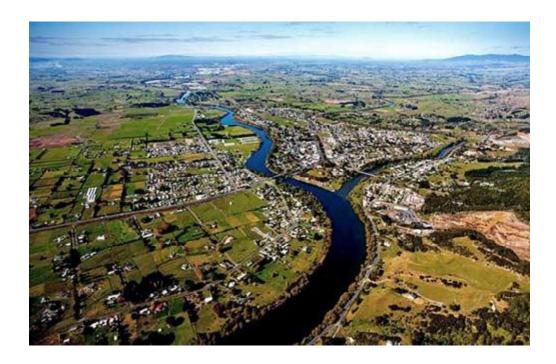# Collaboration in the Waikato catchment

A description of the establishment phases of the Healthy Rivers Wai Ora project from a council practitioner's perspective

Collaboration in the Waikato catchment

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Ngā mihi aroha ki a koutou, ngā rākau teitei o tēnei kaupapa.

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Executive Summary

Waikato Regional Council and Waikato and Waipa River Iwi have embarked on a collaborative process to develop limits, targets and methods to achieve water quality in the Waikato River catchment. Recognising the need to share lessons from collaborative processes, the Ministry for the Environment (MfE) commissioned this case study of freshwater planning and management processes in the Waikato catchment. This case study of the Healthy Rivers Wai Ora (HRWO) project highlights the practicalities of implementing a comprehensive collaborative process to design water quality policy. The focus is on the establishment and early implementation phases of this project.

The HRWO project has a unique governance structure which oversees a 25-person Collaborative Stakeholder Group (CSG). Eight two-day workshops were held in 2014 with a further year's work projected for 2015. Systems and processes have been established to support these workshops, and a change to the Waikato Regional Plan is expected to be notified upon their completion.

This document covers five aspects of the collaborative process developed for the Waikato catchment.

- The HRWO project context, including the purpose of collaboration, governance and project structure (Section 2). This section emphasises the importance of matching the engagement level to the complexity of the policy problem, and being clear about the commitment to collaborate and what that means to different parties.

- The stakeholder and community engagement strategy, including the theory behind the strategy and analysis of how the CSG fits with the broader community engagement process (Section 3). It emphasises the importance of staying connected to the broader community through multiple strategies, beginning with sufficient pre-planning of the engagement approach to ensure a wide net is cast in the information gathering stages.

- The establishment phase of the CSG, including lessons learnt in the design and formation of the group (Section 4). It emphasises the importance of a broadly inclusive approach to creating the stakeholder group to raise awareness, increase participation and model a commitment to collaboration. Collectively generating a set of neutral criteria for the preferred composition of the group with stakeholders and communicating the decision-making pathway reduces uncertainty, allowing for a robust and balanced output.

- The implementation phase of the CSG, including frameworks used and systems and processes implemented to design and run each workshop (Section 5). The value of robust engagement frameworks, participatory meeting design and a clear and appropriate decision-making process for the collaboration process is emphasised. Strong coordination and clear systems and processes for managing the intensity, interfaces and inputs necessary in a collaborative process is essential.

a. The interface between council staff and the CSG, including opportunities and challenges occurring at these interfaces (Section 6). It emphasises the value of understanding the range of interfaces in a collaborative process and the importance of supporting council staff to clarify roles and responsibilities in these processes. New skills and working styles will be necessary for staff supporting collaborative processes.

The HRWO project in the Waikato catchment has highlighted the need for ongoing support to develop collaborative practice in councils. A focus on improving role clarity for staff involved

in these processes will be helpful and specific investigation of the interface between technical expertise (policy, mātauranga, western science) and collaborative processes warrants further investigation.

Organisations participating in collaborative approaches can expect a challenging and enriching experience and the advancement of critical, hard-to-solve policy issues as many new voices come to the plan-making table.

Fortunately, many strategies are being put in place to develop organisational capacity and skills to collaborate, such as MfE's programme to support the implementation of collaborative processes.

The definition of success in collaborative processes, including robust evaluation of their effectiveness alongside evaluation of the effectiveness of consultative processes is essential as debate continues about what is the 'right way' to collaborate.

1.   Introduction

Waikato Regional Council and Waikato and Waipa River Iwi have embarked on a collaborative process to develop limits, targets and methods to achieve water quality in the Waikato River catchment. Recognising the need to share lessons from collaborative processes, the Ministry for the Environment (MfE) has initiated several new programmes of work. These include:

- identifying best practice for freshwater planning, including collaborative processes;
- commissioning case studies of freshwater planning and management processes; and
- developing support tools and facilitating discussions with practitioners to help inform the guidance it can give local government.

This document supports MfE's implementation work programme by completing a case study of the Healthy Rivers Wai Ora Plan for Change/He Rautaki Whakapaipai (HRWO). It describes the important establishment and implementation phases of this project. These are the stages of collaborative processes where councils and iwi set expectations with the community about how the process will proceed, secure the resources to undertake such a process, and establish the foundations for the collaborative relationship.

Purpose of this document

Therefore, the purpose of this document is to:

1. share knowledge about the collaboration process in the Waikato catchment;[1]
2. provide practical information for those initiating collaborative processes in councils; and
3. capture reflections from council staff about the initiation of the process and the operation of the collaborative group in its first year.

One of the outputs in 2016 will be a change to the Waikato Regional Plan. This plan change must give effect to settlement and co-management legislation relating to the Waikato and Waipa River catchments, as well as to the National Policy Statement for Freshwater Management and the Waikato Regional Policy Statement. The collaboration began in 2011 after council confirmed its readiness to collaborate, and established the Healthy Rivers Wai Ora Plan for Change/ He Rautaki Whakapaipai (HRWO) project.

Since that time, a unique governance structure has been developed to oversee the project. Under this umbrella, a 25 person Collaborative Stakeholder Group (CSG) was formed to facilitate community and sector input. Eight two-day workshops were held in 2014 with a further year's work projected for 2015. Systems and processes have been established to support these workshops, and a change to the Waikato Regional Plan is expected to be notified at the completion of these workshops.

Outline

This document is divided into the five sections described below.

- The HRWO project context, including the purpose of collaboration, governance and project structure.

- The stakeholder and community engagement strategy, including the theory behind the strategy and analysis of how the CSG fits with the broader community engagement process.

- The establishment phase of the CSG, including lessons learnt in the design and formation of the group[2].

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[1] Waikato catchment includes the Waikato and Waipa Rivers and their tributaries.

- The implementation phase of the CSG, including frameworks used and systems and processes implemented to design and run each workshop.
- The interface between council staff and the CSG, including opportunities and challenges occurring at these interfaces.

Definitions

The establishment phase refers to the pre-planning or set-up stage of the collaborative process, before stakeholders began meeting as a collaborative group. This phase lasted approximately two years from 2011-2013. During this time iwi-council decision-making structures were created and resources established in the WRC Long Term Plan (Table 1). The creation of the decision-making structures and securing of resources is described in Section 2. This section focuses on the design and formation of the CSG. Table 1 outlines the key tasks undertaken in the two phases described in this report.

Table 1: The key tasks of the establishment and implementation phases

Phase	Objectives and tasks
Establishment phase Approximately 2011-2013	i. Establishing a new joint iwi-council decision-making and management structure. ii. Developing a stakeholder engagement strategy. iii. Defining project scope. iv. Establishing a commitment to collaborate. v. Undertaking stakeholder analysis. vi. Developing a business case for collaboration. vii. Securing resource in the LTP. viii. Developing the project structure. ix. Implementing the project team. x. Identifying key engagement and project risks. xi. Developing messages and communications material. xii. Designing the CSG. xiii. Drafting Terms of Reference for the CSG. xiv. Appointing the CSG's Interim Chairperson, Facilitator and support staff. xv. Drafting Terms of Reference for technical input.
Implementation phase Approximately January – October 2014	i. Planning and operation of the CSG workshops. ii. Confirming Terms of Reference. iii. Agreeing decision-making process. iv. Agreeing Code of Conduct. v. Designing themes and detail of the CSG. vi. Establishing systems and processes. vii. Defining and clarifying the staff-CSG interface.

Audience

This case study focuses on the experiences of key council contributors at the establishment and implementation stage of the collaborative process. Its intention is to share their practical experience of what they did, the reasons for those actions and reflections on those actions for the benefit of other councils, stakeholders and the broader community. A focus will be on the practicalities of implementing collaborative processes including:

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[2] It should be noted that the CSG is in the process of continuously tailoring the way its workshops run to better suit its needs and preferences. However the focus of this case study is the establishment and early implementation phases of the project from approximately 2011-2014.

- lessons learnt around establishing and supporting a collaborative group;
- implications for the professional development of council staff and others; and
- ways to best integrate collaborative processes with council business and plans[3].

Method, ethics and quality assurance

The case study methods used included:

- a desktop review of project documents; and
- contributions from key staff and contractors who were central to the establishment and implementation phases of the collaborative process.

The quality assurance standards applied to this case study are those specified by the:

- International Association for Public Participation (IAP2); and
- Aotearoa New Zealand Evaluation Association.

A case study of a collaborative process must be completed in a way that respects the participants in the process. In this case, the principal purpose is to shed light on the establishment and implementation of a collaborative process so that councils and other participants can learn from the experience and continue to improve the practice of collaboration.

However, collaboration in freshwater management planning is relatively new and means many things to many different people. From a social science perspective, there is no one right answer about 'how to do it'. Each collaboration project is unique. Nor is there one right answer on whether collaboration is proceeding successfully. Each process has multiple perspectives on its effectiveness.

Fortunately, there are a number of frameworks derived from the social sciences that can inform this value-based weighing and balancing. It is the role of social science to make sense of the complexity of human process. Therefore, this case study will complement other commentaries of collaborative processes which have been completed by those from other technical backgrounds and experiences, as well as those completed by social scientists such as evaluation professionals and social ecologists.

Therefore the approach taken in this case study was to:

- recognise the HRWO collaborative process is still in progress, and act with respect for those continuing to be part of the process;
- recognise that no single voice can claim jurisdiction over the design and evaluative judgements of collaborative processes and that this should be the jurisdiction of evaluation professionals;
- take the point of view that the lessons learnt about collaborative processes are highly context-specific, and therefore should be applied carefully in other contexts; and
- focus on the strengths of the Waikato process, speak honestly of the challenges, and strive to identify opportunities for continuous improvement.

Scope

This case study is a description of what was done, so that this knowledge can be made available to others. This case study focuses particularly on the experiences of staff contributing directly or indirectly into the engagement workstream.

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[3] Council business and plans include the Operative Waikato Regional Policy Statement, Waikato Regional Plan and Waikato Regional Council Long Term Plan.

The HRWO project is also pioneering a new way of bringing technical information into policy processes by having an independent panel of non-council experts. This initiative is not in scope for this report. However, the management of the biophysical, economic, Mātauranga and social science input into collaborative processes is an emerging area of focus for the Waikato process and would be worthy of further investigation as the project proceeds into policy design.

Linkages

The report will complement other related pieces of work and build a more comprehensive picture of collaborative processes occurring throughout the country. One important and related piece of work is Te Mana o Te Wai, an initiative run by MfE to provide guidance for councils about ensuring Te Mana o Te Wai is part of limit-setting processes under the National Policy Statement for Freshwater Management 2014. Another is a case study being prepared about the Canterbury collaborative process by Environment Canterbury staff in conjunction with MfE. Yet another is the process evaluation in place for the HRWO stakeholder group (an ongoing process engaging evaluation experts to help the CSG achieve continuous improvement).

Summary

In summary, this document provides an early snapshot of the Waikato catchment collaborative process during the set-up stages, sharing knowledge and practical information with other councils embarking on these processes. The project context, stakeholder engagement approach and the nuts-and-bolts of forming a collaborative group are described. The latter part of this case study gives an overview of the implementation and operation of the group, and outlines the challenges faced in managing the staff-CSG interface.

2.   Project context – the case for collaboration

Purpose of this section

This section outlines the project context which led to the decision to collaborate and summarises some of the steps taken to establish and implement the CSG. These steps included:

1. matching the policy problem to the level of engagement;
2. establishing the commitment to collaborate;
3. confirming the project decision making structures;
4. stakeholder analysis (matrix, interviews);
5. strategy design; and
6. implementation planning.

From an engagement point of view, the steps above are the planning stages of a collaborative process.

Matching the policy problem to the level of engagement

WRC and River Iwi spent approximately two years planning the HRWO collaboration, building a platform to implement legislation (such as Te Ture Whaimana o Te Awa o Waikato, the Vision and Strategy for Waikato River) and exploring the preferred engagement approach. There were several reasons for undertaking this planning work over a considerable period of time:

- co-management legislation containing directions for new processes was being interpreted and actioned by council and iwi;
- the complex nature of the policy problem required consideration of the appropriate approach;
- introduction of a new project management approach in the council led to the establishment of new structures and processes;
- introduction of a new way of bringing technical information into the process increased technical set-up time; and finally,
- the newness of collaborative approaches in statutory plan-making required planning, resourcing and risk management.

The favoured deliberative method at the time of creating the CSG was considered to be multi-stakeholder groups[4]. A policy problem is considered complex when some or all of the following conditions are present:

- the level of impact of the policy change is likely to be high;
- there is a wide range, and high number, of people, businesses and organisations that will be impacted;
- there are likely to be wide-ranging and challenging changes to processes and procedures for the organisations implementing the policy
- there is a high level of interest, and strongly held attitudes towards the policy problem; and
- the geographical area is large.

In terms of complexity, the Waikato catchment currently comes under the jurisdiction of approximately nine local authorities, five River Iwi with settlement Acts, and the Waikato River Authority. Land and water use includes cultural uses, energy, farming, fishing, forestry, horticulture, housing, manufacturing, recreation, tourism and water supply. In terms of water

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[4] See for example the Cynefin Framework (Cognitive Edge, 2015); and the Terms of Reference Phase One report of the Land and Water Forum (2010).

quality, the most significant use is farming, with approximately 5000 farms in the catchment, encompassing diverse climates, soils, landscapes, farm types and communities.

Achieving improvements to water quality in the catchment will require significant changes to the way land is managed. The change may be wide scale, involve complex land use change, be costly to implement and difficult to monitor. Furthermore, a climate of dissatisfaction exists with resource management policy-making from many sides of the values spectrum and consequently media interest is high.

These factors led to an assessment of the HRWO as complex, indicating the need for deliberative methods of engagement and placement of the project towards the 'involve' to 'collaborate' end of the spectrum of public participation (International Association of Public Participation, 2002).

Establishing the commitment to collaboration

The second step in the planning stage of the HRWO collaborative process was the development of a shared understanding of the meaning of collaboration. Twyfords (2011) refers to this stage of the process as the 'commitment to collaborate'. After thorough discussion, council and iwi agreed to use a collaborative approach and adopted the IAP2 definition of collaboration (IAP2, 2002) which looks to the public for advice and innovation in formulating solutions and incorporating this advice to the maximum extent possible. While considered by some as a conservative definition of collaboration, it was one that was appropriate to the Waikato context and an honest reflection of the authorising parties' commitment.

Confirming the project decision-making structures

The third step in planning a collaborative approach is the clarification of the decision-making structures. The intention here is to be explicit about process and criteria, so that the communities wishing to become part of the project understand who, how and where decisions will be made. Over the course of approximately 18 months, the focus of the project was on establishing structures that would support WRC and River iwi to connect around a decision-making table.

Supported by governance and executive, WRC moved to prioritise land and water policy by creating a special-purpose council subcommittee. As relationships developed between iwi and council, this was replaced by the Healthy Rivers Wai Ora Committee (HRWO Committee), consisting of equal numbers of trustees from the five iwi authorities and councillors from WRC, with Co-chairs appointed from each (Figure 1). Nonetheless, the capacity for River iwi to sustain involvement in the project over the course of the project was variable and a matter for ongoing discussion between the partners.
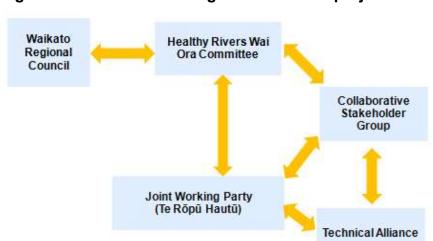
Figure 1: Outline of HRWO governance and project structures

Dialogue around the Terms of Reference of the HRWO Committee was also an area of intensive discussion, and views around its autonomy, appropriateness and effectiveness varied widely. However, from an engagement perspective, it bought clarity and integrity to the public participation process by providing a pathway for input and decisions. Facilitated workshops between iwi and council were used throughout this process to support these discussions, build relationships and co-create the project structure, plans and messages.

In parallel with the establishment of shared decision-making approaches, a new project structure evolved, with membership changing from technical staff to executives. The project structure now comprises:

- Te Rōpū Hautū (TRH) - a steering group of senior staff from iwi and council;
- a project sponsor - held by the Director: Science and Strategy, WRC;
- a project manager - held by a senior staff member, WRC; and
- a project team - comprising senior staff from a range of areas of WRC.

Stakeholder analysis and strategy design

The fourth step in the planning stages of the collaborative process was the stakeholder analysis. This refers to the use of engagement tools to research and understand who the relevant stakeholders are, their interests and concerns. The purpose of this analysis is to inform the design of stakeholder strategy to better meet stakeholder needs and increase the chances of successful input into the project. This stakeholder analysis is described in Section 3.

Lessons about project context

This section describes lessons from the HRWO project context for councils and others undertaking collaborative processes.

Take time to get the set-up right
- Embarking on a collaborative process should be a conscious choice by the relevant decision-making authorities, with strategies, policies and resources put in place to sustain this commitment.
- The planning and project set-up stages take longer than most key parties expect, and are highly iterative and conflicted. Advocate for sufficient time at the front-end of policy processes, to ensure resources are in place to give effect to collaboration.
- The meaning of collaboration should be understood, shared and clearly championed, preferably from the top down.
- Understand the difference between consultation and collaboration, and explore the meaning which stakeholders ascribe to collaboration in the early stages.
- Be aware that a commitment to collaborate can change over time - it may grow as players get more comfortable with a different way of working, or diminish with changes in the key players and priorities.
- Ensure the 'commitment to collaborate' is aligned with council's strategic direction and embedded in the Regional Policy Statement, Long Term Plan and preferably other partners' and stakeholders' plans.
- Understand the decision-making process and communicate it clearly to others.
- Avoid implementing too many new approaches into your organisation at once. It can stretch resources and there is a risk of over-promising and under-delivering on the collaborative promise.

Begin co-management discussions early
- Create early, ongoing and meaningful opportunities for dialogue with iwi. Expect rich contributions, new networks and an expanded circle of influence for the project as a result.

- If your council is embarking on co-management relationships, ensure the processes and resources are in place to support these new relationships, preferably prior to embarking on the collaborative process.
- Be aware of, and responsive to, the multiple commitments and responsibilities iwi office-holders undertake. Put in place multiple strategies for supporting their involvement in the collaborative process.

Internal stakeholder relationships and linkages are important
- Collaboration begins at home. Begin planning a collaborative process with staff early and secure their buy-in at programme and performance plan level.
- Consider the capacity of a council to commit to a collaborative process, including whether internal project management practices are well-established and contact management and other administration systems are in place. Create a culture where staff understand and use risk management plans as a preferred tool for channelling concerns, as this may increase the efficiency with which they are handled and reduce some of the uncertainties of a collaborative process.

Summary

This section summarised the HRWO context and overviewed the important planning and project set-up phases of the collaborative process. It emphasised the importance of matching the engagement level to the complexity of the policy problem, and being clear about the commitment to collaborate and what that means to different parties. From an engagement perspective, the more complex the project, the more desirable it is to employ deliberative approaches to solving policy problems. The value of putting decision-making structures in place to build clarity and confidence in the process was discussed.

In conclusion, the mandate for collaborative practices and the decision-making structures to support them were established by the decision-making parties of the HRWO project prior to starting the collaboration, allowing clear expectations to be set. This emphasis on planning and establishment of the 'commitment to collaborate' is consistent with good practice in the public participation sector. Nonetheless, the set-up stage takes longer than many key players expect, is highly iterative and appropriate resourcing can take time to establish. However, clear expectations and commitments at this stage create an important foundation upon which to build a collaborative project.

3.   The Stakeholder Engagement Strategy

Purpose of this section

The previous section described some of the key steps undertaken in the planning stages of HRWO. This section continues to outline the planning for the collaborative process, focussing on the design of the Engagement Strategy. This was the first comprehensive document about the project that was widely circulated within and outside council and, in response to the interest generated at council staff and governance level, the final version became a summary of key aspects of the project. The strategy development included several key design steps which included:

1. defining and identifying stakeholders;
2. seeking to fill gaps in knowledge about stakeholders;
3. prioritising stakeholders according to how impacted they would be by the project; and
4. information-gathering about stakeholders to understand their issues, concerns and preferred engagement methods.

Stakeholder analysis and design

Definition

The Engagement Strategy includes key sector interests, as well as broader community interests. HRWO commenced with a wide definition of stakeholders as 'those who are likely to be impacted by the project, and/or are able to influence the goals of the project'.

Identifying stakeholders

A long list of potential stakeholders was created based on interviews with key staff, governance and stakeholders, as well as other information sources such as the submissions database. This was aggregated into a spreadsheet allowing sorting and analysis by:

- individuals;
- groups and organisations;
- roles;
- sectors;
- interests and concerns;
- value that they might bring to the project and vice versa; and
- events, conferences, hui and other communication channels.

At that stage WRC's contact database was managed in multiple systems. Establishing a current spreadsheet with accurate contact information was time consuming, especially given that current email addresses were a priority piece of information. Administration resource was not immediately available and took time to negotiate and implement. Therefore, having robust processes in place to ensure a contacts database is maintained is essential.

Gap analysis

A gap analysis was completed to ensure a wide range of individuals, groups and interests were represented on the list. Because of the scale and potential impact of the policy, it was necessary to broaden the number and diversity of people in HRWO beyond those typically involved in council policy design processes.

In addition, council wanted to ensure that individual farmers were aware of the project, following their experience implementing other policy in the catchment. They considered council had a responsibility to communicate with individual farmers, as well as their representative bodies. Others were of the view that those who should be involved in the plan change were already known, and that staff should identify key stakeholders and form the group directly. This is a common consideration in any engagement planning process.

Prioritising stakeholders

Once an extended list of stakeholders was collated, staff were able to run a prioritisation process using a stakeholder matrix. These are commonly used in business settings when designing customer relationship strategies. The HRWO project adapted a business matrix suitable for a public organisation[5]. Stakeholders were prioritised against two criteria.

1. How significant the impact of the plan change was likely to be on that stakeholder.
2. How likely it would be that the stakeholder would be able to contribute to the policy goal of water quality.

This impact-influence assessment resulted in a list of key stakeholders for which strategies could be designed appropriate to the degree of impact of the policy on them, as well as their ability to influence the policy goal. In the HRWO project the Stakeholder Engagement Strategy contained six categories.

1. Leaders and governance[6] (territorial authorities, boards, shareholders, Trustees).
2. Key stakeholders (represented through the CSG).
3. Tangata whenua and iwi Māori.
4. Farming and local communities.
5. Community and general public.
6. Technical specialists.

Information was gathered in relation to each of these categories with a focus on the outcomes sought, the benefits of involvement, the preferred engagement methods, most valuable timing for input into the project and most relevant outputs of the project[7].

Connection of the CSG to the wider community

Defining the wider community

There were three wider community audiences identified in the Engagement Strategy.

1. The community and general public, e.g. ratepayers' and residents' associations and broader cultural, economic and social interests.
2. Farming and local communities, especially individual farmers and catchment.
3. Tangata whenua and iwi Māori, e.g. urban marae.

The wider community focuses on those people who are not impacted by the policy change as directly as a member of the farming community, but may wish to know what's happening and may engage from time-to-time in the project. They are likely to be impacted more directly by the policy when funding options are being explored and in later phases of the project.

Farming and local communities are those individuals and community organisations that are residents of the Waikato catchment, live rurally or in small towns, and are likely to be directly impacted by the policy once it is implemented.

The third local community audience are Māori communities, who can be reached through channels such as regional management committees, marae committees and land trusts, as well as through special-purpose meetings on matters such as iwi environmental plans and strategy development.

Challenges with connecting the CSG to the wider community

Maintaining a connection between these community networks and the CSG was challenging.

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[5] See for example, http://stakeholdermap.com/stakeholder-analysis.html.
[6] Governance is used broadly here to refer to those in all types of leadership roles but excludes the statutory decision-making authorities.
[7] The Stakeholder Engagement Strategy is available to the public at the Waikato Regional Council website on the Healthy Rivers Wai Ora page.

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The challenge could be summarised into four key points.

1. Not everyone could be a part of the CSG - the collaborative process required a limited number of members to conduct the process efficiently.
2. The CSG workshops were not open to the public, enabling free and frank discussion but excluding other interested parties from having the opportunity to be exposed to some of the nature of the discussion.
3. There were delays in the production of public outputs from the workshops, as the collaborative group put in place the building blocks for a successful process.
4. The CSG could not always connect directly with the broader membership of represented bodies and had to rely on their busy delegates to transmit information.

As a result, implementing strategies to connect the wider community to the project became an area of emphasis for the team. Strategies employed to do this are described below.

Approaches to connect the wider community

The project adopted five principles to maintain connection with the wider community. These approaches are described in this section. The principles applied in HRWO to connect the wider community included:

- frequent communication;
- accessible staff;
- transparent information;
- timely input; and
- relevant and credible connections.

Frequent communication

Frequent communication was seen as critical to the project and a 'little and often' approach was adopted. Project messages were developed in detail and with governance as a way to develop understanding of the project and assist these parties to prepare for their roles as the leadership faces of the project. These messages were used to create communication material, including a regular electronic newsletter. It was distributed after every CSG meeting, describing the topics covered and summary messages agreed by the CSG.

The newsletter always included an invitation to participate in key events, with a focus on the purpose of those events and timing of them as well as a message about the expected level of influence their input would have. The events were advertised as being led by both iwi and council, using workshop styles of engagement and focussed on a specific 'job to be done'.

The second engagement intention was to establish a positive intent for the workshops by building understanding of the way events would work and reducing uncertainty for those attending. Staff worked to create a newsletter which was honest, neutral, respectful and demonstrated the complexity of creating policy to manage diffuse pollution by highlighting the diverse range of perspectives and issues involved.

A challenge that arose in giving effect to this principle were delays in production of material due to the project and decision-making tiers. For example, communication material needed to be circulated to multiple parties before its approval for release. This is good engagement practice and brought many different voices to the content. However, it led to delays in information release.

As the project evolved, protocols were developed to streamline these processes. For example, the Chairperson was delegated authority by the CSG to release draft CSG notes and key staff with oversight responsibilities agreed to short review times for written material. In addition, CSG members were asked to agree on key communication messages as a group at the end of every two-day workshop. This was a good intent, although not always achieved as there was not always space to do this at the end of the two days. Over time, a 'summary

session' was included at the start of Day Two of the workshops to ensure key messages from the first day's work were captured in a less pressured way.

Accessible staff

Accessibility was a second principle the project adopted. The need for project presence through information, face-to-face and telephone communications in the establishment and implementation phases of the project was high. To support this need, and give effect to a principle of accessibility, the following approaches were adopted.

- A summary sheet and presentation template were created for members of the CSG, governance and staff to present to their own extensive networks, allowing project reach to be extended.

- Staff in education, extension and catchment services were represented on the project team as workstream leaders and were accountable for conveying information through their networks at every opportunity.

Challenges arising in giving effect to this principle included the number of interested stakeholders and the pressure this placed on project staff to respond to a wide range of information requests, issues and risks. Messages were conveyed differently to different audiences and at times needed additional action to address misunderstandings, particularly during the establishment stages of the CSG.

Transparent information

The third principle of transparency relates to the way in which community views were recorded when staff or CSG members attended community meetings. Emphasis was placed on accuracy of recording, transparent storage of information and consistently reporting back these views into the CSG workshops and elsewhere. Section 5 describes these protocols in more depth.

Timely input

A fourth approach to connecting the wider community with the CSG was to ensure timely input from the community on CSG outputs. Consultation events were designed to receive input on specific products of the CSG, at a time when they were best able to be used by the CSG. This was done through two engagement approaches.

1. A large inclusive stakeholder forum was held to launch the project and design the structure of the CSG.
2. An intensive engagement phase was advertised to the wider community early in the project whereby they would be able to consider substantive recommendations from the CSG on the policy.

Challenges to the implementation of this principle included the difficulty of delivering key outputs for the public at the advertised times. For example, a public commitment had been made to conduct an intensive engagement period in March-May 2015, the quieter months of the farming calendar. However, this was modified because critical technical work required more time to be completed. The CSG decided to keep an engagement round at this time for consultation on some preliminary matters and to create another consultation period on the substantive policy options at a later (but less suitable) time for those directly affected.

Relevance and credibility of connections

The fifth approach was to match wider community engagement with the governance, CSG and project staff whose knowledge was most relevant, credible and useful to the audience. For example, where a request was received to support a community meeting in an important sub-catchment, an effort was made to source a staff member with technical knowledge and local networks. CSG and governance members with relevant connections were also linked to the group. Existing relationships were respected. The project manager made frequent need-

to-know calls to governance and CSG representatives about issues and opportunities arising of relevance to them. Iwi technical staff of all governance bodies supported the creation of culturally-relevant information, shared information about the project with their networks and supported events in their area.

Challenges

Challenges included the ability to provide technical information in a form that was useful, locally relevant and understandable for a range of audiences. Resource for science communication was limited in the establishment phases of the project and technical specialists were necessarily focused on establishing the knowledge and evidence base for the project. Local-level data was often not available in such a large and diverse catchment. Extension staff assisted in bridging this gap, working as knowledge translators between community groups, scientists and other technical specialists.

Lessons about collaboration and broader engagement

This section summarises lessons from the Stakeholder Engagement Strategy, with a focus on the connections between the broader community and the CSG. It provides practical information for councils and others setting up collaborative processes about how strategy was developed and some of the challenges encountered.

Invest time up-front gathering information to assist engagement planning
- Create a rich database of contacts and a maintainable contact management system. This takes time, depending on the maturity of the contact management system and the availability of comprehensive and contact information.
- Keep an open mind about who will be interested in participating in a collaborative process and be prepared to review this on a regular basis.
- Spend time understanding what matters to stakeholders about water quality, how they might add value to this goal and their preferred engagement methods. Record this information accurately and respectfully.
- Respect the representative bodies of stakeholders, and also design an engagement package that reaches the individuals and small communities likely to be most affected by a plan change.
- Recognise the important role in stakeholder engagement held by leaders such as shareholders, boards of directors, territorial authority councillors and other community leaders. Seek their input to the creation of stakeholder lists and find ways to connect them into the project. These people frequently wear multiple hats and are experienced communicators and networkers.

Design an engagement approach that allows a wide range of people to have input into the process and still allows flexibility to adapt the approach over time
- Build community-level processes into the engagement strategy to increase connection with harder-to-reach communities. Sustain a level of local community connection throughout the project by tapping into existing networks and community events.
- Write an engagement strategy for formal approval, rather than a detailed implementation plan. Timelines change during a project and if the details of implementation are locked into the engagement strategy, then a formal change management process may be needed to make even minor amendments.
- Create timely and specific opportunities for the wider community to contribute to the outputs of the collaborative group.

Summary

This section addressed the stakeholder and community engagement strategy. It emphasised the importance of staying connected to the broader community through multiple strategies, beginning with sufficient pre-planning of the engagement approach to ensure a wide net is

cast in the information gathering stages. Engagement principles adopted included frequent communication, accessible staff, transparent information, timely input and relevant and credible connections. In conclusion, the development of a strategic and principled approach enables a more focussed, objective-driven engagement process to be undertaken.

4.   The establishment phase

Purpose

This section describes the establishment phase of the collaborative process in the Waikato catchment, focussing on the lessons learnt in the design and formation of the collaborative group.

Design and formation of the group

The formation of a collaborative stakeholder group was the key strategy of the HRWO project. Its purpose was to be the central channel for advancing the design of new water quality provisions in the regional plan for the Waikato and Waipa catchments. To commence the design of the group, a large stakeholder forum (the Forum) was planned that aimed to:

- launch the project;
- model leadership;
- identify criteria for the CSG membership (including interests that should be represented); and
- model good engagement practice.

A key challenge in the design and formation stages of the group was the extensive preparation needed to address risks raised, as well as to support the planning of a large-scale event. In particular, building internal agreement about its purpose and design principles was necessary. Concerns raised included the need for inclusivity, the roles of governance and leadership teams, the participatory nature of the event and the risks involved in pre-election timing. Extensive risk management strategies were put in place to address political, engagement and logistical risks.

Planning

One of the main ways to increase the level of participation in the Forum was through seeking stakeholder input in the planning stages. Key stakeholders were called prior to the Forum to explore their issues and concerns about the HRWO project and these concerns were reflected in the design of the day. An open, positively-framed question was designed for these calls, seeking stakeholder perspectives of water quality and their ideas about how they could contribute solutions to the water quality challenge. This information was collated and fed back to the stakeholders by the steering group at the Forum. The Draft Terms of Reference for the CSG was also pre-circulated approximately two weeks prior to the Forum so that those attending understood the nature of the task.

About the workshop

The workshop was attended by approximately 120 governors, leaders, stakeholders and community members. It was carefully designed so that all those attending could participate in the day and see the results of key discussions in real time. For example, the ideal group size was established through a participatory exercise, followed by the identification of sectors to be on the group. Participants then allocated numbers of seats to sectors and these results were turned around on the day, so that the recommendations were immediate and transparent.

A group of table helpers ensured small groups could work their way efficiently through the tasks on the day, with clear role descriptions and instructions prepared for them, and a thorough briefing session. Other staff processed the raw data from the small groups behind the scenes so that it could be re-presented to the whole group in the afternoon sessions. The morning sessions were aimed at producing as much data as possible to allow this to happen. Presentations, logistics and facilitation were rehearsed prior to the day and contingency plans put in place.

The outputs included a list of skills desirable in a collaborative group, the group size, the key sectors that should be represented, and the numbers of seats for each sector. There was a clear preference expressed at the Forum that sectors should nominate their own representatives, and support for a limited number of general community representatives, to be selected through an open application process.

Call for nominations

Once the structure was approved, a nominations process was initiated asking sectors to select their own representative/s and calling for community representatives to submit applications as individuals. Nominations for the CSG were called for based on the skills and sectors identified at the Forum. Some sectors built alliances to nominate their preferred candidate. Others did not settle on one candidate and multiple nominations were received. In these cases the project steering group, Te Rōpū Hautū (TRH), made an assessment as to which candidate was most suitable against a pre-agreed list of criteria, which included the need to achieve:

1. a balance across the four well-beings (social, cultural, economic, environmental);
2. a demographic and geographic balance;
3. candidates with the right skills (communicative, consider multiple views, solutions-oriented, synthesise technical information);
4. candidates with networks, influence and mandate; and
5. candidates able to maintain a separation between the statutory decision-making roles in the project and the functions of the Collaborative Stakeholder Group.

Sixty-five nominations were received for the proposed 20 seats. Nominating sectors were asked to provide evidence of sector support for their candidates. Three full-day workshops were held by TRH, in addition to interviews, to apply the selection criteria against nominations. After considerable deliberation, the group was expanded to 25 to enable additional representation from community, environment, Māori interests and rural professionals. It was decided that sectors could also have a delegate to represent them, but that community members would not have delegates since they were selected to balance out the skill set and community representation, rather than as advocates for a particular sector.

The final group structure was presented to the HRWO committee for approval in December 2013. It consisted of representatives from dairy, energy, environmental, forestry, horticulture, industry, local government, Māori interests, sheep and beef, rural advocacy, rural professionals, tourism and recreation and water supply. Eight community representatives were appointed to bring balance, diversity and local representativeness to the group.

To give effect to the principle of accessibility, all unsuccessful applicants were phoned regarding their application shortly after the HRWO committee decision and before public announcements of the successful group members.

Challenges

The key challenges with the appointment process related to the final composition of the CSG and the way in which these decisions were made. For example, some stakeholders believed that the group should comprise only those stakeholders who would be submitters and/or appellants to the regional plan. They did not agree with community representation, on the basis that these individuals were not accountable to a constituency. Others believed that community seat holders would bring new skills and perspectives, demographic balance, independence and local connections.

There was a tension for iwi partners to the project about ensuring sufficient Māori representation on the CSG, without being seen to be 'railroading' a particular perspective. Asked beforehand if they wanted to set aside an allocation of seats for Māori representation, they decided not to take up that option but to see what the Forum came up with. The result was that the Forum allocated just one of their proposed 16 sector seats to 'Māori interests', and expressed a strong preference that additional community seats should not total more than 4 of a 20-member CSG. This left decision makers in a difficult position in order to

ensure Māori voices were part of the collaborative group as well as the governance structures. If not, they ran a dual risk that tangata whenua voices and values might be absent from the process and also that the CSG might come up with recommendations that were not acceptable to iwi decision-making partners. This need was partly behind the move to increase the numbers of community representatives on the CSG. The fact that TRH led these decisions challenged the principle of transparency of the project for some stakeholders, by diverging somewhat from the framework developed at the Forum. On the other hand TRH owning this part of the process modelled leadership, brought the group formation to an efficient conclusion and gave effect to the decision-making structure outlined in the CSG Terms of Reference.

Lessons about the design and formation of the CSG

This section summarises lessons about the design and formation of the CSG, providing information for councils about the challenges encountered in establishing collaborative groups and some of the strategies used to address them.

Start a collaborative process with as broad a range of parties as possible, for example through a large stakeholder forum
- Cast the net wide at the beginning of the formation of a collaborative group by designing an open process allowing many parties and perspectives into the formation stages of a collaborative group. This is most efficiently done by pulling everyone into the same place at the same time, designing a detailed participatory process with a transparent set of outputs. Aim to turn around as much content as possible on the day. Thoroughly prepare a facilitation plan for the day, recruit a team of table helpers and hosts, and rehearse presentations.
- Advertise the purpose and style of the event in some detail so that those attending are aware of the way the event will be run and the protocols that will be used. This strategy reduces uncertainty for those attending and strengthens the social contract for attendance, should this be challenged on the day.
- Ensure sufficient material is pre-circulated to the participants so that those who wish to can prepare for the day.
- Advocate for senior level attendance from governance and leadership teams to model commitment, generate interest in the event and increase numbers attending. Work with these teams to agree on messages and approach, such as arriving early and leaving last.
- Use a criteria-based approach to forming the collaborative group, focussing on the skills and representation needed. This will provide the basis for negotiations and reduce some of the conflict over membership.
- Consider whether there are any non-negotiable matters regarding group composition (e.g. a set number of seats to represent tangata whenua interests) and make decisions about this prior to the event, with clear messages about the reasons for these parameters (e.g. Resource Management Act S6e and 7a regarding relationship of Māori with resources and kaitiakitanga; National Policy Statement Objective D to provide for tangata whenua roles and interests when limit-setting).
- Set in place a rapid decision-making process for securing agreement about the outputs of such large scale public events as quickly as possible following the day it is held. For example, in the Waikato process, the executive of council and iwi met straight after the Forum to make a call on the outputs of the day.

Cast the net widely for membership of a collaborative group and ensure those putting their names forward have a mandate
- Keep an open mind about who should be part of a stakeholder group. A good process will produce surprises about who is available and willing to step forward.
- Require written evidence from applicants of sector support. This provides a mandate for their involvement and helps with the engagement planning by revealing community networks.

- Council staff should be as transparent as possible in their written and verbal reporting to leadership teams about the range of membership options and any risks arising from these options. In that way, they are more able to provide a public record of processes undertaken based on informed choices about these risks and back these decisions in public.

Summary

This section addressed the design and formation of the CSG. It emphasised the importance of casting the net widely at the beginning of a process to raise awareness, increase participation and model a commitment to partnership and collaboration. In the beginning of a new process interest (as well as suspicion) is high, with the potential to create diversions and delays in the project set-up stage. Setting clear parameters and outlining the task for any participatory activity in this stage will help to build trust in the process.

Collectively generating a set of neutral criteria for the preferred composition of the group with stakeholders and communicating the decision-making pathway reduces uncertainty and provides for a robust and balanced output.

5. Implementation and operation of the CSG

Purpose

This section describes the operation of the CSG, including the frameworks used and the systems and processes implemented to assist the operation of the CSG from a council perspective. The focus is on sharing knowledge about the practical information and day-to-day mechanics of the CSG in these initial stages of its operation.

Traditionally, the initial set up of a Resource Management Act (RMA) policy development process is conducted by staff and workshopped with Councillors. While some members of the CSG are very familiar with RMA planning, others have had less experience in RMA processes. In order for the CSG and wider community to easily understand the job ahead, considerable effort was put into breaking the project into stages and making the language accessible to a wider audience.

Workshop themes and outputs

One of the critical aspects of implementing the collaborative group was the design of the workshop themes necessary for the collaborative group to progress through a plan change process. The stages identified were:

1. understanding the issues from all sides;
2. developing limits and targets;
3. developing options and policy mixes; and
4. finalising the policy toolkit.

Each of these four themes comprised several workshops, and with the work of the CSG still ongoing, only the first stage is reported on here.

'Understanding the issues from all sides' included hearing from the wide range of interests around the table as well as receiving technical, research and policy background, and developing an understanding of the policy problem from these different perspectives. The main output here was a problem or focus statement (Twyfords, 2014). The intention of this output was to find an agreed way of defining the policy goal, prior to proceeding to search for solutions. The resulting focus statement was:

> To come up with proposed limits, timelines and practical options for managing contaminants and discharges into the Waikato catchment to ensure our rivers and lakes are safe to swim in and take food from, support healthy biodiversity and provide for social, economic and cultural wellbeing.

This statement reflected key elements of the Vision and Strategy for the Waikato River, as well as core aspects of the CSG Terms of Reference. While some CSG members initially questioned the value of spending time defining the Focus Statement, having only just settled on their Terms of Reference, it proved valuable in focusing the technical workstreams, as well as providing a concise summary of the task ahead.

Building on an agreed focus statement, the subsequent workshops held as part of the 'understanding the issues from all sides' theme, focused on coming to grips with the range of information and issues surrounding water quality policy. The main output from these workshops was the development of criteria for selecting policies. A draft set of criteria was produced by the CSG using a participatory workshop process. Examples of the draft criteria

included 'providing for Māori cultural identity', 'giving positive social and community benefits' and 'allowing for intergenerational flexibility' (HRWO Committee, December 2013, p26). These criteria were later tested with the wider community at a second large stakeholder forum attended by 200 people.

'Understanding the issues from all sides' was also progressed by sector presentations, with CSG members hosting the CSG in contexts relevant to them, and by travelling to different parts of the catchment. This assisted the CSG in developing a draft working list of values, which is part of the process outlined in the National Policy Statement for Freshwater Management. These values were also tested at the Forum to gather wider community input.

The operation of the CSG

Terms of Reference and foundation documents

A critical aspect regarding the successful operation of the collaborative group was the development of Terms of Reference, Codes of Conduct and a wider community engagement plan. These foundation documents contained details of:

- the purpose of the CSG;
- scope of the work;
- the roles and functions of HRWO committee, TRH and technical specialists;
- principles for decision making by consensus;
- wider community engagement plans;
- conflict resolution procedures; and
- a media policy.

The CSG was given the opportunity to suggest amendments to the draft Terms of Reference (ToR).

One of the most discussed aspects of these foundation documents was the scope for the CSG's work. This had been tightly defined by decision-making partners before the CSG was brought together, and was focused on setting limits for four contaminants: nitrogen, phosphorus, sediment and faecal microbes. Water quantity was specifically excluded due to a recent policy process focusing on this. Some members of the group wished to revisit this area, while others were adamant that water quantity should not be part of the group's work. This produced significant discussion and questions about project scope early in the process.

Another topic of interest was the roles and functions of the HRWO committee, TRH and technical specialists in relation to the CSG. Without exception, all parties in the HRWO project were interested in the level of influence their contributions would have on the policy design in relation to other players in the project. Details of these foundation documents can be found on the Healthy Rivers Wai Ora website (Waikato Regional Council, 2015) and some of the challenges of managing these interfaces are described in Section 6.

The CSG also discussed information-sharing. Members preferred a closed meeting format to allow for free and frank debate. Council requirements under the Local Government Official Information Act (LGOIMA) were discussed with the CSG so that they understood the extent to which the discussions and the records of those discussions could be made public. An independent evaluation service was offered to the CSG to enable the collection and feeding back of members' views about the experience, to enable ongoing process improvements.

Having established these founding documents, the CSG went on to put in place an agreed decision-making process. This was based on a consensus model, the detail of which was modified after discussion with the CSG and is contained in the Terms of Reference.

Workshop roles and format

The CSG workshops were designed as two-day processes, led by an independent chairperson and facilitator. The interplay of these two roles evolved over time. The chairperson's role was to:

- interface with the project manager, chair of the technical team, steering group (TRH) and HRWO committee;
- lead the formal approval and agreement parts of the CSG workshops;
- approve media and other reports from the CSG; and
- oversee the conduct of CSG members and be the first port-of-call for disputes.

The facilitator's role was to design the participatory aspects of the workshops and align workshop purposes, processes and outputs to CSG and staff needs. The job descriptions for these roles are attached in Appendix One.

Workshops were scheduled every four to six weeks, resulting in an intense coordination in the periods between workshops. Detailed facilitation plans were prepared for each workshop based on the themed project timeline, and reviewed by staff and the chairperson. The initial workshops were designed with facilitated sessions to develop core documents such as the Code of Conduct and Terms of Reference, with the chairperson taking a watching and guiding brief. As the two roles evolved, later workshops incorporated formal approval sessions and presentations (presided over by the chairperson) and participatory sessions to develop outputs or to workshop key topics (led by the facilitator).

Initially, a committee-style meeting process was not used. However, reasonably early on, the desire for a more formal meeting record was expressed and resolutions and voting were introduced into the formal approval sessions. The facilitated sessions would usually involve small group discussion and then drawing together a summary in the large group. The agreed consensus decision-making process was not used for day-to-day resolutions, but the intent is that it will be the basis for the key recommendations arrived at by the group. The CSG meetings have therefore evolved their own group culture and process.

Workshops were held in a variety of locations around the catchment with support from River iwi and sector and community hosts. Community venues such as marae and community halls were preferred, increasing the connection to local areas. Each workshop provided an opportunity for a sector or community representative to highlight matters affecting them, often including a field trip component. Workshops were opened and closed in accordance with local protocols, and River iwi discussed settlement and co-management aspirations, the Vision and Strategy for the Waikato River and iwi environmental management plans. Other speakers were invited to workshops to highlight local issues. This also provided an avenue for interests that were not allocated a sector seat to put their views and concerns to the CSG. For example, when visiting the lower catchment, the CSG was hosted by Waikato-Tainui at Tūrangawaewae Marae and heard from guest speakers on historical relationships with the Waikato River, significant sites, eel fisheries and catchment management schemes.

Every workshop also included an opportunity for CSG representatives to report back about engagement processes held with their communities of interest. This information was recorded in a database to ensure it was tracked, recorded and reported. The second day of the workshops concluded, whenever time permitted, with the CSG developing shared communication messages for use outside of the workshops by CSG members and staff. The suggested focus for the next workshop was also discussed before concluding each workshop.

Systems and processes

So far this section has discussed workshop themes, workshop design and foundation documents used to support the successful operation of the CSG. However just as critical to the operation of the CSG was the development of systems and processes to manage the many project interfaces.

Logistics for the workshops were handled by a coordinator who managed staff inputs, scheduled meetings and organised venues and resources. Scheduling of inputs and contributors was always an intense juggling act. Therefore, a number of regular meetings were put into place. These included:

1. weekly operations meetings (focused on covering needs for upcoming agenda items, including documents and resources for sessions, debriefs, logistics such as , transport, accommodation, costs, venue, equipment, attendance);
2. regular strategy meetings (to project forward and devise focus for upcoming meetings and, align workstreams and the information needs of the CSG and project staff);
3. weekly project team meetings (project catch-ups with all key project staff);
4. monthly workstream leader meetings (workstreams alignment, needs of non-core workstreams, risk management);
5. weekly reference group phone calls (chairs, project manager, project sponsor for risk management, governance interface);
6. CSG member briefings following each CSG workshop (put in place to bring CSG members who had missed workshops up to speed with content and maintain their engagement in the process); and
7. evaluation briefings for the chairperson and facilitator following each round of surveying CSG members (to discuss the key messages and themes coming through).

Turnaround times were tight because staff needed to act on direction from the previous CSG workshop, keep their sights on the project plan and produce information in time for internal review by the project manager, sponsor, facilitator and chair. Staff were also making judgement calls about how much information to provide, in what form, and striving to understand how their perspectives and styles might add value to, and meet the needs of, the CSG audience.

Challenges

Challenges included the pace of the work, the layers of reporting and the number of perspectives contributing to any one piece of work. Each project meeting would raise different issues and create new actions. Coordination of these meetings and actions was required to ensure decisions were communicated throughout the team. Strategies used to address these challenges included: improving role clarity amongst the project team, ensuring a strategy meeting was held closely after each CSG workshop to agree on the core focus for upcoming work, and increasing the efficiency of approval processes. The facilitator's role expanded to include coordination of inputs and interfaces between work streams, and focused meetings were held to discuss the detail of a particular work stream input or upcoming CSG session. Additional resource was secured through short-term contracts and temporary staff. Moving meetings to different venues required new logistical arrangements for each workshop and resulted in long travel and set-up times for staff, and equipment and facilitation challenges that were different at every venue.

There have been challenges in continuity of the CSG membership due to health issues and other responsibilities. Where sector delegates are unable to attend, they have delegates that can take their place, and there is an established process for replacing delegates as required. Community representatives do not have delegates. The CSG has raised concerns that, in particular, when there are gaps in community representative attendance, tangata whenua voices may be missing around the table. Some community representatives and Māori interest representatives were replaced after they withdrew early on. The group also made a call that it would be too hard for new people to come into the process after the sixth workshop.

The inclusion of community representatives alongside sector representatives creates a challenge in terms of where to pitch the content of sessions and how to maintain a balance of participation. Sectors are usually represented by seasoned veterans of collaborative and more traditional RMA processes, and some have been central to national processes such as the Land and Water Forum, National Policy Statement and National Objectives Framework.

Community representatives bring other types of knowledge and experience but do not necessarily feel as comfortable to express their opinions in a larger group. Time needs to be 'ring-fenced' to ensure facilitated processes using small group processes or other formats does is maintained alongside large group discussions. It is also a challenge to provide the space for local knowledge and mātauranga to be shared alongside the mainstream technical and policy considerations. Incorporation of karakia, waiata and presentations from River iwi have helped to keep such considerations visible, while visiting marae and local sites have helped to imbue the CSG workshops with some of these values. It is important that the wider project team has the competencies, background and networks to be able to facilitate these experiences for the group.

A related challenge is that of allowing the CSG to shape its own agenda, while keeping enough structure and coherence in the process and allowing for prior preparation of inputs from technical, policy and other workstreams. An agenda-setting check-in at the end of each CSG meeting to agree on the focus for the next meeting is essential. However, inevitably some people have left by the end of day two and may be absent from these discussions. This is still seen as the fairest means of the CSG having input into their agenda, as receiving ideas from individuals in between meetings could create an unmanageable and conflicted agenda-setting process.

An expected challenge is that of keeping decision-making structures and the CSG process aligned and in constant dialogue. It is critical that the pathway taken by the CSG and the expectations of decision makers are aligned – with the two groups walking the path together.

Lessons about the operation of the CSG

This section captures lessons about the operation of the collaborative group, providing practical information for councils about the challenges encountered at the implementation stages. Lessons about the design and formation of the CSG in the Waikato catchment include the following:

Think through practicalities such workshop frequency, venue and key outputs
- Scheduling two-day CSG workshops every four to six weeks enabled speedier progress and agenda flexibility (a positive). However, this was intensive to coordinate and necessitated an investment in the systems and processes to manage this intensity.
- Holding CSG workshops around the catchment was an effective way to connect with local communities and provide for an interesting experience for the CSG. However, it was also logistically challenging.
- Maintaining an output focus is important in a collaborative process so that agreement is incrementally and systematically built in concrete ways, a sense of momentum is sustained and dialogue is generated between the CSG, decision-makers and community.

Work with the collaborative group to design the communication plan, as interest will be high in the project
- Developing communication messages collectively at the end of each CSG workshop was helpful for staff and stakeholders, but at times these were too brief for the information needs of others outside the CSG.
- Report-back sessions from CSG members and staff at the CSG workshops about wider community consultation kept these connections front-of-mind, relevant and useful.

Expect to invest considerable time managing the interfaces in collaborations
- Managing the interfaces between the technical, policy and engagement work streams will inevitably be challenging, with the need to connect complex work programmes at different stages of maturity. Putting in place strategies to resource the coordination effort needed to achieve these alignments was essential.

- The expanded role the facilitator took in the project, coordinating interfaces and reviewing content was valuable. A flexible project management approach ensured this could be resourced and assisted the staff-CSG interface by juggling the needs of both staff and CSG members.
- Holding weekly operational meetings worked well, allowing contractors to phone-in and creating a small-but-often culture in the team which enabled logistics to run more smoothly. Scheduling specific meetings for other planning purposes helped keep the focus of the operational meetings on urgent tasks.
- Multiple meetings, each involving different roles, can result in divergent directions. Scheduling a strategy meeting immediately after each CSG workshop with the CSG chair, the technical group chair, the facilitator and key work stream leads to agree on the focus for the next CSG workshop and the technical and policy requirements for it proved useful.
- Good meeting culture and role clarity is essential in collaborative processes to keep on track and reduce iterations.

Collaborative group members will have different levels of knowledge and different styles of communicating
- Finding ways to provide extra support to community representatives on the CSG was important to reduce financial barriers or overcome obstacles related to not understanding technical content. For example, honoraria, catch-up briefings for absent CSG members between meetings and specific briefings on some technical matters.
- Collaborative workshops should be designed to ensure all voices are heard, participation is balanced, and all types of knowledge are validated and included.

Summary

This section addressed some of the day-to-day challenges faced by the HRWO project team in the implementation and operation of the collaborative stakeholder group. The purpose was to share insights with other councils embarking on similar processes. The value of robust engagement frameworks, participatory meeting design and a clear and appropriate decision-making process for the collaboration process were emphasised. Clear pathways are also invaluable when communicating information to others outside the core project team and CSG.

A key point was the value of strong logistical coordination and clear systems and processes for managing the intensity, interfaces and inputs necessary in a collaborative process. A flexible project management approach and sufficient resource to respond to emerging needs will assist. Also useful is a consistent orientation towards maintaining community connectivity throughout the project. Strategies such as holding workshops at community venues and regular report-back sessions by CSG members from their contacts, enriched the collaboration.

6. The staff and CSG interface

Purpose

This section describes the interface between council staff and the CSG in the establishment and implementation phases of the Healthy Rivers Wai Ora project. Reflections from key staff are captured and lessons summarised for the purpose of sharing this knowledge with others embarking on collaborative processes. The role of key contractors will also be described, where relevant to these phases.

Key staff and contractors during set-up phase

The key council technical contributors involved in the project from 2011-October 2014 are described in this section, including core project staff, work stream leaders and others. The roles initially contracted into the project were for the chair, facilitator and coordinator of the CSG. Later, a chairperson and a wide range of technical and project specialists were appointed. These contributors worked at varying levels of intensity on the HRWO project during the establishment and implementation stages of the project.

Table 2 Key contributors to the establishment and implementation phases of HRWO

Staff	
i.	Core project staff at establishment phase (engagement, policy, project, executive)
ii.	Core work stream leaders (engagement, technical, communications, policy, co-management, governance, extension)
iii.	Key programme managers and executive leadership team members
iv.	Tai-ranga-whenua (iwi liaison staff) and the whānau group of WRC
v.	Committee coordinators and legal staff
Contractors	
vi.	CSG facilitator
vii.	CSG chairperson
viii.	CSG coordinator
ix.	Technical chairperson, technical specialists, project specialists
x.	Evaluators

The key interfaces between staff and the CSG in these set-up phases varied over the course of the project, beginning with a core of two to three staff, and expanding as needs changed and resource became available. These early contributors worked with council governance and executive and iwi technical staff to create the foundation documents and decision-making structures for the project. Council and iwi governance and leadership teams contributed at critical decision-making times as well as during key stakeholder events. As it progressed, the preferred structure for providing technical advice to the CSG was workshopped with stakeholders, resulting in a six-member Technical Leaders Group being established, with a wider pool of resource people to draw upon as required. The role of technical information in the collaborative process is still evolving and has not been the central focus of this report.

Types of staff-CSG interactions

The interactions between council staff, contractors and the CSG occurred in a variety of formal and informal ways. These formal and informal interactions included staff connecting with the CSG:

- at CSG meetings as part of the formal structure of the meetings, when attending pōwhiri, when reporting to the CSG, or when presenting information and responding to questions from the floor;
- during meeting breaks, site visits and broader community engagement events which allowed for informal interaction;
- during preparations for CSG workshops, while sourcing or creating joint material;

- through the chair, facilitator, project manager or other project staff;
- through one-to-one calls and emails in response to specific information needs; and
- at other non-related council or stakeholder events convened by the extension team of council or by industry, such as a dairy and drystock forum.

Types of roles fulfilled by staff and contractors

While there were many different types of interactions between staff, contractors and the CSG, staff were also required to take on a variety of roles during these interactions, such as providing:

- administration and coordination;
- advice and advocacy;
- information, analysis and recommendations;
- event management and facilitation;
- recording and reporting; and
- evaluation and trouble-shooting.

Challenges

Some of the main challenges encountered in undertaking these roles were the number and diversity of voices in the process, the range of information needs arising from the process and the unknown nature of the roles of staff in relation to the CSG. For council staff, the most common matters raised about their roles were:

- how best to support the CSG in terms of information needs and style of presentation;
- the extent to which staff would be able to make recommendations to the CSG;
- the likelihood that the CSG would take their recommendations on board (i.e. staff level of influence); and
- the likelihood that the group would come to a correct solution (i.e. the policy quality).

Reflecting the need for greater clarity, roles were written into the CSG Terms of Reference in some detail and provided a focal point for discussion about how best to interact with the CSG and what staff could expect from the process. For example, "…staff of WRC may draft proposals, policies and options on behalf of the CSG as negotiated between the chairperson and project manager" and "…project support staff will work in partnership with the CSG to provide analysis, reports and draft plan provisions, while also ensuring compliance with the standards required for a statutory plan" (Waikato Regional Council, 2014, pp11-12).

However, in many cases roles were unknown and evolved as the project proceeded and information needs became clearer. For example, the role of policy staff gradually evolved from presenting background information to the CSG to that of analyst as the CSG requested more detailed behind-the-scenes work to be undertaken between workshops.

The definition of staff roles was also shaped by the CSG themselves, particularly those members who had been a part of the Land and Water Forum (LAWF). The LAWF operated on a model of stakeholder-driven policy design, with policy and technical experts being invited into the process on an as-needed basis. In this model the policy and technical experts were in a service provision role. This required a high degree of flexibility and made work stream planning more challenging.

Other strategies used to address the challenge encountered with staff-CSG interfaces included:
- staff debriefs after CSG workshops;
- on-going dialogue with the project manager, chair and facilitators to decrease ambiguity;
- contracting-in new capability to fill specific roles on a temporary basis; and
- professional development of staff to enhance understanding of what to expect in collaborative processes.

A further challenge was the management of the information needs and concerns of council staff who were not directly involved in the project, but were nonetheless important stakeholders in the process, often interfacing with the community and accountable for implementation of the resulting policies. Some of these concerns related to the theoretical and conceptual soundness of collaborative plan-making. Others related to the newness of a collaborative approach to policy design and uncertainty about 'how it all works'. This uncertainty about the nature and merits of collaboration was compounded by the introduction of other process innovations such as co-management, portfolio and project management during the HRWO project.

Strategies used to address these challenges included allocating priority resource to the project in the council Long Term Plan; creating a senior steering group of iwi-council executives (Te Rōpū Hautū) to embed the approach more strongly within the organisation, and developing a new style of project management suited to the nature of the project. In addition, work stream leaders from the implementation areas of council business were appointed to the core HRWO project team to increase cross-council communication.

While many challenges arose during the implementation of a new collaborative approach to plan-making, many new opportunities were also realised. For example, catchment staff proactively supported the dissemination of information through their sub-committees, and extension staff began leading some community engagement events. Additional resource became available for technical investigations, and long-standing information gaps were able to be filled under the umbrella of the HRWO project. Cross-disciplinary thinking became an imperative and staff became more familiar with the use of project management and meeting management tools and skills. The need for new staff capabilities was identified during an organisation review and opportunities emerged in the fields of partnership, stakeholder engagement, science leadership, multi-disciplinary thinking and policy design.

Lessons about the staff-CSG interface

This section described some of the key staff-CSG interfaces, capturing staff reflections from the set-up phases of the collaborative process. Lessons about the staff-CSG interface include the following.

Collaboration requires different approaches, tools and skills
- A collaborative process creates many new, uncertain and unexpected interfaces for council staff. It also creates the need for new frameworks, tools and skills and a high degree of flexibility. These take time to build, evolve and embed in organisation culture.
- Collaborative processes will be subject to more challenge than traditional plan-making processes, because they are a new way of working and a lot is unknown about their practical implementation.
- Collaboration will not be a classical policy change experience. Build knowledge of what to expect as a staff member working on a complex policy problem – how complex systems work, how to adapt as new challenges arise.
- Collaborative processes create new coordination challenges for the plan-making process such as how to coordinate and blend the interface(s) between:
  - technical specialists (council, CRI, other) and the CSG;
  - iwi and council (as decision-making bodies) and the CSG;
  - planners as statutory policy designers and the CSG; and
  - broader council staff and the CSG.

Councils can assist this change process with many different strategies
- Many different strategies will be needed to manage these interfaces, including ongoing dialogue with staff, collaborative and project management tools and professional development programmes for staff.

Summary

This section outlined some of the key interfaces between staff and the collaborative stakeholder group. It emphasised the value of understanding the range of interfaces in a collaborative process and the need for council staff to find ways to gain greater clarity about their roles in these processes.

A key point made was the need for different skills and styles to be brought to collaborative endeavours, and the need for strategies to be put in place to manage the many challenges and quantity and changeability of work resulting from these interfaces. Alignment may be difficult to achieve, and deeper philosophical challenges about the value and benefit of collaborative practice will be raised by staff and others. Staff should be considered as active stakeholders in a collaborative process, and resources put in place to build capability in this field of practice.

On the other hand, collaborative processes will generate new opportunities for staff, bringing new resource to technical investigations and strengthening the activities of catchment services and extension programmes in councils. The spontaneity and unexpectedness can provide for heightened job interest, but also creates challenges for forward planning.

7. Conclusion

Recognising the need to support councils implementing these collaborative processes, MfE has initiated several programmes of work. This case study is part of this programme of action. This case study focused on the perspectives of staff at the centre of the set-up stages of the Healthy Rivers Wai Ora collaborative process at the Waikato Regional Council. Its intention was to share practical information about what they did, the reasons for those actions, and some of their reflections on the process so far.

It described the important establishment and implementation phases of HRWO. This is the stage where councils set expectations of collaborative processes and establish the resources needed to undertake them. Understanding the context in which collaborative processes are set up, matching the level of engagement to the policy problem, and being clear about the nature of the commitment to collaborate are all valuable at this stage. Sufficient set-up time is essential. However debates about what success of a collaborative process looks like, whether it will work, how fast it will proceed and who should be involved will be ongoing in any collaborative process and council staff will be key participants in these debates.

The HRWO project in the Waikato catchment has highlighted the need for ongoing investigation into the practice of collaboration in councils, particularly in relation to the interface between co-management and collaboration, as well as how democratic and collaborative governance approaches fit together. The definition of success in collaborative processes, including robust evaluation of their effectiveness alongside evaluation of the effectiveness of consultative processes is essential as debate continues about what is the 'right way' to collaborate. The debate will inevitably include the best composition of collaborative groups and how to sustain and reimburse effort in these groups.

Similarly, the resourcing of collaboration and the development of the business case for it can be improved and project management models best suited to collaboration developed. The opportunities and challenges encountered in any collaborative process are now more known, understood and predictable. It would be helpful for these lessons to be translated into templates for risk and issue management in collaborative processes that could be widely shared as these projects are being planned.

Many strategies are being put in place to developing organisational capacity and skills to collaborate, through, for example, MfEs programme to support the implementation of collaborative processes. A focus on improving role clarity for staff involved in these processes will be helpful and specific investigation of the interface between technical expertise (policy, mātauranga, western science) and collaborative processes warrants further investigation.

Organisations participating in collaborative approaches can expect a challenging and enriching experience and the advancement of critical, hard-to-solve policy issues as many new voices come to the plan-making table.

8.　Epilogue

This epilogue describes some of the emerging issues in the later stages of the HRWO project in project (November 2014 onwards). They include:

Assisting CSG to write policy documents

Understanding the job ahead

The focus of the 2014 CSG meetings was on the first phases of the project, and relatively little time in workshops was spent focusing on the outputs of the project. Since then, staff have continued to produce background reports and to anticipate key questions that would need to be answered as the CSG started to consider the policy mix.

As of early 2015, the role of staff in assisting the CSG realise its ideas in formal RMA documents is still emerging. Both policy staff and the CSG are in a learning phase of how to effectively work together. Key points so far are as follows.

- Collaborative stakeholder groups will bring mixed levels of policy design experience to the policy design table. Consequently, they need support in gaining a sound understanding of the policy design task and knowledge of the requisite design skills and tools.

- In collaborative processes, professional policy designers (e.g. regional council staff) will need to be more explicit about the frameworks and tools they use to make decisions on policy choices, and possibly advocate for their use (Kaine and Boyce, 2015, in progress report, Designing Policy to Change the Use of Natural Resources, Landcare Research Policy Brief).

Outputs of the Healthy Rivers Wai Ora project

The CSG recommendations to the Healthy Rivers Wai Ora Committee will end up in different project outputs. Toward the end of its time together, the CSG will provide an overview report that contains recommendations and reasons for limits, targets, objectives, as well as some detail about how these will be implemented. This report is necessary to provide the direction for staff to draft the RMA documents, which the CSG will finalise for the Healthy Rivers Wai Ora Committee to consider. The RMA documents are the change to the Waikato Regional Plan and the accompanying RMA Section 32 analysis of alternatives, costs and benefits. The overview report of CSG recommendations is also a place to clarify which of the CSG ideas will be implemented by the RMA Plan change, and which will need to be implemented by other means.

At one of the early CSG meetings, the CSG adopted an initial report containing suggested headings for the plan change, with a view to using and updating it as needed.

In their March 2015 workshop the CSG looked over a plan change framework document produced by staff. This pattern or model for the plan change was seen as important by the group so they:

- can see the structure of the RMA document;
- can see linkages, where relevant, to the Policy Selection Criteria (previously developed); and
- have a place to write in content of the plan change, perhaps by including draft text written by staff for CSG to look at and discuss at future CSG workshops.

    Under the co-management legislation, it is River Iwi and then Waikato Regional Council who have the final statutory say about the form and content of a plan change. Therefore this process of developing the structure will be an iterative one between TRH, HRWO Committee and Waikato Regional Council.

Policy options

The CSG is now starting to investigate different policy options at a conceptual level. At the same time it is asking technical people to help it understand possible limits and targets and how these might differ from the current state of water bodies. The CSG's Draft Policy Selection Criteria (dated 31st October 2014) will be used in considerations of the different policy options.

The initial focus in early policy discussions has been on approaches for managing sediment, starting with an understanding of Council's current program addressing sediment (including partnership approaches and voluntary methods) in the recent Waipa Catchment Plan. The CSG workshops included small group discussions and generated additional approaches to address sediment. A field trip and a group exercise looking at real world issues on a dry-stock farm was also used. Policy, regulatory and extension staff are assisting with initial analysis of possible policy approaches identified by the CSG, including work to understand the capacity of WRC and industry to implement possible approaches. The task ahead for staff, technical advisors and the CSG will be an iterative process and one that will emerge as more detailed discussions on policy and the wider technical support continue throughout 2015.

9.   Contributors

The following people contributed to this report.

- The MfE lead for this work was Nick Vincent, Senior Analyst, MFE. Roger Bannister, Manager Implementation, provided leadership and sponsorship to enable this case study to be completed.

- Wendy Boyce (M.Phil) has twenty five years' experience in community change projects in local government. She wrote the first WRC Land and Water Strategy and developed the Clean Streams Fund. Over the last three years she designed and established the Healthy Rivers Wai Ora collaborative process and led the community engagement work stream. She is member of the International Association for Public Participation, and has trained in geography, community psychology, group dynamics, facilitation and collaboration.

- Justine Young (MSc Resource Management) is a senior policy advisor at Waikato Regional Council, and is currently leading the policy development input to the Healthy Rivers Wai Ora project. Other key projects include managing the policy, landowner consultation and court processes to achieve nitrogen limits by regulating diffuse discharges and allowing trading in the Lake Taupo Catchment. Justine started her career writing district plans and providing planning input to councils on behalf of the Department of Conservation.

- Jo Bromley, Project Manager, Healthy Rivers Wai Ora has a background in developing Long Term Plans, consenting and monitoring and managing the environmental and stakeholder requirements for large industrial sites.

- Mr Bill Wasley, Chairperson, Collaborative Stakeholder Group, Healthy Rivers Wai Ora.

- Dr Helen Ritchie, Facilitator, Collaborative Stakeholder Group, Healthy Rivers Wai Ora is a professional facilitator and research analyst with a background in natural sciences, rural development and community-based resource management.

- Jacqui Henry is a Social Scientist with Waikato Regional Council and Ruth Buckingham is the Programme Manager: Community and Economy at Waikato Regional Council. Jenni Sommerville is the Project Coordinator. Tracey May, Director: Science and Strategy, Waikato Regional Council is the Project Sponsor for Healthy Rivers Wai Ora. The previous Project Sponsor was Chief Executive Vaughan Payne.

10. Glossary

Aotearoa New Zealand Evaluation Association	The professional body for evaluation practitioners.
Engagement	Includes the full spectrum of participation techniques to include the public in a policy project: informing, consulting, involving, collaborating and empowering (IAP2, 2014).
Establishment phase	The planning phase of the HRWO project, approximately 2011-2013.
Governance, decision makers, governance bodies	Councillors of WRC and iwi trust board representatives, including the HRWO committee.
HRWO Project	The name for the project which will change the water quality provisions in the Waikato Regional Plan.
HRWO Committee	The joint iwi and council committee with a key responsibility for leadership of the HRWO project, including making recommendations to Waikato Regional Council
Implementation phase	The formation of the collaborative stakeholder group, approximately March – October 2014.
International Association for Public Participation (IAP2)	The professional body for community engagement practitioners.
Stakeholders	Stakeholders include all those who are impacted by and/or can influence the outcome of water quality in the Waikato catchment.
Stakeholder Engagement Strategy	Refers to the approach to engaging stakeholders of the Healthy Rivers Wai Ora project. Can be found on the HRWO webpage.
Te Rōpū Hautū (TRH)	The steering group of HRWO project comprising senior iwi staff, council executives and Waikato River Authority representative.
Te Ture Whaimana o Te Awa o Waikato	The Vision and Strategy for Waikato River.
Terms of Reference	Refers to the Terms of Reference of the Collaborative Stakeholder Group. Can be found on the HRWO webpage.
Waikato catchment	Includes the Waikato and Waipa Rivers and their tributaries.

List of abbreviations

CSG	Collaborative Stakeholder Group
HRWO	Healthy Rivers Wai Ora Project
IAP2	International Association for Public Participation
LAWF	Land and Water Forum
MfE	Ministry for the Environment
RPS	Waikato Regional Policy Statement
ToR	Terms of Reference, Collaborative Stakeholder Group
TRH	Te Rōpū Hautū (senior steering group)

WRC	Waikato Regional Council
WRP	Waikato Regional Plan

11. Appendix One

Role of Interim Chair of the Collaborative Stakeholder Group

Overview of the role

The Interim Chairperson will lead the Collaborative Stakeholder Group (CSG) to advance the Vision and Strategy for the Waikato and Waipa Rivers through the Healthy Rivers/Wai Ora project. An interim role is required because the Healthy Rivers Plan process is gathering momentum, and effective leadership and mobilisation of the CSG is an integral component of the overall process.

Scope

Reports to: **Healthy Rivers/Wai Ora Project Manager and Project Partners**

Location: **Hamilton, various other as required**

Key competencies

Independence and integrity

The interim CSG chairperson will be independent of any sectoral point of view to ensure the reliability and transparency of the CSG process and to avoid any potential conflicts of interest. Integrity implies the ability to exhibit the highest standards of personal and professional behaviour in this role.

Leadership

Proven ability to motivate and lead a wide range of stakeholders to achieve strategic goals in order to achieve outputs of the CSG and project, and to support the CSG to strive for consensus. Ability to delegate and seek support from the facilitator and project team to progress outcomes and prioritise issues and new tasks as they arise. The interim chair will have demonstrated ability to unite diverse perspectives to achieve a consistent and coherent output from the CSG as it inputs to the planning process.

Communication and Relationship Management

The ability to lead group processes; demonstrating sound listening skills, acknowledging what has been voiced and stating views succinctly and clearly to maximise understanding. Extensive experience in identification and mitigation of risks and issues as they arise in a timely and outcome focused manner, whilst maintaining a neutral stance. The ability to lead a complex process in a bi-cultural environment and the ability to apply sound political acumen to achieve CSG outcomes.

Public speaking and media liaison skills are also essential aspects to this competency; implying the ability to convey succinct messages and the ability to apply diplomacy when engaging with media on project related matters, to ensure that information shared is in line with protocols of the Project Partners and the CSG Code of Conduct.

Planning and Organisation

Demonstrate strong personal organisation, time management and planning skills with a level of commitment to the project that will inspire others.

Analytical skills

The ability to evaluate data and take appropriate courses of action to reach a decision, taking an unbiased and rational approach, considering a situation from multiple viewpoints and the capability to synthesize information into an easy-to-understand format.

Key tasks

- Finalising the draft Terms of Reference for the CSG and developing a Code of Conduct.
- In collaboration with the facilitator, ensure a fair and equitable CSG process is achieved whilst maintaining a neutral stance.
- Maintain momentum to ensure outputs are achieved within desired timeframes.
- Act as the CSG media spokesperson.
- All honoraria and reimbursement of expenses fund payments will be at the discretion of the CSG Chairperson and the Project Manager.
- Ensure project partners are well informed about the project's progress.
- Manage all conflicts at CSG meetings to ensure that resolution, clarity and, where possible, consensus is achieved.
- Performance managing any member who is not complying with the Code of Conduct or Terms of Reference.
- Building the capacity of the CSG to participate in a collaborative engagement process
- Recommend to close the group if it is considered no longer fit for purpose.

Key Outputs

1) Terms of Reference and Code of Conduct.
2) Effective media liaison.
3) Strong working relationships with internal and external stakeholders.
4) Successful implementation of the Stakeholder Engagement Strategy.
5) Communication to Project Partners of CSG Plan change recommendations.

Key Outcomes

1) The draft Terms of Reference and Code of Conduct are signed off by the CSG and the Project Partners.
2) Key messages and progress are provided to the media in an appropriate manner.
3) Relationships with stakeholders lead to an effective and efficient communication process that supports and develops the capacity of the CSG.
4) CSG led engagement activities are effectively designed and result in quality outcomes.
5) The CSG develops and provides ideas and innovations for plan changes.
6) The CSG plan change recommendations are evidence based and are both robust and implementable on-the-ground.

Key Relationships	

Internal stakeholders:
    ▪ Project Manager
    ▪ Project Sponsor
    ▪ Project Partners (Waikato and Waipa River Iwi and the Council)
	External stakeholders:
	    ▪ Collaborative Stakeholder Group and associated stakeholders
	    ▪ Technical Alliance (Chair/facilitator)

Services performed by the Interim Chair of the Collaborative Stakeholder Group

1. Chair the Collaborative Stakeholder Group (CSG) as per the role description and section 2.5 of the Draft Terms of Reference.
2. Develop and agree the following with the CSG and gain approval from the Healthy Rivers Committee for the following:
   a. The Terms of Reference for the CSG
   b. Code of Conduct for the CSG
   c. Community Engagement Plan
   d. The Project Problem Statement
3. With the CSG explore:
   a. The Policy Selection Criteria
   b. Land Use Management Scenario's as provided by the Technical Leaders Group
4. Work with the CSG facilitator to ensure a productive process.
5. Liaise and attend meetings of priority stakeholders to maintain the face of the project.
6. Build the capacity of the CSG to participate in a collaborative engagement process
7. Act as the CSG media spokesperson.
8. Key messages and progress are provided to the media in accordance with the media protocols.
9. Recommend honoraria and reimbursement expenses to the Project Manager.
10. Ensure CSG momentum maintained to ensure outputs are achieved within desired timeframes.
11. Ensure project partners are well informed about the CSG's progress.
12. Recommend to close the group if it is considered no longer fit for purpose.
13. Develop and implement with the CSG and decision makers the community engagement plan to give effect to the Stakeholder Engagement Strategy relating to CSG led engagement.
14. Work with project support staff and the Technical Alliance regarding inputs and outputs from the CSG to achieve the milestones below.

Performance standards
1. In collaboration with the facilitator, ensure a fair and equitable CSG process is achieved whilst maintaining a neutral stance.
2. Manage all conflicts at CSG meetings to ensure that resolution, clarity and, where possible, consensus is achieved.
3. Effectively manage any member who is not complying with the Code of Conduct or Terms of Reference.
4. Relationships with stakeholders lead to an effective and efficient communication process that supports and develops the capacity of the CSG.

5. CSG led engagement activities are effectively designed and result in quality outcomes.

6. The CSG develops and provides ideas and innovations for plan changes in a timely manner.

7. The CSG plan change recommendations are evidence based and are both robust and implementable on-the-ground.

8. All honoraria and reimbursement of expenses fund payments must be in accordance with the Honoraria policy.

9. Follow the WRC media policy (and draft CSG media policy – CSG to confirm at first meeting) for media communications.

10. Be available for regular catch ups with the Project Sponsor, Chair of the Technical Alliance and Project Manager to proactively approach issues and ensure a no surprises approach.

Role of Facilitator of the Collaborative Stakeholder Group

Services performed by the Facilitator of the Collaborative Stakeholder Group

1. Participating in project planning including preparation of a timeline and indicative themes and milestones for whole CSG process.
2. Primary responsibility for facilitating CSG workshops.
3. Primary responsibility for facilitation plans for CSG workshops, including preparing and updating the Milestones and Themes document for the whole process, preparing and updating Facilitation Plans for the upcoming meeting and next 2-3 meetings in advance (updated after every meeting for Operational or Policy integration purposes).
4. Reviewing all documents and presentations for CSG and integrating them into the facilitation plans.
5. Liaison with Engagement work stream leader and Project Manager where relevant on key matters relating to CSG and overall approach.
6. Liaison with logistics and support staff about venues, resources and communications with CSG.
7. Attending (by phone or in person) regular Operational Meetings (scheduled weekly), and staff briefs and debrief sessions for each CSG meeting.
8. Interface with Independent Chairperson, including scheduled debriefs after each CSG and half-hour planning calls scheduled weekly and specific phone calls on issues arising in the CSG.
9. Liaison with work stream leaders (especially Technical and Policy) to ensure staff are aware of timing and nature of inputs they will be making to the CSG process.
10. Specific meetings to develop and integrate Policy work stream processes with CSG process (e.g. Policy Choice Framework, ensuring we meet the NPS requirements).
11. Interface with TLG to negotiate their inputs to/dialogue with the CSG process.
12. Interface with evaluation personnel (WRC and contracted specialists).
13. Participating in peer review phone calls and integrate advice into process.

Facilitator of Collaborative Stakeholder Group – Performance standards

1. In collaboration with the chair, ensure a fair and equitable CSG process is achieved whilst maintaining a neutral stance.
2. CSG develops and provides ideas and innovations for plan changes in a timely manner.
3. Facilitate workshops to achieve key deliverables.