# Methodology for the Government Department Strategies Index New Zealand

This publication forms part of the Government Department Strategies Index New Zealand.

**MCGUINNESS INSTITUTE**
TE HONONGA WAKA

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This publication forms part of the *2018 GDS Index NZ*. All documents listed below can be found at www.mcguinnessinstitute.org/publications and www.gdsindexnz.org.

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# Preface

*The Act [State Sector Act 1988] is currently based on a model of a single department delivering, with strong lines of vertical accountability from one Chief Executive to a single Minister. That doesn't work where we need agencies working collectively, across organisational boundaries, to achieve results for New Zealanders.*

*There is also an expectation that public services are more accessible and organised with the citizen at the centre.*

— *Hon Chris Hipkins, 4 September 2018*

Towards the end of 2018 the Minister of State Services, Hon Chris Hipkins, launched a consultation process for reforming New Zealand's Public Service to improve its accessibility, organisation and ability to collaborate. This focus aligns with research the McGuinness Institute has undertaken for the *2018 GDS Index* on government department strategies (GDSs), the Index's third update. Previous *GDS Indexes* were prepared in 2014 (as at 30 June 2014) and 2015 (as at 30 June 2015). *Working Paper 2019/01 – Methodology for the 2018 Government Department Strategies Index New Zealand* (as at 31 December 2018) explains the process that resulted in 148 operational GDSs being identified and analysed. The analysis of this research is contained in *Working Paper 2019/04 – Analysis of Government Department Strategies Between 1 July 1994 and 31 December 2018.*

Strategies that are jointly held between more than one government department are few and far between. A key difference in the *2018 GDS Index* from the *2015 GDS Index* is that these GDSs are listed under each department to reflect the shared ownership. As a result, GDSs in the *2015 GDS Index* that were held by more than one department have been re-listed in the *2018 GDS Index* under each holding department. We have also indicated which GDSs have been transferred between departments, as we believe this is important information to track.

An important addition to the *2018 GDS Index*'s publications collection is the *Government Department Strategies Handbook – He Puna Rautaki*, which gives a one page summary of key data for each operational GDS as at 31 December 2018. The Māori name given to the *Handbook* means the spring of profound strategic thinking. The *Handbook*'s purpose is twofold. First, it aims to encourage government departments to look beyond their borders, guide them towards integration and connectedness, and ultimately to increase the usability and transparency of GDS documents. Second, it is intended to make government's strategic initiatives more accessible for the public, while empowering citizens to work with government to achieve the initiatives' goals and evaluate the effectiveness of GDSs. The *Handbook* replaces the *Profiles* working paper published with the previous *GDS Indexes*.

As a GDS is designed to manage significant issues of its day, a list of GDSs since 1994 provides an historical map of emerging or ongoing issues. This history is often lost due to the machinery of government. Once a GDS is no longer operational, it tends to be removed from websites and therefore lost in terms of lessons learned and insights gained. To help build coordination across the public service and learn lessons from past strategies, we would like to see the State Services Commission (SSC) require all operational GDSs to be listed on a department's annual report and to keep a public register of all operational and non-operational GDSs as at the end of every calendar year. We also suggest that the SSC consider creating a guide for government departments on how to prepare, write and publish GDSs.

As with any research, thanks must go to those who contributed. Thank you to government department officials for their assistance, patience and interest in our work. We would also like to thank the young New Zealanders who reviewed each GDS; their patience and interest in public policy is to be commended.

Chief Executive
McGuinness Institute

# 1.0 Purpose

The purpose of the McGuinness Institute's research is to put a spotlight on government department strategies (GDSs). GDSs can be a tool for restoring patience and trust in the public service and the wider community. However, they are largely under-recognised for their potential in this area.

Effective strategy helps government departments solve challenging problems, which is why GDSs are such important instruments for managing the long-term interests of New Zealanders. Despite this, no government institution regularly reviews GDS content. There is no register of which GDSs are operational, and no guidelines suggesting how a GDS should be written. GDSs do not need to be dated or signed by anyone, nor do they need to include information about their expected duration or the likelihood of an ongoing review process. There is no institution that the public can engage with in order to discuss the content of a GDS or how a department might have failed to engage with stakeholders. There is also no central register that collates each GDS onto a single platform, making the strategies more accessible to enable comments from other departments or the general public. As a result, this important policy instrument has few feedback loops, little transparency and minimal accountability. This is surprising for five reasons:

1. When analysing the data on the creation of GDSs over the last 25 years, it is evident that they have become a more common policy tool in the last decade.

2. GDS creation requires a lot of resources and therefore represents a large expense, as well as a major investment for departments.

3. GDSs, once approved by the department or relevant Minister, often drive change over long periods. Sometimes they (and their visions) persist through successive governments.

4. GDSs are public documents. They not only provide a window into the working of government but often invite public engagement early in their creation. The GDS drafting process is an opportunity to crowd-source ideas, generate consensus (such as agreements within particular groups to make trade-offs in the short term for long-term gains) and collaborate with the wider community (including businesses, philanthropists and councils).

5. GDSs are critical instruments able to bring about change. They track and describe the means to desired ends. However, if there is no due diligence as to the content, structure and review of GDSs, they may in fact operate solely as blunt instruments – delivering more harm to the public than good.

Three objectives underpin the Institute's research into government department strategies:

1. Chronicling strategic development in the public service,

2. Enabling and empowering officials to create and communicate excellent strategy documents, and

3. Making GDSs more transparent to citizens, business, MPs and other stakeholders in order that the public might understand, engage, critique and work with government in order to deliver better outcomes for all New Zealanders.

With these objectives in mind, the key research question underlying the *GDS Index* is: To what extent do each of the GDSs in operation contain the essential elements of a good strategy document? Through answering this question, the Institute seeks to highlight GDSs that exemplify good practice, in terms of providing the information readers require to assess the quality of the approach for themselves. The purpose of the *GDS Index* is not to go as far as ranking the GDSs for the quality of their strategic approach. This would be too difficult given the lack of consistent information across most GDSs and the subjective nature of such an analysis is beyond our scope.

# 2.0 Background

Given the McGuinness Institute's focus on New Zealand's long-term future, these strategies help to shape our thinking and influence several of our projects. The *GDS Index*, as part of *Project StrategyNZ*, provides a foundation for future Institute research into external reporting strategy, specifically including climate change reporting and climate change strategy (encompassed by the projects *ReportingNZ* and *ClimateChangeNZ*).

The Institute has a number of initiatives focused on strategy.[1] The Institute supports consideration of the development of a nationally integrated strategy for New Zealand which would anchor and align government department strategies.

GDS data collection has been undertaken three times (in 2014, 2015 and 2018). As a result there are three data sets, representing the GDSs in operation between 1 July 1994 and 30 June 2014 (*2014 GDS Index*), 1 July 1994 and 30 June 2015 (*2015 GDS Index*), and 1 July 1994 and 31 December 2018 (*2018 GDS Index*). The oldest GDS on the full list was published in October 1994.

Over time, the methodology and analysis of *GDS Index NZ*[2] have been further developed and refined. This is the second time the *Methodology* has been published.

The three separate data sets enable comparisons between GDSs, departments and sectors over time, both in the types of GDSs produced, as well as the quality of the GDS content produced (as opposed to the quality of the strategy itself). As a result the *Methodology*, *Lists*, *Scoring Tables* and *Analysis* working papers have been updated to form the *2018 GDS Index*. The *Profiles* working paper, prepared for the *2014 GDS Index* and *2015 GDS Index,* has been replaced by *Government Department Strategies Handbook – He Puna Rautaki* (commonly referred to as simply the *Handbook*). The *Methodology*, *Lists*, *Scoring Tables* and *Analysis* working papers were also updated to be accurate and relevant for the *2018 GDS Index*. These can be found on the *GDS Index* website, along with PDFs of the GDS documents themselves.

When the initial index was developed, the Institute worked with a number of policy analysts to determine the best outputs for users.

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1    Another stream of this work was the *StrategyNZ* workshop held in 2011 (see www.strategynz.org). This event brought together over 100 people from throughout New Zealand, with the aim of exploring an overarching strategy for New Zealand. The idea that most resonated with participants was Sir Paul Callaghan's idea of making New Zealand 'a place where talent wants to live'. This evolved into the Institute's *TalentNZ* initiative. For more information about *TalentNZ*, see www.talentnz.org.

2    For more on the *GDS Index*, including viewing each of the operational GDSs, please see the GDS website at www.gdsindexnz.org.

## Table 1:  List of GDS Index working papers published to date

| Working paper title | Publication date | GDS Index |
|---|---|---|
| 2014/01 – List of Government Department Strategies Between 1 July 1994 and 30 June 2014 | September 2014 | 2014 GDS Index |
| 2014/02 – Analysis of Government Department Strategies Between 1 July 1994 and 30 June 2014 – An overview | December 2014 | 2014 GDS Index |
| 2015/04 – Methodology for the Government Department Strategies Index New Zealand | February 2015 | 2014 GDS Index |
| 2015/05 – Tables Collating and Ranking Government Department Strategies in Operation as at 30 June 2014 | February 2015 | 2014 GDS Index |
| 2015/06 – Profiles Scoring Government Department Strategies in Operation as at 30 June 2014 | February 2015 | 2014 GDS Index |
| 2015/07 – List of Government Department Strategies Between 1 July 1994 and 30 June 2015 | October 2015 | 2015 GDS Index |
| 2015/08 – Tables Collating and Ranking Government Department Strategies in Operation as at 30 June 2015 | November 2015 | 2015 GDS Index |
| 2015/09 – Profiles Scoring Government Department Strategies in Operation as at 30 June 2015 | November 2015 | 2015 GDS Index |
| 2015/10 – Analysis of Government Department Strategies Between 1 July 1994 and 30 June 2015 – An overview | November 2015 | 2015 GDS Index |
| 2019/01 – Methodology for the Government Department Strategies Index New Zealand | May 2019 | 2018 GDS Index |
| 2019/02 – Lists of Government Department Strategies Between 1 July 1994 and 31 December 2018 | May 2019 | 2018 GDS Index |
| 2019/03 – Scoring Tables Collating and Ranking Government Department Strategies | May 2019 | 2018 GDS Index |
| 2019/04 – Analysis of Government Department Strategies Between 1 July 1994 and 31 December 2018 | May 2019 | 2018 GDS Index |
| Government Department Strategies Handbook – He Puna Rautaki | May 2019 | 2018 GDS Index |

# 3.0 Publications

Through analysing the 148 operational GDSs for the *2018 GDS Index*, the Institute endeavours to produce material which is of practical use to those drafting and implementing GDSs across all agencies. The information collected in the process of generating and scoring the GDS data can be accessed in a number of ways: by strategy, by department and by sector. Figure 1 below shows how these publications fit together,and the names of the three Excel worksheets that contain the raw data used in the preparation of the publications. Figure 2 below explains where specific information can be found.

**Figure 1: Key publications for the 2018 GDS Index**

| Research stages and publications | Worksheets |
|---|---|
| **Stage 1 – Collection and Identification of GDSs (see Appendices 1–2)**<br>• *Working Paper 2019/01 – Methodology for the Government Department Strategies Index New Zealand* [*Methodology*]<br>• *Working Paper 2019/02 – Lists of Government Department Strategies Between 1 July 1994 and 31 December 2018* [*Lists*] | OIA Excel<br><br>Master Excel |
| **Stage 2 – Scoring and Ranking (see Appendices 3–4)**<br>• *Working Paper 2019/03 – Scoring Tables Collating and Ranking Government Department Strategies in Operation as at 31 December 2018* [*Scoring Tables*]<br>• *Government Department Strategies Handbook – He Puna Rautaki* [*Handbook*] | Scorecard Excel |
| **Stage 3 – Analysis and Observations**<br>• *Working Paper 2019/04 – Analysis of Government Department Strategies Between 1 July 1994 and 31 December 2018* [*Analysis*] | |

Figure 2 shows the three major ways the data can be assessed; by the GDS strategy, by the department responsible for implementing the GDS and the sector.

**Figure 2: Outputs of the GDS in-depth analysis**

| | Working Paper 2019/02 Lists | Working Paper 2019/03 Scoring Tables | Handbook and Working paper 2019/03 Scoring Tables |
|---|---|---|---|
| **By Strategy** | Table 1: GDS Index NZ: List of GDSs by strategy (a–z) | Table 4: GDS Index NZ: GDSs by rank | Table 7: GDS Index NZ: GDSs by date published |
| **By Department** | Table 2: GDS Index NZ: List of GDSs by department (a-z) | Table 5: GDS Index NZ: Departments by rank | |
| **By Sector** | Table 3: GDS Index NZ: List of GDSs by sector (a-z) | Table 6: GDS Index NZ: Sectors by rank | |

# 4.0  Method

The following sections describe how the *GDS Index* is created. Briefly, the Institute creates (with the help of government department officials) a list of all GDSs (413 as at 31 December 2018). Of these, only the operational GDSs are scored against the *Scorecard* (148 as at 31 December 2018). The method, outlined below, is explained in more detail in the appendices. The appendices are written in such a way that the process can be repeated by future McGuinness Institute staff.

Appendix 1: How to create the OIA Excel

Appendix 2: How to create the Master Excel

Appendix 3: How to create the Scorecard Excel

Appendix 4: How to create the radar charts

## 4.1  Approach

As Figure 1 shows, there are three research stages in the *2018 GDS Index* update. The first two (identification and collection of GDSs, and scoring and ranking) collect key information on the GDSs which together enable the third research stage (analysis and observations) to take place.

The first stage, identifying and collecting the GDSs, determines the data set by establishing which GDSs are operational for the time frame the *GDS Index* applies to. To identify the GDSs, there is a range of information (e.g. titles, publication dates, duration dates) that GDS documents should contain as a matter of good practice to help users identify and situate the document in its wider context (e.g. when it is in operation, its intended duration, who has signed it off). See Section 4.2 on 'what makes a strategy a GDS?' and Appendix 2 on how to create a list of GDSs.

The second stage, scoring and ranking, delves into how each GDS document provides the essential information (opportunities and threats; capabilities and resources; vision and benefits; approach and focus; implementation and accountability; and alignment and authority) that GDS readers need to assess the quality of the government department's approach. See Sections 4.3 and 4.4 for more on how the *Scorecard* was designed and applied, and Appendix 2 for a more detailed explanation of how the scoring and ranking processes took place.

The third stage, analysis and observations, draws on observations made by the research team during the process of identifying, collecting, scoring and ranking the GDSs.

The publications are the outputs of three Excel worksheets, as illustrated in Figure 1:

1. Worksheet 1: OIA Responses (i.e. the results of correspondence with department officials)

2. Worksheet 2: Master Excel (i.e. the full list of all GDS documents as at 31 December 2018 [413])

3. Worksheet 3: Scorecard Excel (i.e. the list of all operational GDS documents as at 31 December 2018 [148])

## 4.2    What makes a strategy a GDS?

In this working paper a 'government department strategy' (GDS) is defined in terms of four criteria:

A 'government department strategy' must:

1.    Be a publicly available statement or report;

2.    Be generated by government departments with a national rather than a local focus;

3.    Contain long-term thinking presented in such a way that the strategy links to a long-term vision or aim, and ideally provide clarity over the factors that may impinge on the attainment of that vision or aim; and

4.    Guide the department's thinking and operations over the long term (i.e. contain a work programme to achieve change over two years or more).

The term 'departments' is used in accordance with the State Services Commission's *A Guide to New Zealand's Central Government Agencies*, which states: 'irrespective of being called a department, ministry or some other title, they are all Public Service departments' (SSC, 2014, p. 1).

The term 'government department strategy' (GDS) was developed by the Institute and is used in place of the term 'central government strategy' (CGS). The latter term was previously used in the Institute's 2007 report, *Report 2 – New Zealand Central Government Strategies: Reviewing the landscape 1990–2007*. This change was made to prevent confusion between 'central government departments' and 'central government agencies', as the latter is used by government to describe the three core departments (the Treasury, State Services Commission and Department of the Prime Minister and Cabinet).

Schedule 1 of the State Sector Act 1988 contains a list of government departments. As at 31 December 2018, there were 32 government departments in operation. There are ten sectors that align with the 32 departments (see List H.1: Votes in each sector from the 2018 Budget, *Lists* working paper) but two departments come under more than one vote (see Lists H.2, H.3 and H.4 in the *Lists* working paper).

Appendix 2 contains a detailed description of what meets (or does not meet) the definition of a GDS. It also contains a list of examples that illustrate how that definition has been applied for the purposes of this research.

Before accepting a document as a new operational GDS, its publication and operational dates are checked to ensure they align with the year for which the analysis is carried out. For example, a new GDS published in January 2019 will be excluded from the *2018 GDS Index* as it is past the cut-off date for this particular *GDS Index* update.

Documents that are required to be produced every year are also not included in the McGuinness Institute's GDS definition. An example of these are the 'regulatory stewardship' documents, which are required to be produced by seven key regulatory departments as a result of the government's expectation that they will '[g]et more departments to prepare and publish a regulatory stewardship strategy and plan' (Treasury, 2017a; 2017b, p. 7). These documents are required to be produced annually and so are not classified as a GDS as they do not meet the requirements of element 4 of the definition (guiding a department's work programme to achieve change over two or more years). Other documents that are not included as GDSs include National Policy Statements, Statements of Intent, Performance Improvement Framework Reviews (PIFs) and Briefings to the Incoming Minister (BIMs).

When assessing GDSs the Institute came across some documents that appeared to be GDSs but did not meet the definition. An example of this is Ministry for Women's *Eliminating the gender pay gap in the public service*. This GDS did not meet element 3 of the definition as it did not 'contain long-term thinking, in such a way that the strategy links to a long-term vision or aim, and ideally provide clarity over the factors that may impinge on the attainment of that vision or aim...'. Instead, this GDS sets out a predetermined goal and details how it will achieve it, in brief, short statements. There is no strategic scoping or problem definition, rendering it a policy document rather than a strategy document. If it is unclear whether a document is a GDS (as defined by the Institute), it is placed in a separate folder for further review. If a document is deemed not to be a GDS, an explanation is included in the working papers (see for example, List K in *Working Paper 2019/02 – Lists of Government Department Strategies Between 1 July 1994 and 31 December 2018*).

## 4.3    Designing the Scorecard

The *Scorecard* was devised to assess each GDS document. This is largely a product of a discussion held on GDSs on 1 October 2014. These ideas were further explored in December 2014. We would like to thank the following people for their additional insights which helped the Institute develop the elements, structure and questions contained in the *Scorecard*: Professor Stephen Cummings, Director of The Atom Innovation Space, Victoria University; Patrick Nolan, Productivity Commission; James Palmer, Deputy Secretary Strategy, Ministry for the Environment; Rodney Scott, State Services Commission and Treasury; and Simon Wakeman, Productivity Commission.

*Strategy Builder: How to create and communicate more effective strategies* (Cummings & Angwin, 2015), by Stephen Cummings and Duncan Angwin, proved extremely useful when assessing the elements to be used and developing the sub-elements. Other useful sources for preparing the *Scorecard* were *Strategy: A History* (Freedman, L., 2013); *Strategy Maps: Converting Intangible Assets into Tangible Outcomes* (Kaplan, R. S. & Norton, D. P., 2004); *The Executive Premium: Linking Strategy to Operations for Competitive Advantage* (Kaplan, R. S. & Norton, D. P., 2008); *The Strategy-Focused Organization: How Balanced Scorecard Companies Thrive in the New Business Environment* (Kaplan, R. S. & Norton, D. P., 2001); *Good Strategy Bad Strategy: The Difference and Why It Matters* (Rumelt, R. P., 2011); and *Seven Strategy Questions: A Simple Approach for Better Execution* (Simons, R., 2010).

**Description of the elements:**

The order of elements in the *Scorecard* does not reflect the order we expect the GDS to be read in; it represents the order by which we expect the GDS to be formulated.

- Element 1: *Opportunities and Threats*, asks 'what is the external environment?' and is largely the second part of a standard 'SWOT' analysis – the first part being 'strengths and weaknesses'.

- Element 2: *Capabilities and Resources*, asks 'what are the internal strengths and weaknesses?' and is considered by the Institute to be a better metric than the standard 'strengths and weaknesses' analysis. 'Strengths and weaknesses' as a category is too narrow and would not necessarily lead reviewers to think about whether or not the department understood its available (or lacking) resources and capabilities when drafting the GDS.

- Element 3: *Vision and Benefits*, asks 'what is the purpose of the strategy?' and concerns the purpose and the value-proposition that the strategy, if implemented, might deliver.

- Element 4: *Approach and Focus*, asks 'what choices and trade-offs have been made?' and directly concerns the strategic approach itself and the strategic choices that have been made.

- Element 5: *Implementation and Accountability*, asks 'who is responsible for what?' and concerns how progress will be reported and whether the GDS will be reviewed when completed, expired or updated.

- Element 6: *Alignment and Authority*, asks 'how does it align with the machinery of government?' and is relatively unique to government; in contrast all the other five elements are applicable in both the private and the public sector.

To score the GDS, points are allocated to each sub-element on the *Scorecard*. In the *GDS Index* there are 22 sub-elements. Four points are allocated to 20 sub-elements while the remaining two (1.3 and 3.3) are allocated eight points, as they were deemed most critical to the success of a GDS. This weighting also reminds reviewers of the importance of these sub-elements. The highest possible total score in the *GDS Index* is 96 points.

To score element 6: *Alignment and Authority*, reviewers were required to use the 'search tool' in the soft copies of other corporate documents. In addition to the actual GDS, which was searched to see whether previously published GDSs were mentioned (vertical alignment), reviewers also assessed whether the GDS was mentioned explicitly (i.e. the title is used) or implicitly (i.e. it is implied) in three corporate documents (horizontal alignment). The three documents were the department's latest statement of intent, four year plan and annual report. Implicit mentions meant that key words related to the GDS were mentioned. These were determined through an additional read of the strategy document to distinguish key themes that the strategy document might discuss. For example, DoC did not specifically mention their GDS *Information Systems Strategic Plan* in their 2018 annual report. However, the annual report mentioned 'ICT', and so the GDS was judged to have been implicitly mentioned.

**Formulation of the conceptual framework:**

The elements in the *Scorecard* are in the sequence that is often used to create a strategy, starting with *Opportunities and Threats*. Each element logically flows into the need to develop the element in the process, until the original element revisits *Opportunities and Threats*. This is seen in Figure 3.

**Figure 3: The logical sequence to create a GDS**
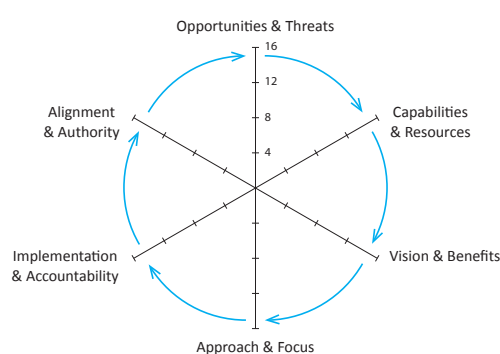


There are some tensions that naturally exist between elements. These help to optimise strategy design. This is seen in Figure 4. The 'External Tension' calls for the strategy to balance and match the GDS's *Approach and Focus* with its scoping of the external environment in *Opportunities and Threats*. The 'Internal Tension' calls for the strategy to match *Capabilities and Resources* with *Implementation and Accountability*. Lastly, the 'Purpose Fit' calls for the strategy to bring into line the *Vision and Benefits* with the *Alignment and Authority* requirements.

## Figure 4:  The three natural tensions that exist between elements to optimise strategy design
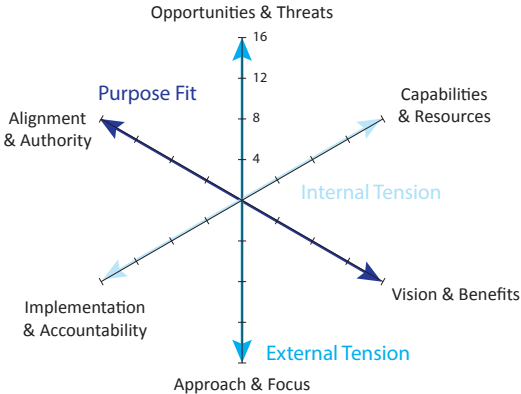


It is also important to recognise that government departments have little control over certain aspects of the landscape upon which they operate in. Their task is therefore to learn and respond to the environment and use their skills, patience and commitment to shape outcomes over the long term. Figure 5 illustrates where this dotted line exists on the *Scorecard*. Elements 1 and 6 and some of elements 2 and 5 are generally outside the department's control.

## Figure 5: Understanding what departments can control
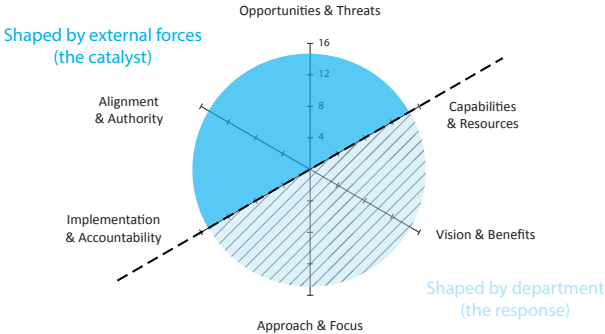


## 4.4    Applying the Scorecard to each GDS

To analyse each of the 148 GDSs in operation, two reviewers independently analysed each GDS against the variables set out in the Institute's *Scorecard*. This included the three qualitative questions featured at the bottom of the scoring forms (see Figures 9–11). See Figure 6 and Table 2 for an illustration of the process that was undertaken, and Figure 7 for the sub-element questions on the *Scorecard*.

## Figure 6: Method reviewers used to finalise scores
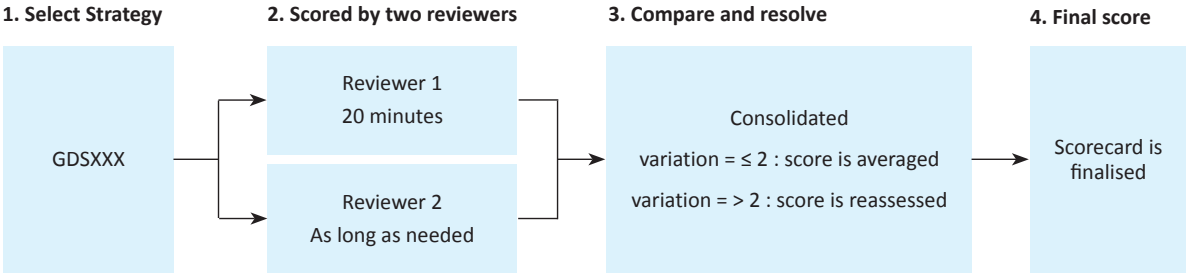
**Table 2: GDS Index reviewers 2014–2018**

| Reviewer | 2014 GDS Index (as at 30 June 2014) | 2015 GDS Index (as at 30 June 2015) | 2018 GDS Index (as at 31 December 2018) |
|---|---|---|---|
| Reviewer 1 20 minutes | George | Madeleine | Madeleine |
| Reviewer 2 As long as needed | Madeleine | Karri | Wei Kai |

The reviewers, indicated in Table 2 above, are young New Zealanders with backgrounds in economics, law, finance and public policy. They are, in practice, the ideal audience for GDS documents – they had minimal preconceived biases about government departments and their policies, but are interested in 'good' policy for New Zealand.

Given that one of the reviewers has been involved in each *GDS Index* to date, the scores were carried across from previous Indexes. For example, the score of a GDS published in 2011 that was operational in 2014 (and therefore listed on the *2014 GDS Index*), was carried across to the *2018 GDS Index*. This means that some GDSs were scored four years ago. However, one of the six components of the *Scorecard* (element 6: Alignment and Authority), was re-scored to ensure that for the *2018 GDS Index*, the operational GDSs align with 2018 corporate documents (see Appendix 3). In addition, scoring jointly held GDSs against element 6 means that the GDS is scored against the corporate documents of the government department it is listed under. As a result, jointly held GDSs may have different final scores. This means the total scores may be different when comparing a GDS on *2014 GDS Index* with the *2018 GDS Index*, or when comparing the scores of jointly held GDSs.

To ensure that the judgement of each GDS was balanced and did not reflect the view of just one reviewer, each GDS was read by the first reviewer for 20 minutes (to reflect how these documents would be read quickly by users) and then analysed in greater depth by the second reviewer (to more comprehensively assess the extent essential information is available in the document). Points were then compared and variations settled according to a process which is described in further detail below. Each reviewer was familiar with the elements of the *Scorecard* and the indicators used to judge a GDS's progress in each sub-element. The two reviewers did not discuss their judgements of any of the GDSs, and their reviews took place completely independently.

The reviewers read the physical copies of each GDS and noted their points for each sub-element on a physical copy of the *Scorecard*, as well as making qualitative notes. When awarding points for each sub-element, the reviewers noted down the page numbers which provided evidence supporting their judgement. The note column was also used by reviewers to justify and explain why points were awarded, in case of extreme variation between reviewers' marks.

After the individual analysis was completed, the point totals and comments of each reviewer were typed up into a single scorecard for each GDS. These scorecards included all raw data. The scorecards were then reviewed by a third party, and the variation between the first and second reviewers' marks were reviewed (see Figure 6).

Any sub-element score variation of more than two was highlighted and, upon completion, all typed scorecards were given back to the reviewers. The two reviewers then went through the highlighted scores together, explaining and justifying how they came up with their individual scores. This was done with each reviewer's individual scorecards and a hard copy of the relevant GDS. This process ensured that each reviewer understood how the other reviewer came to their score. After deliberation, a final score was decided upon by the two reviewers.

For the next *GDS Index* update, scores will not be carried across. Instead all operational GDSs will be scored by two new reviewers, irrespective of whether they were previously scored.

**The Government Department Strategies Index New Zealand Scorecard**

| 1 Opportunities and Threats | 2 Capabilities and Resources | 3 Vision and Benefits | 4 Approach and Focus | 5 Implementation and Accountability | 6 Alignment and Authority |
|---|---|---|---|---|---|
| **1.1** Does it identify opportunities going forward? | **2.1** Does it identify current and future capabilities? | **3.1** Does it provide a clear vision as to what success would look like (a desired future condition)? | **4.1** Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other? | **5.1** Does it identify who is responsible for implementing the GDS? | **6.1** Does it discuss predecessors to the strategy and identify any lessons learnt from these? |
| **1.2** Does it identify threats going forward? | **2.2** Does it identify what capabilities it does not have and needs to acquire or work around? | **3.2** Does it identify who the beneficiaries are and how they will benefit? | **4.2** Does it identify a range of strategic options to solve the problem? | **5.2** Does it identify who will report on its progress? | **6.2** Does it align with its department's SOI? |
| **1.3** Does it contain a clear statement describing the problem that this strategy is trying to solve? | **2.3** Does it identify current and future resources? | **3.3** Does it describe how success will be measured and over what time frame? | **4.3** Does it clearly describe the chosen approach, outlining what it will and will not do? See 'the approach' in part II. | **5.3** Does it explain how progress will be reported (e.g. reports and statistics) and over what time frames? | **6.3** Does it align with its department's 4YP? |
| | **2.4** Does it identify what resources it does not have and needs to acquire or work around? | | **4.4** Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)? | **5.4** Does it discuss whether the GDS will undergo a final review once it is completed, updated or expired? | **6.4** Does it align with its department's annual report? |

## 4.5 Limitations

The GDS analysis has three general limitations:

1. The *Scorecard* is designed to examine the content of the strategy document. Therefore, no judgement is made in regard to the quality of the problem definition (i.e. whether the strategy is appropriate given the current policy landscape), the cleverness of the strategic approach or the proficiency as to how the strategy is envisaged to be implemented.

2. The *Scorecard* does not review whether the strategy has been implemented and what outcomes actually resulted from its implementation. Although an important exercise, this question is beyond the scope of the analysis, as the resources required to carry this out would be beyond those of the Institute.

3. The Institute is highly reliant on the accuracy of the government departments' OIA responses. Therefore, when a department advises the Institute that a strategy is no longer in operation, this is the advice acted upon. For example, even though we have been advised by third parties that LINZ's Geospatial Strategy is still operational by third parties, the Institute has acted on the LINZ OIA, which states that this strategy is no longer in operation. This raises issues over whether departments that hold a GDS have the right to archive it and whether there is a hierarchy of strategies, some of which stem across a range of departments and therefore their removal should be agreed on by a number of departments.

Specific limitations of the analysis include:

- Some GDSs were added to the list after the *2015 GDS Index* and deleted before *2018 GDS Index* as departments indicate that the GDS was no longer operational (i.e. in between *GDS Index* updates). To keep track of these GDSs, a list has been provided in *Working Paper 2019/02 – Lists of Government Department Strategies Between 1 July 1994 and 31 December 2018.*

- The *Scorecard* did not analyse the drafting history of the GDS and whether this included consultation and engagement from the public. It does not look at the extent to which the public collaborated in its vision or outcomes. In retrospect, this would have been a valuable element to analyse in the GDSs.

- A level of judgement was necessary when carrying out the analysis of GDSs against the *Scorecard*. Similarly, setting the elements themselves and the values attributed to each sub-element was a wholly subjective exercise based on the Institute's position of what makes a strategy 'good'. Therefore, those who undertake a similar analysis may reach different results, due to the use of a different metric or differences in the values awarded to each *Scorecard*.

- The reviewers' judgements as to the accessibility of the GDS to public servants and the public (featured in the three qualitative questions at the bottom of each *Scorecard*) may not be agreed upon by all. These judgements reflect the opinion of the Institute's evaluators, and as such they are subjective. The reviewers strived, however, to take a moderate and representative approach in their answers.

- As explained in Section 4.4 of this working paper, the scores of five of the six elements have been carried forward for the GDSs already on the *GDS Index*. This was considered acceptable given one of the reviewers has scored all three *GDS Indexes* published to date. For the next *GDS Index* update, scores will not be carried across. This means all GDSs will undergo a completely new assessment. This will also give the Institute an opportunity to review the *Scorecard*.

- Where departments did not have publicly available strategic instruments (the statement of intent, annual report or four-year plan), the analysis under element 6 (*Alignment and Authority*) was limited, as the reviewers could not assess the integration of the GDS with the missing strategic document. In this case, so as not to unfairly punish the GDS with a low mark, we calculated the average score for the surrounding sub-elements of element 6 and gave this score to the missing sub-element.

As our intention is to provide comprehensive analysis of GDSs published over the last 25 years, we welcome feedback on this working paper and the *GDS Index*.

# Glossary

**Approach (also known as 'strategic approach')**
The term indicates the 'means' to an end. The approach is unique to a department and indicates the method the department has chosen to adopt to bring about change. More broadly the term is similar to the term strategy.

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

**Good strategy**
Determining what makes a good strategy is a matter of judgement. In the *GDS Index*, six high-level characteristics are considered essential for good strategies – these are called elements. Under each element there are three or four sub-elements that describe components of the element in more detail.

**Government department**
The term 'government department' refers to the entities on the list of 'Departments of the State Service' in Schedule 1 of the State Sector Act 1988.

**Government department strategy**
To be a 'government department strategy' the following criteria must be met. The document must:

1.  Be a publicly available statement or report;

2.  Be generated by government departments with a national rather than a local focus;

3.  Contain long-term thinking presented in such a way that the strategy links to a long-term vision or aim, and ideally provide clarity over the factors that may impinge on the attainment of that vision or aim; and

4.  Guide the department's thinking and operations over the long term (i.e. contain a work programme to achieve change over two years or more).

**Points**
Points are allocated to each sub-element. In the *GDS Index* there are 22 sub-elements. Twenty of these were given four points each for a reviewer to score. The remaining two (sub-elements 1.3 and 3.3) were each allotted eight points. This additional weighting was allocated to recognise the importance of these sub-elements. The highest possible total in the *GDS Index* is 96 points.

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

**Reviewer**
A person who read the GDS and then scored the GDS against the *Scorecard*.

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

**Scorecard**
The *Scorecard* is the lens through which each GDS has been assessed. The *Scorecard* is made up of six elements and 22 sub-elements.

**Sector**
The term 'sector' refers to the ten groupings of departments based on the summary tables of the Estimates of Appropriations in Treasury's most recent Budget. The *2018 GDS Index* uses the sectors from Treasury's 2018 Budget.

**Strategic options**
The term 'strategic options' refers to the range of options a government department might explore before deciding on the best approach. Organisations often refer to the term strategic options when exploring a range of different approaches. Exploring a range of strategic options often leads to a new and improved approach.

**Strategy**
A strategy maintains a balance between ends and means. Professor Lawrence Freedman suggests that strategy is 'about identifying objectives; and about the resources and methods available for meeting such objectives. This balance requires not only finding out how to achieve desired ends but also adjusting ends so that realistic ways can be found to meet them by available means' (Freedman, 2013, p. xi).

**Strategy maps**
Strategy maps provide 'the visual framework for integrating the organization's objectives [and] illustrates the cause-and-effect relationships that link desired outcomes'.' (Kaplan & Norton, 2004, p. 55).

**Sub-element**
In the *GDS Index* there are 22 sub-elements, which reflect the different components of the six elements.

# Appendix 1: How to create the OIA Excel

*Note: This explains exactly how this process was done so that it can be repeated by future McGuinness Institute staff.*

The *Lists* working paper is produced as part of Stage 1 – Data collection for any *GDS Index* update. It forms the foundation data from which stages 2 and 3 can be completed – i.e. the scoring and analysis work.

Outlined below is the process by which the raw data for a *GDS Index* update is collected. As in any research process, the process for gathering and refining the data is amended and refined as issues and questions are raised and answered, and so a degree of back and forth between process stages is to be expected. Specific issues and questions are considered in the technical questions section at the end of this appendix.

**Inputs**
Previous Master Excel (to be saved as new Master Excel)
Sector tables from the latest Budget rounds
Schedule 1 of the State Sector Act 1988 as it lists the official names of government departments

**Process**
Email out OIA request of possible status of GDSs held by the department
Create OIA Excel document of all responses
Create folders of all GDSs in operation (hard and soft copies)

**Outputs**
New Master Excel
This data is used to create *Working Paper 2019/02* and update the *GDS Index* website

## Stage 1 – Preparing OIA Requests

1.  Compile a list of all currently operational government departments using the information provided by the State Services Commission.

2.  Compile a list of all government department CEO names and their contact emails, as well as the general OIA email for each government department.

3.  Prepare an OIA Excel sheet for each government department. It should have two tables.

Table 1 lists the GDS documents already recorded by the McGuinness Institute as held by that government department. The government department indicates whether each document is an operational GDS as at the cut-off date for analysis (in the case of the *2018 GDS Index*, 31 December 2018). If the GDS is indicated to no longer be operational, the government department indicates its expiry date and whether it was replaced (and if so, what it was replaced by). The government department is asked to provide this information even if responsibility for that particular document has been transferred to another government department.

## Stage 2 – Processing OIA responses

Once the government departments have answered the OIA requests, their responses provided must be processed to determine whether the new GDSs fit the McGuinness Institute criteria to be considered a GDS and to formulate the additions and deletions lists.

Gather the collected information by:

(i)     Printing out all correspondence with each government department,

(ii)    Printing out all Excel spreadsheets that each government department has prepared,

(iii)   Printing out all new PDFs provided by government departments, and

(iv)    Filing these documents by department (alphabetically) and in date order of GDS document (most recently published first) in a white folder.

Review each OIA response to determine whether respondents have provided the Institute with any new documents and, if so, whether these align with the Institute's definition of a government department strategy (GDS). See Section 4.2 of this working paper for the definition.

Each GDS provided in the OIA responses is colour-coded:

• Archived/expired GDSs are coded orange.

• Operational GDSs are coded yellow.

• GDSs which fall outside the cut-off date for this year's Index but will be analysed in future years are coded blue.

Once this coding is completed, each GDS identified as operational will be reviewed. Some of these GDSs will have been carried over from the previous year's *GDS Index* and therefore are already in the Master Excel.

# Appendix 2: How to create the Master Excel

*Note: This explains exactly how this process was done so that it can be repeated by future McGuinness Institute staff.*

The Master Excel is updated with each *GDS Index* update. It tracks all GDS documents from 1994–present day (in this case, 31 December 2018).

**Table 3: Master Excel columns defined**

| Information sought | Objective | Explanation |
|---|---|---|
| Government sector | To establish which sector each GDS comes under. | • This information is found in the *Handbook, Working Paper 2019/02 – Lists*, and *Working Paper 2019/03 – Scoring Tables*.<br><br>• This information derives from the sector list determined by the summary tables of Estimates of Appropriations in the most recent Budget (in the case of the *2018 GDS Index,* the 2018 Budget). |
| Name of strategy on *GDS Index* | To establish a unique and easily identifiable name for each GDS while avoiding repetition. | • This information is found in the *Handbook, Working Paper 2019/02 – Lists*, and *Working Paper 2019/03 – Scoring Tables*.<br><br>• This information is taken from the front cover of the GDS, where necessary with the following modifications:<br>  – If 'the', 'New Zealand', 'NZ', a government department name or acronym is at the beginning or end of a GDS title, it is removed.<br>  – Subtitles are not included unless there is no other way of knowing what the GDS concerns.<br>  – If branding (usually a statement or slogan linking various documents together as part of a series or collection) is present on the document cover, it is not considered part of the title.<br>  – For example, the cover of Corrections' GDS *Health and Safety Strategy 2016–2020* has the text 'Everyone Safe Every Day' prominently displayed, but is not part of the title.<br><br>• English and Te Reo titles, where present, are both used, and in the order they are presented on the GDS document's cover. For consistency, and to ensure that they are presented with equal weighting, English and Te Reo are separated by an en dash (as opposed to a colon, which would suggest a hierarchical or explanatory relationship between the languages as titles).<br>  – For example, the cover of DIA's GDS *Te Huri Mōhiotanga Hei Uara: Nga Tohutohu Rautaki Ki 2030 – Turning Knowledge into Value: Strategic Directions to 2030*.<br><br>• Years or year ranges are only included to help distinguish GDSs from one another (e.g. if similarly titled GDSs might otherwise be easily confused).<br>  – For example, the GCSB and NZSIS's joint strategy *Diversity and Inclusion Strategy 2017–2020* and MFAT's *Diversity and Inclusion Strategy 2018–2028.* |
| In operation as at 31 December 2018 | To establish that the GDS is operational for the year end to which the *GDS Index* concerns. | • This information is found in the *Handbook, Working Paper 2019/02 – Lists*, and *Working Paper 2019/03 – Scoring Tables*.<br><br>• This information is indicated in the working papers with yes/no. In the *Handbook* this is indicated with the *2018 GDS Index* number (i.e. GDSXXX).<br><br>• Confirmed via OIA (as stated durations in the GDSs themselves can change without the documents themselves being updated). |

| Information sought | Objective | Explanation |
|---|---|---|
| Original publication date | To establish the year and month each GDS is published in. | • This information is found in the *Handbook, Working Paper 2019/02 – Lists,* and *Working Paper 2019/03 – Scoring Tables.*<br><br>• The publication date (year and month) is taken from the GDS itself (the front cover or inside cover). If the GDS document does not indicate its publication date, its department's website is checked for any indication of when the GDS was published. If a date cannot be found this way the Internet is checked for press releases, web pages or other documents to determine proof of publication. If the date still cannot be located, this information is sought through OIA and follow up communications.<br><br>• Date ranges for publication dates are only used in certain circumstances.<br>   – For example, IRD's *Our Corporate Strategy* was found to be a collection of six separate 'strands', which together form a GDS. These strands were published separately, from May to September 2016. As a result, the date of publication for this GDS is indicated with a month range, rather than a single publication date (as May–September, 2016).<br>   – For example, a specific month-year publication date for Corrections' *National Historic Heritage Strategy* could not be found.  It was established through correspondence that it was published between October and December 2013, and so the publication date was recorded as 'October–December, 2013'. |
| Strategic approach | To establish, in a statement, what the GDS is at its core (essentially, what is the strategy?). | • This information is found in the *Handbook* and *Working Paper 2019/03 – Scoring Tables.*<br><br>• The strategic approach is a statement generated by Institute staff in order to articulate, briefly, what the strategy is. |
| Duration | To first establish the length of time that the GDS is intended to be in operation for (year range and number of months), and second to help understand how the GDSs fit into a tendency towards political short-termism or long-termism. | • This information is found in the *Handbook* and *Working Paper 2019/02 – Lists.*<br><br>• Presented as year–year (number of months)<br><br>• The duration, in the first instance, is taken if a year range is stated on the cover of the GDS document. If a month is included as part of the range it is assumed to be the equivalent month in the end year as well (for example, if published in June 2014 and indicated to last ten years, assumed to end in June 2024).<br><br>• If a date range is indicated within the date range (e.g. 2017/18–2020/21), the earliest years from each range are taken (i.e. 2017–2020).<br>   – For example, the front cover of MoT's *Government Policy Statement on Land Transport* gives year ranges for its duration: 2018/19–2027/28. The duration was recorded as 2018–2027.<br><br>• If there is no year range stated by the GDS, the year of publication is taken as the start date and the end date is recorded as NK ('Not Known'). |

| Information sought | Objective | Explanation |
|---|---|---|
| | | • Sometimes the duration dates and the publication date of a document do not align.<br>    – For example, the *National Civil Defence Emergency Management Strategy* was published in March 2008, but its duration was indicated in the inside cover as beginning in 2007 (there was no end date indicated). As a result, this GDS has been recorded as having a publication date of March, 2008, and a duration of 2007–NK. |
| Number of pages | To determine the length of GDS documents. This also helps to establish the range of lengths of GDS documents. | • This information is found in the *Handbook* and *Working Paper 2019/02 – Lists.*<br><br>• This information is found by counting the number of pages printed. The front cover counts as page 1 and each page up to the very back cover (irrespective of whether there is text on the page) is included in the count.<br><br>• For GDS documents printed on A3 paper, each half of one side of an A3 page counts as two pages. |
| Signed by (general) | To establish the level at which the GDS is publicly signed without identifying the specific signatory. | • This information is found in the *Handbook* and *Working Paper 2019/02 – Lists.*<br><br>• This information is derived from the next row, 'Signed by (detail)', with the signatories categorised into the following: 'Crown', 'Chief Executive' ('CE'), 'Department staff (other than CE)', 'Not signed', 'Other' [if someone other than the above], or combinations of these, for example Chief Executive and other department staff. 'Director-General', 'Secretary to…', Comptroller (NZCS), Government Statistician (StatsNZ) and Commissioner (SSC) are considered in this context to be at the same level as CE, so are recorded as CE.<br><br>• Surveyor-General (LINZ), Convenor (MoT) and Deputy Chief Executive/Deputy Director-General were not considered in this context to be at the same level as CE, and so were recorded as 'Other'. |
| Signed by (detail) | To establish the level at which the GDS is publicly signed by identifying the specific signatory. | • This information is found in *Working Paper 2019/02 – Lists.*<br><br>• This information is found in the GDS document, usually through a signed foreword or similar, and is not sought anywhere else. The title, name and office of the signatory (e.g. Hon Name of Minister, what they are minister of; name, position in organisation) is recorded.<br>    – Note: This section highlights information made public by the GDS document itself. If the document does not give a person's name it is treated as not signed. The Institute is aware of GDS documents that are not signed, but have been officially signed off by relevant parties such as Cabinet. For example, *The New Zealand Migrant Settlement and Integration Strategy*, archived for the *2018 GDS Index* update, was not signed. However, the strategy itself (as opposed to the document) was signed off by Cabinet. To obtain this additional information for all GDSs is beyond the scope of this research. |

| Information sought | Objective | Explanation |
|---|---|---|
| Published during a Labour or National-led Government | To track which governments have produced which GDSs. | • This information is found in *Working Paper 2019/02 – Lists*.<br><br>• This information is determined by the McGuinness Institute by comparing the publication date (see row above) against the dates the governments held office. |
| This GDS replaces | To record the history of strategies over time. | • This information is found in the *Handbook* and *Working Paper 2019/02 – Lists*.<br><br>• This information is found through the name of previous strategy (either indicated in the GDS or by OIA and correspondence).<br><br>• If the earlier GDS was held by a different department to the one it is replaced by, note this information in brackets along with the year of publication.<br>  – For example, the *Energy Strategy* is currently held by MBIE, and replaced the *National Energy Efficiency and Conservation Strategy* (2001), originally held by MfE. |
| Originally published by | To record who originally published the GDS. | • This information is found in the *Handbook* (under the heading 'Transferred from') and the *Working Paper 2019/02 – Lists*.<br><br>• This information is looked for in the first instance in the GDS document. It is then confirmed by the OIA and correspondence. If it is not in the GDS document, it is obtained by the OIA and correspondence.<br>  – For example, the *National Civil Defence Emergency Management Strategy* was originally published by the Department of Internal Affairs (DIA), but is currently owned by the Department of Prime Minister and Cabinet (DPMC). Ownership of the GDS was transferred from DIA to DPMC after the Christchurch earthquakes. This was confirmed to the research team via an OIA request. |
| Jointly held with | To record which GDSs are held by more than one government department | • This information is found in the *Handbook* and *Working Paper 2019/02 – Lists* (under the 'Originally published by' column).<br><br>• This information is looked for in the first instance in the GDS document. It is then confirmed by the OIA and correspondence. If the information is not in the GDS document, it is obtained by the OIA and correspondence.<br><br>• GDSs held by more than one department are included as a GDS for each department.<br>  – For example, the GDS *Mātauranga Whakauka Taiao – Environmental Education for Sustainability* is jointly held by the Department of Conservation and the Ministry for the Environment. It is included in the *Handbook* in both departments with two GDS numbers. |
| Transferred to | To establish where the GDS is transferred to if it is no longer owned by the government department that originally published it. | • This information is found in *Working Paper 2019/02 – Lists*.<br><br>• This information is looked for in the first instance in the GDS document. It is then confirmed by the OIA and correspondence. If the information is not in the GDS document, it is obtained by the OIA and correspondence. |

## Resulting technical questions

1.   **What happens when a department is disestablished?**

     Note that the department was disestablished. Ensure that none of its GDSs have been passed on to another department. An example of this is the Canterbury Earthquake Restoration Authority (CERA). CERA was disestablished on 18 April 2016 and therefore is excluded from our analysis (DPMC, 2017). When this agency was disestablished its GDSs were not transferred to any other agency.

2.   **What happens when a new department is established between GDS Index updates?**

     Add this department into the analysis. For example, Te Kāhui Whakamana Rua Tekau mā Iwa—Pike River Recovery Agency was established by the State Sector (Te Kāhui Whakamana Rua Tekau mā Iwa—Pike River Recovery Agency) Order 2017 on 11 December 2017, and therefore qualifies for the *2018 GDS Index*.

3.   **What happens if there is more than one GDS in a document?**

     If a government department publishes two GDSs in one PDF document but indicates in their OIA response that these are two distinct GDSs, they are treated as two separate GDSs. These GDSs may have been combined in one PDF as they are part of the same work programme, or for another reason unknown to the Institute. An example of this appeared in 2014 when MBIE specified in their response table that there were two GDS documents in their table, but in their attachments these two documents were combined into one PDF. These documents were: *Energy Strategy* (2011) and *Energy Efficiency and Conservation Strategy 2011–2016* (2011), and as stated, these have been analysed as two separate GDSs.

4.   **How are Excel worksheets and hard copy folders of departments ordered?**

     Alphabetically – the order of departments as in Schedule 1 State Sector Act 1988 with one exception – a small modification has been made in that Ministry for the Environment and Ministry for Women have been changed around so the list is alphabetical (which we assume was the original intention).

     Each time the *GDS Index* is updated, an updated version of Schedule 1 of the State Sector Act 1988 is used. This is the record of which government departments exist. This is one of the first steps that needs to be taken before sending out Official Information Act requests, as this will determine the full list of who needs to be contacted. To access this, follow the steps below.

     (i)   Go to legislation.govt.nz.

     (ii)  Search for the State Sector Act 1988.

     (iii) Click on the 'versions and amendments' tab on the upper right-hand side.

     (iv)  Ensure the version that you are viewing now (as indicated with brackets) is the appropriate one for the time period of the *GDS Index* update.

     (v)   Download the PDF of this version. Print Schedule 1 and use this as the copy for determining the list of operational government departments.

     (vi)  Alternatively, if a historic version of the legislation is sought, find the version that is appropriate and download the PDF of this version.

5.  **How do you check that one GDS has been updated rather than replaced?**

    If the original strategy and the updates are not substantially different and follow a similar approach, they are treated as having not been updated in the sense that they have been replaced (i.e. they have not been archived). For the purposes of the *GDS Index*, the original publication date is treated as the publication date in all cases.

6.  **What happens if a GDS has been archived by a department before a replacement strategy is made public?**

    If a new strategy replaces an archived strategy, there may be a time gap between the original strategy being archived and its replacement being published. In all cases we follow the directive of the OIA response from the department as to whether the GDS is operational for the purposes of the *GDS Index*. For example, LINZ advised in November 2018 that their GDS *Understanding Our Geographic Information Landscape: A New Zealand Geospatial Strategy: A Coordinated Approach to Location Information* (published in January 2007 and listed on the *2015 GDS Index*) was no longer current. They also advised that it had been taken down from the LINZ website (with work underway on a replacement). It is therefore not listed on the *2018 GDS Index*.

7.  **Does a previous GDS, which is replaced by general text on a department's website (and not dated) meet the Institute's GDS definition?**

    No, a GDS must be a position 'statement' or a 'report' at a fixed point of time. If the text can be easily changed on a website, in our view it is not a corporate document for the purposes of the *GDS Index*. This has only become an issue with the *2018 GDS Index* update. For example, *The New Zealand Migrant Settlement and Integration Strategy*, approved by Cabinet in 2014 and led by Immigration New Zealand (as part of MBIE), was initially summarised in 2014 as a hard copy document and so was placed on the *2015 GDS Index*. More recently, Immigration New Zealand replaced the 2014 document with updated content on the Immigration New Zealand website outlining the strategic approach and cross-government implementation activities.[3] This poses a dilemma – does something written on a department's website without a specific date of publication meet the Institute's definition of a GDS? For the *2018 GDS Index* it does not.

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3     See www.immigration.govt.nz/about-us/what-we-do/our-strategies-and-projects/how-we-support-migrants.

# Appendix 3: How to create the Scorecard Excel

*Note: This explains exactly how this process was done so that it can be repeated by future McGuinness Institute staff.*

Aside from the two sub-elements which were weighted with values of eight (in order to represent their greater importance), each sub-element was scored in whole numbers out of four. Although this resulted in a total possible score of 96 (which is not the most intuitive total – 100 being the obvious choice), this decision was made to encourage reviewers to judge each GDS as precisely as possible. The reviewers had to consider the sub-element score carefully, as they were unable to pick the uncontroversial 'middle mark' (three, if the sub-elements were scored out of five, for example).

Jointly held GDSs are scored once. The scores are used for each mention of the GDS. The only exception to this rule is for scoring sub-elements 6.2, 6.3 and 6.4, as they involve comparisons between the GDS document and other corporate documents published by the respective government departments.

**Inputs**
New *GDS Index* Master Excel (from Appendix 1)
Previous *GDS Index* Scorecard Excel Document (to be saved as new Scorecard Excel)
Folder of all GDSs in operation (hard copies)
Scorcard forms (i) Reviewer 1 (in pink), (ii) Reviewer 2 (in green) and (iii) Combined (in yellow)

**Process**
Reviewers complete the scoring process

**Outputs**
New *GDS Index* Scorecard Excel
This data is used to create *Working Papers 2019/03–04* and radar charts

**Figure 8: Scorecard Excel structure**
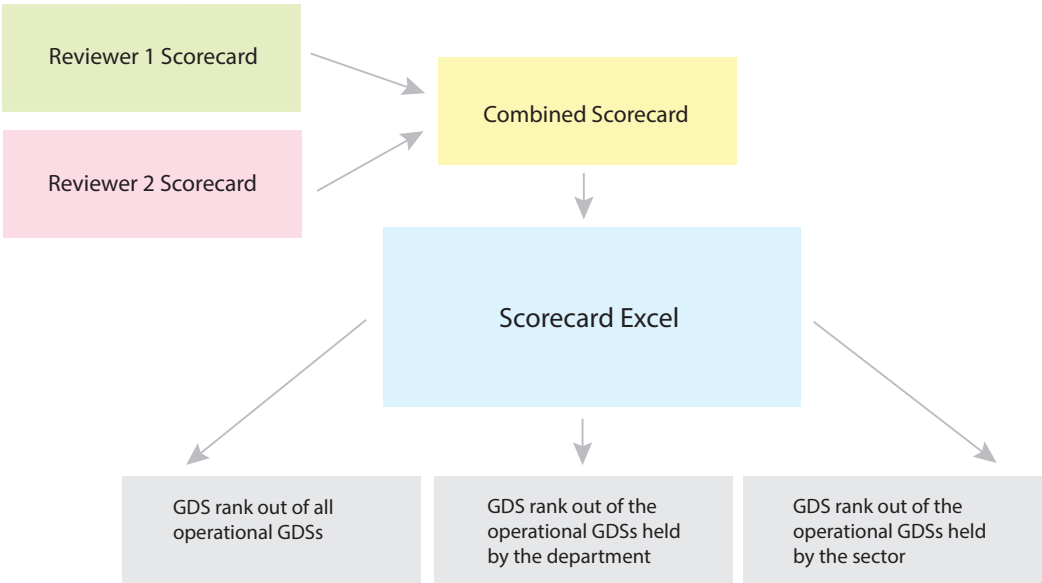
## Element 1: Opportunities and Threats

*What is the external environment?*

1.1 Does it identify opportunities going forward?

1.2 Does it identify threats going forward?

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

**Sub-element 1.1. Does it identify opportunities going forward? [4 points]**

The purpose of this question is to assess whether the GDS in question has outlined the opportunities which may come about within the focus area if the strategy is implemented. Points are awarded based on the following scale:

0 **points**: The GDS makes no mention of any opportunities which may result if the strategy is implemented.

2 **points**: The GDS mentions opportunities which may result if the strategy is implemented, but they are not discussed in detail.

4 **points**: The GDS discusses comprehensively the opportunities which may result if the strategy is implemented. Examples and scenario case studies may be used, for example.

**Sub-element 1.2. Does it identify threats going forward? [4 points]**

The purpose of this question is to assess whether the GDS has outlined the threats which may result within the focus area if the strategy is implemented. Points are awarded in the following way:

0 **points**: The GDS makes no mention of threats which may result from the implementation of its strategy.

2 **points**: The GDS mentions some threats which may result from the implementation of its strategy in minimal detail only. No examples are included.

4 **points**: The GDS discusses comprehensively the threats which may result from the implementation of the GDS. Examples are included.

**Sub-element 1.3. Does it contain a clear statement describing the problem that this strategy is trying to solve? [8 points]**

This question examines whether the GDS clearly identifies the problem on which it focuses and aims to solve. This is important as a succinct identification of the issue is necessary for both the public and the public servants reading the GDS. This question was given a weight of eight points to represent its importance. Points are awarded in the following way:

0 **points**: The GDS makes no reference to the specific problem.

2 **points**: The GDS makes reference to the problem, but with no supporting detail.

4 **points**: The GDS makes reference to the problem, but the discussion of its nature and extent is limited, with no supporting evidence or examples.

6 **points**: The GDS discusses the specific issue it is focusing on, with reference to evidence describing the current situation. However, discussion is short or lacks depth.

**8 points**: The GDS makes detailed reference to the problem and describes its nature and extent. The GDS provides concrete details and supporting examples to illustrate any complexities of the problem.

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## Element 2: Capabilities and Resources

*What are the internal strengths and weaknesses?*

2.1 Does it identify current and future capabilities?

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

2.3 Does it identify current and future resources?

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

### Sub-element 2.1. Does it identify current and future capabilities? [4 points]

This question examines whether the GDS outlines the capabilities currently available and necessary for implementation of the GDS. It asks whether this stocktake of capabilities also takes into account when and how they will be used in the future. Points are awarded in the following way:

**0 points**: The GDS makes no mention of current capabilities.

**2 points**: The GDS mentions capabilities currently available, but detail is limited.

**4 points**: The GDS discusses available capabilities, and it details comprehensively when and how these will be used to implement the GDS in the future.

### Sub-element 2.2. Does it identify what capabilities it does not have and needs to acquire or work around? [4 points]

This question examines whether the GDS outlines the capabilities which are necessary for the implementation of the GDS but are currently lacking. It asks whether identifying which capabilities are lacking constructively discusses ways to account for or work around this need. Points are awarded in the following way:

**0 points**: The GDS makes no mention of missing capabilities.

**2 points**: The GDS mentions missing capabilities, but detail is limited. There is no discussion of how to work around the identified missing capability, resource or skill.

**4 points**: The GDS discusses missing capabilities, and it details comprehensively ways in which this can be accounted for or worked around so that the vision is still achieved.

### Sub-element 2.3. Does it identify current and future resources? [4 points]

This question examines whether the GDS outlines the resources available to its lead agency for its implementation. It asks whether this identification of available resources discusses when and how they will be used in the future. Points are awarded in the following way:

**0 points**: The GDS makes no mention of current and future resources.

**2 points**: The GDS mentions current and future resources, but detail is limited.

**4 points**: The GDS discusses available current and future resources, and it details comprehensively how and when these will be used to implement the strategy.

**Sub-element 2.4. Does it identify what resources it does not have and needs to acquire or work around? [4 points]**

This question examines whether the GDS outlines the resources which are necessary for its implementation but are currently lacking. It asks whether this identification of lacking resources constructively discusses ways to account for or work around this need. Points are awarded in the following way:

**0 points**: The GDS makes no mention of missing resources.

**2 points**: The GDS mentions missing resources, but detail is limited. There is no discussion of how to work around the lack of resources.

**4 points**: The GDS discusses missing resources, and it details comprehensively ways in which this can be accounted for or worked around so that the vision is still achieved.

## Element 3: Vision and Benefits

*What is the purpose?*

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

3.2 Does it identify who the beneficiaries are and how they will benefit?

3.3 Does it describe how success will be measured and over what time frame?

**Sub-element 3.1. Does it provide a clear vision as to what success would look like (a desired future condition)? [8 points]**

This question examines whether the GDS illustrates what its successful end output/s will look like. To achieve clear illustration of its vision, the GDS must give readers a detailed understanding of the outputs which will result from its implementation. Points are awarded in the following way:

**0 points**: The GDS's vision is not clearly stated or is absent altogether.

**2 points**: The GDS states its vision in limited detail, with no explanation of desired end outputs.

**4 points**: The GDS states its vision in limited detail, with some explanation of end outputs desired.

**6 points**: The GDS discusses a detailed image of what it is aiming to achieve, but without examples.

**8 points**: The GDS provides a detailed description of its vision, with examples of desired end outputs and their connection to the strategic goals of the GDS.

**Sub-element 3.2. Does it identify who the beneficiaries are and how they will benefit? [4 points]**

This question examines how well the GDS analyses who will benefit from its implementation and how they will benefit. Points are awarded in the following way:

**0 points**: The GDS does not articulate who will benefit from the GDS.

**2 points**: The GDS articulates who will benefit from the GDS, but discussion of how they will benefit is poor and lacks detail.

**4 points**: The GDS articulates who will benefit from the GDS in detail, and it discusses the specific nature of this benefit.

**Sub-element 3.3. Does it describe how success will be measured and over what time frame? [4 points]**

This question examines the quality of the GDS's description of its implementation time frame and its description of indicators of its success. Points are awarded in the following way:

**0 points**: The GDS makes no reference to dates or time frames by which its goals should be implemented. There is no discussion of how its success will be indicated.

**2 points**: The GDS refers to the time frame in which the GDS's goals will be implemented, but these time frames are not specific. There is limited and undetailed mention of how success will be measured.

**4 points**: The GDS refers to the time frame in which the GDS's goals will be implemented in detail, with specific dates included at points. There is discussion of how each goal is linked to the overarching timeframe, and the measures of success are highly detailed.

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## Element 4: Approach and Focus

*What choices and trade-offs have been made?*

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

4.2 Does it identify a range of strategic approaches to solve the problem?

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

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

**Sub-element 4.1. Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other? [4 points]**

This question examines whether the GDS deconstructs its vision into measurable, separate goals. It focuses on whether the GDS identifies and isolates the various stages necessary for achieving the GDS's vision. Points are awarded in the following way:

**0 points**: The GDS's vision is not broken down, and there is no discussion of specific, separate goals.

**2 points**: The GDS states its goals but does not explain how these relate to the end output, and it does not provide any detail as to how they differ from one another.

**4 points**: The GDS states its goals and goes into specific detail as to how each of these contribute to the end output. There is supporting and differentiated detail accompanying each goal, with useful information such as time frames attached.

**Sub-element 4.2. Does it identify a range of strategic options to solve the problem? [4 points]**

This question examines whether the GDS has taken into account alternative strategic options which could address the problem it focuses on. Points are awarded in the following way:

**0 points**: The GDS makes no reference to other possible strategic options to address the problem.

**2 points**: The GDS makes reference to alternative strategic options in minimal detail and with no supporting evidence or examples.

**4 points**: The GDS makes detailed reference to alternative strategic options, with a comprehensive discussion of the opportunities and threats of implementing these other various options.

**Sub-element 4.3. Does it clearly describe the chosen approach, outlining what it will and will not do? See 'the approach' in part II. [4 points]**

This question examines whether the GDS has clearly described its approach. It asks whether it has described the reasons why it chose one approach over others and if there is subsequent reference to what the GDS will not do. The Institute distinguishes between approach and strategic options, see the glossary in this working paper. Points are awarded in the following way:

**0 points**: The GDS does not discuss why some strategic options were chosen over others.

**2 points**: The GDS discusses why its strategic options were chosen, but it does not discuss why other options would not be as effective.

**4 points**: The GDS discusses comprehensively why it is the most effective approach. There is full consideration of other strategic options and the reasons for their rejection. It clearly describes its approach.

**Sub-element 4.4. Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)? [4 points]**

This question examines whether the GDS has taken into account the negative or unintended impacts which may arise in its focus area due to its implementation. Points are awarded in the following way:

**0 points**: The GDS does not discuss unintended impacts which may arise due to its implementation.

**2 points**: The GDS includes a brief and shallow discussion of some negative and unintended impacts which may arise due to its implementation.

**4 points**: The GDS includes a full discussion of the negative and unintended impacts which may arise due to the implementation of the GDS, and this is supported by specific details or scenarios.

## Element 5: Implementation and Accountability

*Who is responsible for what?*

5.1 Does it identify who is responsible for implementing the GDS?

5.2 Does it identify who will report on its progress?

5.3 Does it explain how progress will be reported (e.g. reports and statistics) and over what time frames?

5.4 Does it discuss whether the GDS will undergo a final review once it is completed, updated or expired?

**Sub-element 5.1. Does it identify who is responsible for implementing the GDS? [4 points]**

This question examines whether the GDS clearly identifies who is responsible for the GDS and therefore who is accountable for its results. Points are awarded in the following way:

0 **points**: The GDS does not state the name of any person as being responsible for its results.

2 **points**: The GDS states the name of the person/people responsible for its results but is not signed.

4 **points**: The GDS provides the name and the signature of the person/people responsible for the GDS, and it is clear that this person/group is accountable for its results.


**Sub-element 5.2. Does it identify who will report on its progress? [4 points]**

This question examines whether the GDS outlines who will report on the progress of the GDS (whether it be an individual, department, organisation, etc.). This is important in order for a reader to understand whom they may contact regarding the progress of the GDS. Points are awarded in the following way:

0 **points**: There is no mention in the GDS of who will report on its progress.

2 **points**: The GDS states who will report on its progress, but provides no further details about them or their role in relation to the GDS.

4 **points**: The GDS clearly outlines who will report on the GDS, providing their details and their specific role in relation to the GDS.


**Sub-element 5.3. Does it explain how progress will be reported (e.g. reports and statistics) and over what time frames? [4 points]**

This question examines whether the GDS discusses reporting of its progress. This is important as successful implementation of a GDS requires comprehensive progress reporting to ensure results are as intended, and if not, that there is adaptation. Points are awarded in the following way:

0 **points**: The GDS does not discuss how its progress will be reported.

2 **points**: The GDS discusses methods or timeframes for reporting its progress but in limited detail.

4 **points**: The GDS refers comprehensively to methods and timeframes for the reporting of its progress. Further, there is discussion of possible responses to a need for adaptation of the GDS.


**Sub-element 5.4. Does it discuss whether the GDS will undergo a final review once it is completed, updated or expired? [4 points]**

This question examines whether the GDS has stated when and how it will be reviewed once its implementation is complete. Points are awarded in the following way:

0 **points**: The GDS does not refer to any arrangements for future review.

2 **points**: The GDS states that it will need to be reviewed, but there is no further detail as to how this will occur.

4 **points**: The GDS outlines in specific detail the arrangements for future review.

## Element 6: Alignment and Authority

*How does it align with the machinery of government?*

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

6.2 Does it align with its department's statement of intent?

6.3 Does it align with its department's four-year plan?

6.4 Does it align with its department's annual report?

### Sub-element 6.1. Does it discuss predecessors to the strategy and identify any lessons learnt from these? [4 points]

This question examines whether the GDS refers to any predecessors to the strategy. It focuses also on the GDS's discussion of lessons learnt from the success or failure of these strategic predecessors and whether it considers these lessons in the context of its goals. Points are awarded in the following way:

**0 points**: The GDS makes no reference to its predecessors or the strategic context in which it is situated.

**2 points**: The GDS refers to its predecessors (or to the wider strategic context if it has no predecessors); however, there is no discussion of the lessons learnt from these.

**4 points**: The GDS refers in comprehensive detail to its predecessors (or to the wider strategic context if it has no predecessors). It discusses the lessons learnt from these predecessors (or the wider strategic context) in relation to its goals.

### Sub-element 6.2. Does it align with its department's statement of intent? [4 points]

This question examines the extent to which the GDS aligns with its department's statement of intent. The scoring for this question illustrates if the GDS has been referred to in its department's statement of intent explicitly, implicitly or not at all. Points are awarded in the following way:

**0 points**: The GDS is not referenced in its department's statement of intent.

**2 points**: The GDS is implicitly referenced in its department's statement of intent.

**4 points**: The GDS is explicitly referenced in its department's statement of intent.

If a GDS's department lacks a statement of intent, the GDS receives the average of the scores for sub-elements 6.1–6.4 (excluding the score for 6.2).

### Sub-element 6.3. Does it align with its department's four-year plan? [4 points]

This question examines the extent to which the GDS aligns with its department's four-year plan. The scoring for this question illustrates if the GDS has been referred to in its department's four-year plan explicitly, implicitly or not at all. Points are awarded in the following way:

**0 points**: The GDS is not referenced in its department's four-year plan.

**2 points**: The GDS is implicitly referenced in its department's four-year plan.

**4 points**: The GDS is explicitly referenced in its department's four-year plan.

If a GDS's department lacks a four-year plan, the GDS receives the average of the scores for sub-elements 6.1–6.4 (excluding the score for 6.3).

**Sub-element 6.4. Does it align with its department's annual report? [4 points]**

This question examines the extent to which the GDS aligns with its department's annual report. The scoring for this question illustrates if the GDS has been referred to in its department's annual report explicitly, implicitly or not at all. Points are awarded in the following way:

**0 points: The GDS is not referenced in its department's annual report.**

**2 points**: The GDS is implicitly referenced in its department's annual report.

**4 points**: The GDS is explicitly referenced in its department's annual report.

If a GDS's department lacks an annual report, the GDS receives the average of the scores for sub-elements 6.1–6.3.

Please note: For this analysis to remain up to date for each GDS as it remains on the *GDS Index* over the course of multiple years, it is necessary to re-analyse each GDS against the relevant corporate documents every time we do the analysis. This is to ensure that we are giving each GDS the most up-to-date analysis possible. This involves re-analysing the alignment sub-elements 6.2–6.4. Each government department's most up-to-date GDS will need to be printed out, and a PDF copy saved. The search is undertaken as described above.

In addition, scoring jointly held GDSs against element 6 means that the GDS is scored against the corporate documents of the government department it is listed under. As a result, jointly held GDSs may have different final scores.

## Stage 2: Scoring GDSs using the scoring forms

In addition to the GDS scoring against the *Scorecard*, the scoring forms (see Figures 9–11) also asked the following questions to gather information on the vision, strategic approach and strategy maps contained in the GDSs.

**Vision (the end goal):**
This is taken from the GDS, and is a close paraphrase to keep it concise. The page number is also provided for referencing purposes.

**Strategic approach (the means to the end goal):**
Both reviewers write up their understanding of the strategic approach. This is further edited and discussed until a final understanding is agreed.

**Does the GDS contain a strategy map (an illustration of the strategic approach)?**
The Institute considers that strategy maps could be better utilised. Our goal is to keep a record of these and benchmark progress over time. The objective is to identify an illustration that contains the objective, the actions and how they integrate towards bringing about change. The bar set for identifying where an illustration is a strategy map is set quite low. Both reviewers identify potential strategy maps. These are then copied into a hard copy folder. These are reviewed by other members of the team.

# Figure 9: Form 1 – Reviewer 1 scoring form (green)

## Questions section

*1 – Does the GDS contain an illustration of the strategy/approach? If so, what page?*

*2 – Describe the selected approach/strategy in one sentence below. How does the department plan to use the broader environment in which it exists (element 1) to leverage its strengths and embrace its weaknesses (element 2) so that it can provide benefits in accordance with its vision (element 3)?*

*3 – If a public servant new to the policy area had an hour to read this GDS, would they be able to understand the approach (element 4) and the implementation and review processes (element 5)?*

*4 – If an uninformed member of the public had 30 minutes to read this GDS, would they be able to understand the purpose (element 3), the approach (element 4), the implementation and review processes (element 5) and how this approach fits with the broader goals of government (element 6)?*

*5 – Other comments:*

## Government Department Strategy Reviewer 1 Scorecard (as at 31 Dec 2018)

NB: The order of this scorecard does not reflect the order we expect the GDS to follow, but is the order we expect the GDS to be formulated in.

Name of GDS:
Government Department:
GDS number (GDSXXX):

| | | Possible Score | Actual Score | Reviewer 1 comments |
|---|---|---|---|---|
| **1.** | **Opportunities and Threats** *What context: Does it explore the ecosystem in which this strategy fits?* | | | |
| 1.1 | Does it identify opportunities going forward? | 4 | | |
| 1.2 | Does it identify threats going forward? | 4 | | |
| 1.3 | Does it contain a clear statement describing the problem that this strategy is trying to solve? | 8 | | |
| **2.** | **Capabilities and Resources** *What assets: Does it outline the capabilities and resources the department has to help solve this problem?* | | | |
| 2.1 | Does it identify current and future capabilities (e.g. skills, partnerships/relationships)? | 4 | | |
| 2.2 | Does it identify what capabilities it does not have and needs to acquire or work around? | 4 | | |
| 2.3 | Does it identify current and future resources (e.g. financial)? | 4 | | |
| 2.4 | Does it identify what resources it does not have and needs to acquire or work around? | 4 | | |
| **3.** | **Vision and Benefits** *Why this is important: Does it describe why the department should solve this problem?* | | | |
| 3.1 | Does it provide a clear vision as to what success would look like (a desired future condition)? | 8 | | |
| 3.2 | Does it identify who the beneficiaries are and how they will benefit? | 4 | | |
| 3.3 | Does it describe how success will be measured and over what time frame? | 4 | | |
| **4.** | **Approach and Focus** *Why this approach: Does it describe how the department will solve the problem?* | | | |
| 4.1 | Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other? | 4 | | |
| 4.2 | Does it identify a range of strategic approaches to solve the problem? | 4 | | |
| 4.3 | Does it clearly describe the chosen approach, outlining what it will and will not do? | 4 | | |
| 4.4 | Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)? | 4 | | |
| **5.** | **Implementation and Accountability** *Who: Does it identify who is implementing and reviewing the GDS?* | | | |
| 5.1 | Does it identify who is responsible for implementing the GDS? | 4 | | |
| 5.2 | Does it identify who will report on its progress? | 4 | | |
| 5.3 | Does it explain how progress will be reported (e.g. reports and statistics) and over what time frames? | 4 | | |
| 5.4 | Does it discuss whether the GDS will undergo a final review once it is completed, updated or expired? | 4 | | |
| **6.** | **Alignment and Authority** *With: Does it align with the wider machinery of government?* | | | |
| 6.1 | Does it discuss predecessors to the strategy and identify any lessons learnt from these? | 4 | | |
| 6.2 | Does it align with its department's SOI? (horizontal alignment) | 4 | | |
| 6.3 | Does it align with its department's 4YP? (horizontal alignment) | 4 | | |
| 6.4 | Does it align with its department's annual report? (horizontal alignment) | 4 | | |
| **TOTAL** | | 96 | | |

**Figure 10: Form 2 – Reviewer 2 scoring form (pink)**

1 – Does the GDS contain an illustration of the strategy/approach? If so, what page?

2 – Describe the selected approach/strategy in one sentence below. How does the department plan to use the broader environment in which it exists (element 1) to leverage its strengths and embrace its weaknesses (element 2) so that it can provide benefits in accordance with its vision (element 3)?

3 – If a public servant new to the policy area had an hour to read this GDS, would they be able to understand the approach (element 4) and the implementation and review processes (element 5)?

4 – If an uninformed member of the public had 30 minutes to read this GDS, would they be able to understand the purpose (element 3), the approach (element 4), the implementation and review processes (element 5) and how this approach fits with the broader goals of government (element 6)?

5 – Other comments:

## Government Department Strategy Reviewer 2 Scorecard (as at 31 Dec 2018)

NB: The order of this scorecard does not reflect the order we expect the GDS to follow, but is the order we expect the GDS to be formulated in.

Name of GDS:
Government Department:
GDS number (GDSXXX):

| | | Possible Score | Actual Score | Reviewer 2 comments |
|---|---|---|---|---|
| **1.** Opportunities and Threats | *What context: Does it explore the ecosystem in which this strategy fits?* | | | |
| 1.1 | Does it identify opportunities going forward? | 4 | | |
| 1.2 | Does it identify threats going forward? | 4 | | |
| 1.3 | Does it contain a clear statement describing the problem that this strategy is trying to solve? | 8 | | |
| **2.** Capabilities and Resources | *What assets: Does it outline the capabilities and resources the department has to help solve this problem?* | | | |
| 2.1 | Does it identify current and future capabilities (e.g. skills, partnerships/relationships)? | 4 | | |
| 2.2 | Does it identify what capabilities it does not have and needs to acquire or work around? | 4 | | |
| 2.3 | Does it identify current and future resources (e.g. financial)? | 4 | | |
| 2.4 | Does it identify what resources it does not have and needs to acquire or work around? | 4 | | |
| **3.** Vision and Benefits | *Why this is important: Does it describe why the department should solve this problem?* | | | |
| 3.1 | Does it provide a clear vision as to what success would look like (a desired future condition)? | 8 | | |
| 3.2 | Does it identify who the beneficiaries are and how they will benefit? | 4 | | |
| 3.3 | Does it describe how success will be measured and over what time frame? | 4 | | |
| **4.** Approach and Focus | *Why this approach: Does it describe how the department will solve the problem?* | | | |
| 4.1 | Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other? | 4 | | |
| 4.2 | Does it identify a range of strategic approaches to solve the problem? | 4 | | |
| 4.3 | Does it clearly describe the chosen approach, outlining what it will and will not do? | 4 | | |
| 4.4 | Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)? | 4 | | |
| **5.** Implementation and Accountability | *Who: Does it identify who is implementing and reviewing the GDS?* | | | |
| 5.1 | Does it identify who is responsible for implementing the GDS? | 4 | | |
| 5.2 | Does it identify who will report on its progress? | 4 | | |
| 5.3 | Does it explain how progress will be reported (e.g. reports and statistics) and over what time frames? | 4 | | |
| 5.4 | Does it discuss whether the GDS will undergo a final review once it is completed, updated or expired? | 4 | | |
| **6.** Alignment and Authority | *With: Does it align with the wider machinery of government?* | | | |
| 6.1 | Does it discuss predecessors to the strategy and identify any lessons learnt from these? | 4 | | |
| 6.2 | Does it align with its department's SOI? (horizontal alignment) | 4 | | |
| 6.3 | Does it align with its department's 4YP? (horizontal alignment) | 4 | | |
| 6.4 | Does it align with its department's annual report? (horizontal alignment) | 4 | | |
| TOTAL | | 96 | | |

# Figure 11: Form 3 – Reviewer 1 and 2 Combined scoring form (yellow)

## Quantitative Responses

GDS Combined Scorecard — Government Department:

GDS Title:

Quantitative Responses: — Date:

| Variable | Original Reviewer 1 | Original Reviewer 2 | Combined Variation | Combined Final |
|---|---|---|---|---|
| **1 Opportunities and Threats** | | | | Element 1 Final Total: |
| 1.1 Does it identify opportunities going forward? | /4 | | | |
| 1.2 Does it identify threats going forward? | /4 | | | |
| 1.3 Does it contain a clear statement describing the problem this strategy is trying to solve? | /8 | | | |
| **2 Capabilities and Resources** | | | | Element 2 Final Total: |
| 2.1 Does it identify current and future capabilities (e.g. skills, partnerships/relationships etc)? | /4 | | | |
| 2.2 Does it identify what capabilities it does not have and needs to acquire or work around? | /4 | | | |
| 2.3 Does it identify current and future resources (e.g. financial)? | /4 | | | |
| 2.4 Does it identify what resources it does not have and needs to acquire or work around? | /4 | | | |
| **3 Vision and Benefits** | | | | Element 3 Final Total: |
| 3.1 Does it provide a clear vision as to what success would like (a desired future condition)? | /8 | | | |
| 3.2 Does it identify who the beneficiaries are and how they will benefit? | /4 | | | |
| 3.3 Does it describe how success will be measured and over what time frame? | /4 | | | |
| **4 Approach and Focus** | | | | Element 4 Final Total: |
| 4.1 Does it break down the vision into a number of strategic goals/objectives that are tangible, specific and different from each other? | /4 | | | |
| 4.2 Does it identify a range of strategic approaches to solve the problem? | /4 | | | |
| 4.3 Does it clearly describe the chosen approach, outlining what it will and will not do? | /4 | | | |
| 4.4 Does it highlight the risks, costs and benefits of the chosen pathway/approach (e.g. possible unintended consequences)? | /4 | | | |
| **5 Implementation and Accountability** | | | | Element 5 Final Total: |
| 5.1 Does it identify who is responsible for implementing the GDS? | /4 | | | |
| 5.2 Does it identify who will report on its progress? | /4 | | | |
| 5.3 Does it explain how progress will be reported (e.g. reports and statistics) and over what time frame? | /4 | | | |
| 5.4 Does it discuss whether the GDS will undergo a final review once it is completed, updated or expired? | /4 | | | |
| **6 Alignment and Authority** | | | | Element 6 Final Total: |
| 6.1 Does it discuss predecessors to the strategy and identify any lessons learnt from these? | /4 | | | |
| 6.2 Does it align with its department's SOI? (horizontal alignment) | /4 | | | |
| 6.3 Does it align with its department's 4YP? (horizontal alignment) | /4 | | | |
| 6.4 Does it align with its department's annual report? (horizontal alignment) | /4 | | | |
| **Total scores** | | | | |

## Qualitative Responses

| Question | Original Reviewer 1 | Original Reviewer 2 | Combined Variations | Combined Final |
|---|---|---|---|---|
| Does the GDS contain an illustration of the strategy/approach? If so, what page? | | | | |
| Describe the selected approach/strategy in one sentence below. How does the department plan to use the broader environment in which it exists (element 1) to leverage its strengths and embrace its weaknesses (element 2) so that it can provide benefits in accordance with its vision (element 3)? | | | | |
| If a public servant new to the policy area had an hour to read this GDS, would they be able to understand the approach (element 4) and the implementation and review processes (element 5)? | | | | |
| If an uninformed member of the public had 30 minutes to read this GDS, would they be able to understand the purpose (element 3), the approach (element 4), the implementation and review processes (element 5) and how this approach fits with the broader goals of government (element 6)? | | | | |
| Other comments: | | | | |

# Appendix 4: How to create the radar charts

*Note: This explains exactly how this process was done so that it can be repeated by future McGuinness Institute staff.*

> **Input**
> New Scorecard Excel
>
> **Process**
> See below
>
> **Outputs**
> This data is used to create the radar charts for the *Handbook*
> The *GDS Index* website is updated with PDFs of all profiles, as per the relevant *Handbook* page

## Stage 1: How to make the radar chart

1. Open the Adobe Illustrator radar chart file. The easiest thing to do is open a file from last year's radar charts and 'Save As' using the new GDS number. Once the new file is made, the process can begin.

2. Title every new Adobe Illustrator (.ai) file with the date and the GDS number, for example '20190323 GDS001'. Save these in the appropriate folder on the S Drive. These radar charts do not need to be exported; they should remain .ai files.

3. Open the prepared Scorecard Excel containing the GDS's scores and average GDS score. This is where the data will be found. The best way to have the data displayed is in sector groupings so the radar charts in each sector can be made at the same time, meaning only one row of numbers needs to be replaced each time that particular sector is finished.

4. Unlock the text layer and change the GDS number on the bottom right corner (see below for image). Remember to lock this layer again. Check the file name and the GDS number in the corner are the same.

5. Click the blue fill layer and delete the current blue fill.

6. With the black cursor right-click on the radar diagram and click 'data'.

**Figure 12: Stage 1 – Radar chart showing 'Data' detail**
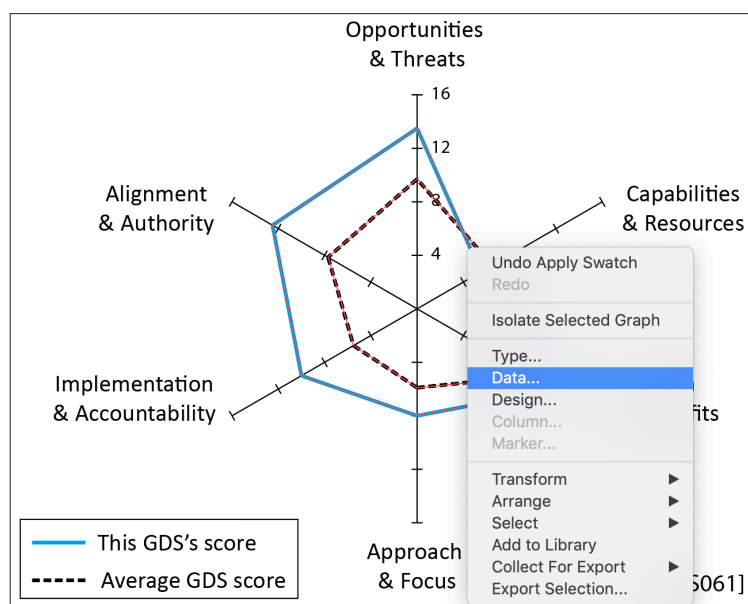
7.  Transpose the row/column (second button from the left).

### Figure 13: Stage 2 – Transpose the 'Data'



8.  Add new data for each GDS. The top row will be the GDS scores and the bottom row is the average GDS score overall. The bottom row does not need to be changed after it has been inserted the first time as these numbers never change.

### Figure 14: Stage 3 – Titles for 'Data'



9.  Transpose the row/column.

### Figure 15: Stage 4 – Image of 'Data'



10. The final data box should look like this:

### Figure 16: Stage 5 – Image prior to creating the radar chart



11. Click apply (the big tick in the top right corner).

12. Right-click radar diagram with black cursor.

13. Next, use the white cursor and hold down the Shift key to unselect the six lines for each of the data groups shown on the radar chart (i.e. this GDS and the average GDS score). It should look like this:

**Figure 17: Stage 6 – Initial image before deleting excess data**
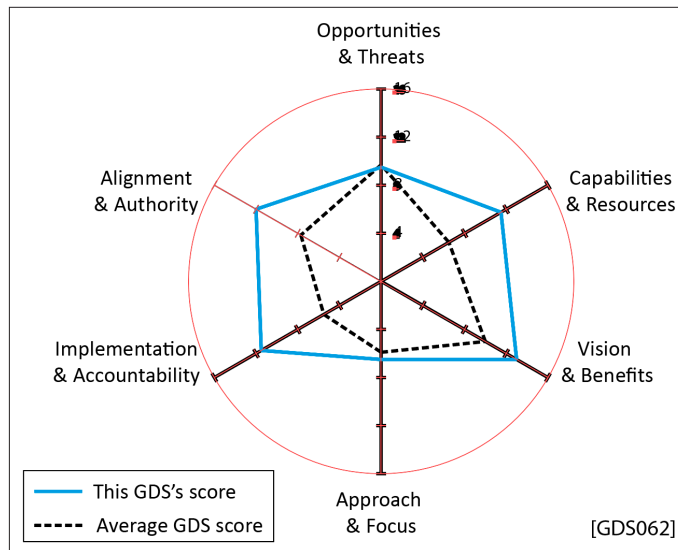


14. Now delete the rest of the radar chart.

15. Using the white cursor on the radar layer select the six blue lines while holding down the shift key (The GDS's score).

**Figure 18: Stage 7 – Image after deleting excess data**
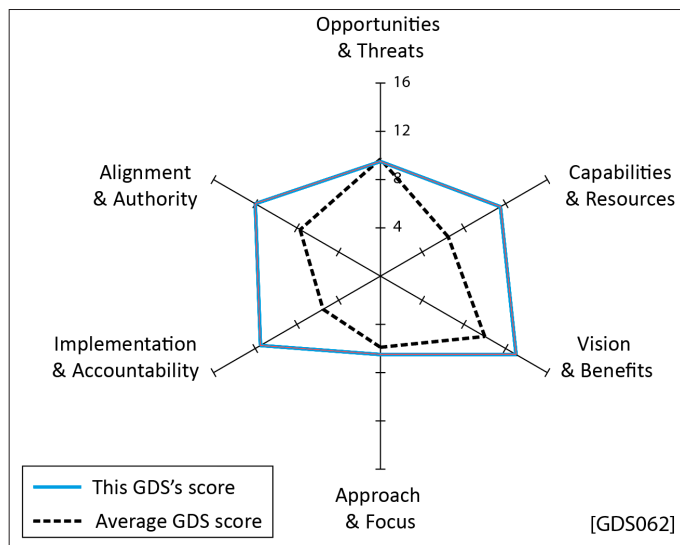


16. Copy the blue line then switch to the blue fill layer.

17. Press Command + Alt + shift + V which will paste the six lines in the exact same place on the new layer.
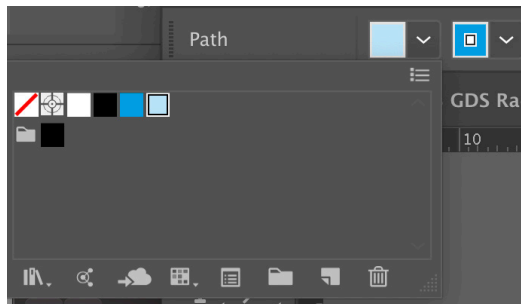
18. On the blue fill layer right-click on the radar chart and select join. Blue circles will appear on the inside on the blue lines.

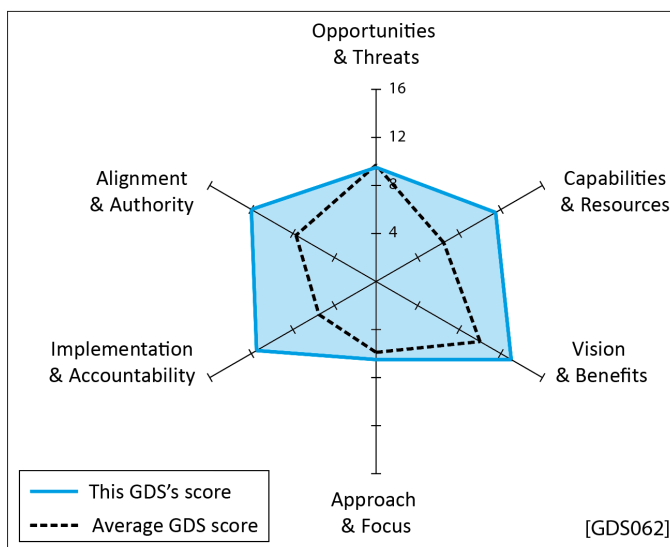**Figure 19: Stage 8 – Copying and joining the GDS score lines**
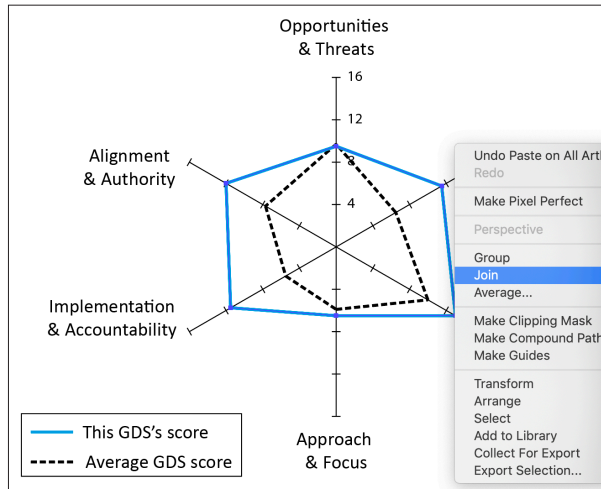


19. Fill this with light blue.

**Figure 20: Stage 9 – Filling the unique GDS score**



20. The final radar chart will look like this:

**Figure 21: Stage 10 – Final radar chart**



21. Save the .ai file.

22. 'Save As' with the new GDS number as the filename and repeat the above steps.

## Stage 2: How to insert the radar chart into the Handbook and working papers

**Preparing file to be merged**

1. 'Save As' a copy of the Scorecard Excel and save file name as '[today's date] data for radars'.

2. Double-check the new saved file is being used, not the master copy.

3. Delete all rows and columns that are not needed. Do not hide these.

4. Delete the header row so that the shorter headings row is in row 1.

5. Save document as a CSV file.


**Merging the file**

This is to be done by the designer in InDesign and Illustrator.

1. The radar charts will need to be entered into each page of the *Handbook*.

2. Each radar chart must be checked to ensure data is correct and no random symbols appear (this will be the case for macrons, en dashes and any other symbol that is usually inserted).

3. Once the files have been checked and finalised they can be saved individually.

4. Save each file name with the GDS number (not the strategy name) as '[today's date] GDS XXX final radar'.