resources – staffing and contracting budget
- timing with other significant work.

These factors, along with general state of programme readiness (eg, availability of data), will determine the type of evaluation used as well as the selection of evaluation projects from year to year.

Evaluations may be conducted internally through policy/research staff or by external contractors managed by policy/research staff as required. Programme evaluation or evaluative type exercises (eg, programme reviews) may only proceed with the approval of the Senior Manager, Planning, Performance & Advocacy Services. All initiatives and contracts that include a programme evaluation component must be approved by Senior Manager, Planning, Performance & Advocacy Services.

Evaluations may be undertaken periodically during the life of a programme or initiative. Evaluations will examine the performance of a programme or initiative, using a programme intervention logic model. Generally, evaluations will look at process, design and delivery, efficiency and other contextual factors in order to understand programme results or achievements. This model will generally also assess comprehensiveness and accessibility, as well as particular stakeholder needs.

## 4.1 Principles

The following best practice principles will apply, whether evaluations are conducted internally or by external consultants.

**Credibility:** Evaluations should strive to meet professional standards of:

- accuracy (ie, based on reliable data and solid analysis)
- appropriate design and methodology (suitable to stakeholder needs and context)
- employing multiple lines of evidence
- appropriate in-depth analysis based on empirical data
- producing evidence-based and objective findings
- articulating reasonable and clear recommendations.

**Ethics:** Creative New Zealand will adopt the code of ethics for evaluation as published by the Australasian Evaluation Society, whether evaluations are conducted internally or by external consultants.

- Evaluators are to be competent in their provision of service.
- Evaluators are to act with integrity in their relationships with all stakeholders.
- Evaluators are to be accountable for their performance and their product.

**Neutrality:** Programme evaluation is a neutral, independent function at Creative New Zealand, characterised by impartiality in behaviour and process. Evaluators will not allow professional or personal relationships or interests to influence or limit the scope of the evaluation or evaluation questions and the rigour of their methodology. In addition, they will not allow pre-conceived ideas, prejudices or social/political biases to affect their analysis, weaken or bias

evaluation findings, conclusions, recommendations or affect the tone and content of an evaluation report.

**Quality:** Creative New Zealand ensures that programme evaluation is of high quality, reliable, consistent and rigorous.

**Transparency:** Programme evaluations are undertaken in a transparent manner and, generally, are made publicly available. Generally, results will be published on the Creative New Zealand website and, where appropriate, participating stakeholders will be informed of evaluation results.

**Utility:** Programme evaluation is focused on the needs of intended users including, but not limited to, the Arts Council, Creative New Zealand's Senior Leadership Team, Third Tier Managers, Arts Practice Directors, programme partners and clients of the programme.

## 4.2 Approaches and Methodologies

Creative New Zealand uses a variety of commonly-used programme evaluation approaches and methodologies. The following are some types of evaluation that may be considered.

- **Summative Evaluation** – Summative evaluations are undertaken well into the life of, or at the end of, a programme or initiative. They focus on providing a summary of the programme's performance and impact.
- **Developmental and Formative Evaluation** – Both of these evaluations take place before or during the life of a programme or initiative. These types of evaluations are provided for learning purposes and focus on informing/improving the intervention.
- **Cluster Evaluations** – Suitable for larger, complex programs or suites of programmes, this type of evaluation examines several projects or programmes with similar focus for the purposes of identifying patterns and drawing lessons from the whole cluster.
- **Impact Evaluation** – Evaluation focused solely on assessing results and outcomes, the influence the organisation had on observed change (attribution, contribution) and issues such as alternatives and improvement.
- **Delivery Evaluation** – Evaluation here is focused on the implementation of a programme or policy, its production of outputs and ways to improve programme efficiency.

- **Reviews** – Reviews are often conducted in response to a pressing or immediate need of management and as such, the emphasis is usually on quick generation of sufficient information to inform decision-making, or to reassure senior management of the dimensions of a problem or situation.
- **Reports** – Note: Managers gather summative information from time-to-time to monitor and report on initiatives, pilots and programmes. Some third-party contracts currently require evaluations by the contracting party. In future, these will usually be reports unless an evaluation of the type listed above is required.
- **Grant Acquittals and Reporting by Investment Clients** are not termed evaluations but are data and information to inform evaluations.

All programme evaluations for Creative New Zealand will utilise a **mixed methods** approach. This methodology combines both quantitative and qualitative methods in the design, collection and analysis of data.

Creative New Zealand places a strong emphasis on the qualitative aspect of the inquiry, balanced with clear and comprehensive quantitative datasets. Qualitative data gives depth and narrative to the numbers and can be particularly effective in supporting the determination of outcome and impact results.

### 4.3 Evaluation Plan

The Senior Manager, Planning, Performance & Advocacy Services, supported by the Policy Services team, will prepare a rolling four-year evaluation plan (updated annually to achieve an annual Evaluation Plan) that covers all investment categories and ensures coverage of all major programmes and initiatives.

The Evaluation Plan will be developed in consultation with the Senior Leadership Team and Third Tier Managers, in conjunction with business planning, budget and operating planning processes, and approved annually. The plan will prioritise those programmes or initiatives identified as high risk or in need of review. Modifications to the plan will be communicated to the Senior Leadership Team in a timely manner.

The annual evaluation plan update will indicate the evaluation activities to be undertaken in a specified 12–24 month period. The number of specific evaluations launched each year will

depend on the number of evaluations (and related activity) already underway, the complexity of the current evaluation needs, time, budget and other resources available.

The Evaluation Plan will detail the scope, scale and type of each planned evaluation, timelines, budgets and resources. These will be aligned with the size and complexity of the programmes being evaluated.

### 4.4 Evaluation Findings and Recommendations

Evaluations undertaken by Creative New Zealand are expected to produce recommendations which are judgment-based and useful in policy or programme design and implementation.

Evaluation recommendations require a **management response** and a **plan for implementation**, including timelines and accountabilities.

The **management response** should be developed by the responsible Senior Manager and approved and presented to the Senior Leadership Team for approval.

Where an external provider is engaged to undertake an evaluation, it will be specified whether recommendations are being sought or not. Where recommendations are not sought, staff will develop recommendations in lieu of a ‘management response’.

Where a third-party (funding) partner is involved in the programme being evaluated, staff will agree up-front the partner’s level of involvement in the programme evaluation.

Generally, executive summaries of all evaluations will be provided to the Arts Council on a ‘for information’ basis. Full evaluation reports will also be made available to the Arts Council through the Council’s board information management tool.

### 4.5 Programme Modifications

Programmes should not be subject to major changes without having been evaluated, unless directed by the Chief Executive in exceptional circumstances. Programmes will be evaluated on a regular basis in alignment with this Policy and the Evaluation Plan.

However, should a problem with the programme be identified through the analysis of performance measures,

staff and peer input or other environmental developments, a programme evaluation or review could be triggered. All major programme modifications must be approved by the Chief Executive and/or the Arts Council.

The results and recommendations of programme evaluations and the corresponding management responses and action plans will be the principal driver for major changes to programme design.

Further, all proposed granting programme modifications will be approved by the Senior Manager, Arts Development Services, and incorporated in the relevant granting programme policies and guidelines, to ensure consistency where the recommendations impact more than one programme. If any changes are required in operational policies as a result of evaluation findings, the Manager, Business Systems, is responsible for making the changes in Creative New Zealand's grants management system.

#### **4.6 Publication of Programme Evaluations**

Creative New Zealand will make the **executive summaries** of evaluations available on its website. The following criteria will restrict this principle.

- Evaluation that is incomplete or deemed to have methodological issues and/or erroneous or subjective findings.
- Evaluation that includes protected information according to the Privacy Act and the Official Information Act, such as personal information, sensitive information or internal corporate information.

#### **4.7 Reporting and Monitoring of Evaluation**

Reporting on programme evaluation will be prepared by Senior Manager, Planning, Performance & Advocacy Services for discussion with the Senior Leadership Team, along with the presentation of an annual update of the Evaluation Plan. Such reports will include an overview of all evaluations undertaken in the previous year, resource expenditure, the status of implementing recommendations, issues or concerns with programme evaluation, organisational evaluation capacity, and a review of relevant external trends or issues pertinent to Creative New Zealand.

### **5. Administrative responsibility**

The following responsibilities rest with the relevant teams and individuals (page 6).

Team/individual	Responsibilities
<b>Senior Leadership Team</b>	<p>Approving and overseeing Creative New Zealand’s Evaluation Plan.</p> <p>Ensuring that evaluation recommendations are considered, responded to and implemented as appropriate.</p>
<b>Senior Manager, Planning, Performance &amp; Advocacy Services</b>	<p>Accountable for all policy, programme and initiative/pilot evaluation activities and for approving evaluation plans and reports. This covers all aspects of programme evaluation, including, but not limited to:</p> <ul style="list-style-type: none"> <li>▪ developing Creative New Zealand’s annual Evaluation Plan, in consultation with the Senior Leadership Team and Third Tier Managers</li> <li>▪ updating the Plan annually</li> <li>▪ determining and managing evaluation budgets</li> <li>▪ reporting annually on programme evaluation</li> <li>▪ approving evaluation methodologies, in consultation with the Senior Manager responsible for the programme being evaluated</li> <li>▪ approving evaluation reports and evaluation executive summaries, after consulting the Senior Manager responsible for the programme being evaluated</li> <li>▪ determining publication of reports, in consultation with the Senior Manager responsible for the programme being evaluated</li> <li>▪ ensuring that all programmes and initiatives/pilots programme templates have been correctly approved with appropriate indicators and performance measures in place, along with data collection strategies to enable programme evaluation</li> <li>▪ contributing to design and selection and of such indicators and measures</li> <li>▪ contributing to the development and selection of Creative New Zealand’s high-level performance measures.</li> </ul>
<b>Manager, Assessment Services</b>	<ul style="list-style-type: none"> <li>▪ Ensuring that assessment criteria, indicators and processes align with Creative New Zealand’s standards, guidelines, policies and data collection processes.</li> <li>▪ Contributing to the annual Evaluation Plan.</li> <li>▪ Participating in advisory groups that help develop programme and evaluation design, as an internal programme stakeholder.</li> <li>▪ Contributing to management responses to programme evaluation recommendations and implementing those responses.</li> <li>▪ Ensuring the consistency of Creative New Zealand’s assessment and evaluation activities in order to promote the organisation’s commitment to continuous learning.</li> </ul>
<b>Manager, Funding Services; Manager, Capability Services</b>	<ul style="list-style-type: none"> <li>▪ Ensuring that Funding Services and Capability Services personnel adhere to Creative New Zealand Arts Align coding guidelines and that individual applications are coded to the highest possible standard.</li> <li>▪ Contributing to the annual Evaluation Plan.</li> <li>▪ Participating in advisory groups that help develop evaluation design, as an internal programme stakeholder.</li> <li>▪ Contributing to management responses to programme evaluation recommendations and implementing those responses.</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Ensuring the consistency of Creative New Zealand’s assessment and evaluation activities in order to promote the organisation’s commitment to continuous learning.</li> </ul>
<p><b>Manager, Investment Services</b></p>	<ul style="list-style-type: none"> <li>▪ Ensuring that Investment programmes’ performance measurement data and all relevant programme documentation for Investment clients is collected according to the Creative New Zealand’s standards, policies and procedures.</li> <li>▪ Ensuring that Investment programmes have appropriate indicators and performance measures in place along with data collection processes that will enable programme evaluation.</li> <li>▪ Contributing the annual Evaluation Plan.</li> <li>▪ Participating in advisory groups that help develop programme and evaluation design, as internal programme stakeholder.</li> <li>▪ Making staff and programme information available to the evaluators in a timely manner during an evaluation.</li> <li>▪ Contributing to management responses to programme evaluation recommendations and implementing those responses.</li> <li>▪ Ensuring the consistency of Creative New Zealand’s assessment and evaluation activities in order to promote the organisation’s commitment to continuous learning.</li> </ul>
<p><b>Manager, International Services &amp; Initiatives</b></p>	<ul style="list-style-type: none"> <li>▪ Ensuring that International Services &amp; Initiatives programme performance measurement data and all relevant programme documentation is collected according to the Creative New Zealand’s standards, policies and procedures.</li> <li>▪ Ensuring that International Services &amp; Initiatives programmes have appropriate indicators and performance measures in place along with data collection processes that will enable programme evaluation.</li> <li>▪ Contributing the annual Evaluation Plan.</li> <li>▪ Participating in advisory groups that help develop programme and evaluation design, as an internal programme stakeholder.</li> <li>▪ Contributing to management responses to programme evaluation recommendations and implementing those responses.</li> <li>▪ Ensuring the consistency of Creative New Zealand’s assessment and evaluation activities in order to promote the organisation’s commitment to continuous learning.</li> </ul>
<p><b>Manager, Business Systems</b></p>	<p>Accountable for the management of systems which collect and store the data required for research and corporate memory, information management, reporting and Creative New Zealand’s data retention and disposition.</p> <p>Responsible for:</p> <ul style="list-style-type: none"> <li>▪ providing and supporting in a timely manner the data required for evaluation</li> <li>▪ maintaining and updating Arts Align programme templates and coding guidelines in accordance with agreed delegations and processes.</li> </ul>
<p><b>Manager, Finance &amp; Performance</b></p>	<p>Responsible for the alignment and reporting of financial and performance data.</p>

<b>Manager, Policy Services</b>	<ul style="list-style-type: none"> <li>▪ Providing policy advice, development and assessment of delivery options for programmes, pilots and initiatives.</li> <li>▪ Working with relevant manager(s) to develop and refine purposes of programmes, pilots or initiatives in line with Creative New Zealand’s Investment Strategy Te Ara Whakamua 2018–2023.</li> <li>▪ Participating in planning and delivery of annual evaluation programme.</li> <li>▪ Conducting or commissioning evaluations or reviews as agreed in the annual Evaluation Plan.</li> </ul>
<b>Senior Adviser, Research &amp; Analysis</b>	<ul style="list-style-type: none"> <li>▪ Providing evaluation advice and analysis to agreed components of annual Evaluation Plan.</li> <li>▪ Participating in advisory groups that help develop programme and evaluation design.</li> <li>▪ Conducting or commissioning evaluations or reviews as agreed in the annual Evaluation Plan.</li> </ul>

**Approved by SLT:** 19 July 2018

**To be reviewed by:** July 2020