Strategy and Planning Committee Agenda
10 August 2022

Meeting will be held in the Council Chamber at Level 2, Philip Laing House
144 Rattray Street, Dunedin - Councillors
ORC YouTube Livestream - Members of the Public

Members:

Cr Gretchen Robertson, Co-Chair	Cr Carmen Hope
Cr Kate Wilson, Co-Chair	Cr Gary Kelliher
Cr Hilary Calvert	Cr Michael Laws
Dr Lyn Carter	Cr Kevin Malcolm
Cr Michael Deaker	Cr Andrew Noone
Mr Edward Ellison	Cr Bryan Scott
Cr Alexa Forbes	

Senior Officer: Pim Borren, Interim Chief Executive

Meeting Support: Dianne Railton, Governance Support Officer

10 August 2022 11:00 AM

Agenda Topic — Page

1. APOLOGIES

No apologies were received prior to publication of the agenda.

2. PUBLIC FORUM

No requests to address the Committee under Public Forum were received prior to publication of the agenda.

3. CONFIRMATION OF AGENDA

Note: Any additions must be approved by resolution with an explanation as to why they cannot be delayed until a future meeting.

4. CONFLICT OF INTEREST

Members are reminded of the need to stand aside from decision-making when a conflict arises between their role as an elected representative and any private or other external interest they might have.

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The Committee will consider minutes of meetings a true and accurate record, with or without corrections.

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The Committee will review open actions of resolutions of the Strategy and Planning Committee.

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This report outlines the Otago Regional Council's (ORC) existing climate change programs and initiatives, and compares the ORC's climate change programme to other regional/unitary local governments, and also outlines a high-level climate roadmap for the Otago Regional Council.

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7.2 INTEGRATED CATCHMENT MANAGEMENT PROGRAMME - PATH FORWARD 38

This report seeks a decision on an agreed pathway forward for designing and implementing an Otago Integrated Catchment Management (ICM) programme including the design and development of an initial pilot Catchment Action Plan (CAP).

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7.3 RECOMMENDED POLICY GUIDANCE ON OUTSTANDING REGIONWIDE ISSUES 153

This report provides the Committee with proposed policy guidance as recommended by ORC staff on outstanding regionwide issues to inform the development of the proposed Land and Water Regional Plan (LWRP), and to seek endorsement from the Strategy and Planning Committee on the proposed policy guidance recommended for these outstanding regionwide issues.

8. CLOSURE

Minutes of a meeting of the Strategy and Planning Committee held in the Council Chamber on Wednesday 13 July 2022 at 1:00pm

Membership

Cr Gretchen Robertson	*(Co-Chair)*
Cr Kate Wilson	*(Co-Chair)*
Cr Hilary Calvert	
Dr Lyn Carter	
Cr Michael Deaker	
Mr Edward Ellison	
Cr Alexa Forbes	
Cr Carmen Hope	
Cr Gary Kelliher	
Cr Michael Laws	
Cr Kevin Malcolm	
Cr Andrew Noone	
Cr Bryan Scott	

Welcome

Chairperson Robertson welcomed Councillors, members of the public and staff to the meeting at 1:01 pm. Staff present in the Chamber include Gavin Palmer (GM Operations), Lisa Hawkins (Acting Manager Planning and Policy), Jonathan Rowe (Project Manager - South Dunedin Future), Tom de Pelsemaeker (Acting Manager Policy), Rachel Currie (Project Manager, Land and Water Regional Plan), and Dianne Railton (Governance Support), and staff present electronically included Pim Borren (Interim Chief Executive), Anita Dawe (GM Policy and Science), Jean-Luc Payan (Manager Natural Hazards), Warren Hanley (Senior Resource Planner Liaison) and Sam Walton (Policy Analyst Land and Freshwater).

1. APOLOGIES

Resolution: Cr Hope Moved, Cr Wilson Seconded:
That the apology for Lyn Carter be accepted.
MOTION CARRIED

Cr Michael Deaker, Cr Andrew Noone, Mr Edward Ellison and Dr Pim Borren attended the meeting electronically.

2. PUBLIC FORUM

No public forum was held.

3. CONFIRMATION OF AGENDA

The agenda was confirmed as published.

4. CONFLICT OF INTEREST

No conflicts of interest were advised.

5. CONFIRMATION OF MINUTES

Resolution: Cr Hope Moved, Cr Robertson Seconded
That the minutes of the meeting held on 13 April 2022 be received and confirmed as a true and accurate record.
MOTION CARRIED

6. ACTIONS

The open actions on the resolutions of the Strategy and Planning Committee were reviewed.

7. MATTERS FOR CONSIDERATION

7.1. Joint Future Development Strategy with Dunedin City Council

The report was provided to inform the Committee of the requirement to develop a Future Development Strategy (FDS), and to seek approval of an interim governance structure, to work in partnership with Dunedin City Council (DCC) to deliver the FDS for Dunedin. Anita Dawe (GM Policy and Science) and Lisa Hawkins (Acting Manager Planning and Policy) were present to speak to the report and respond to questions.

Mrs Hawkins said that a similar paper went to the Dunedin City Council Planning and Environment Committee the previous week and advised that they will be working to a tight timeframe. Ms Dawe spoke about the impacts of resourcing in Urban Planning and the RPS teams, advising she is currently recruiting for the two vacant Urban Planner roles, and that Lisa Hawkins will soon be leaving ORC.

Resolution SP22-112: Cr Calvert Moved, Cr Wilson Seconded
That the Strategy and Planning Committee:

1) ***Notes*** *this report.*
2) ***Endorses*** *the recommendation that DCC act as lead coordinator in the preparation of the Dunedin FDS and Implementation Plan, subject to endorsement of Dunedin City Council.*
3) ***Endorses*** *the workshop approach, noting that workshops are held in public excluded sessions.*

4) ***Endorses*** *the interim governance arrangement for the period leading to the 2022 local government elections, and refers the ESG membership and the public/ non-public nature of the proposed workshops and any ancillary matters to the incoming Council to discuss who and how it moves forward.*

MOTION CARRIED

7.2. Joint Future Development Strategy with Queenstown Lakes District Council

The report was provided to inform Council of the requirement to development a Future Development Strategy (FDS), and to seek endorsement of a governance structure, to work in partnership with Queenstown Lakes District Council (QLDC) to deliver the FDS for Queenstown. Gavin Palmer (GM Operations), Anita Dawe (GM Policy and Science) and Lisa Hawkins (Acting Manager Planning and Policy) were present to speak to the report and respond to questions.

Mrs Hawkins spoke of the Grow Well Whaiora Partnership, and following discussion, Cr Noone moved:

Resolution SP22-113: Cr Noone Moved, Cr Wilson Seconded

That the Strategy and Planning Committee:

1) ***Notes*** *this report.*

2) ***Endorses*** *the approach to build on the Spatial Plan for Queenstown Lakes District to fulfil the requirements of delivering an FDS.*

3) ***Endorses*** *the use of the existing Grow Well Whaiora Partnership to deliver the FDS in partnership with QLDC.*

MOTION CARRIED

7.3. South Dunedin Future – Programme Plan

The report provided an update on the South Dunedin Future (SDF) programme and for Committee approval to proceed on the basis outlined in the attached programme plan. Gavin Palmer (GM Operations) and Jonathan Rowe (Programme Manager, South Dunedin Future) were present to speak to the report and respond to questions.

Following discussion, Cr Robertson said this is a quantum leap forward from where we have been, and it affects all of Dunedin. She said there will be a need to look at the governance structure in the new triennium, and thanked Jonathan Rowe and the team for their input.

Resolution SP22-114: Cr Wilson Moved, Cr Scott Seconded

That the Strategy and Planning Committee:

1) ***Notes*** *this report titled South Dunedin Future – Programme Plan.*

2) ***Notes*** *the contents of the attached South Dunedin Future Programme Plan, which outlines the proposed process for developing a climate change adaptation strategy and implementation plan for South Dunedin.*

3) ***Endorses*** *the proposed approach to delivering the South Dunedin Future programme, which includes utilising the Dynamic Adaptive Planning Pathways (DAPP) methodology, as recommended by the Ministry for the Environment for climate change adaptation work.*

4) ***Notes*** *the proposed strategic intent for the South Dunedin Future programme, noting this is interim, will be further developed to incorporate mana whenua inputs, and that Council approval of a final version will be sought in due course.*

5) ***Endorses*** *the proposed scope of the South Dunedin Future programme, noting the complexity, uncertainty and interdependence of the issues involved, and the graduated and flexible nature of the scope.*

6) ***Notes*** *the systemic nature of climate change and urban development issues will require the South Dunedin Future programme to examine the wider natural hazards environment, and to consider city-wide planning and infrastructure issues, when assessing the implications for South Dunedin.*

7) ***Endorses*** *the proposed South Dunedin Future governance and management arrangements, noting these arrangements may need to be revisited in future, including following the local government elections in October 2022.*

8) ***Endorses*** *the continued collaboration between Dunedin City Council (DCC) and Otago Relational Council (ORC) to manage and deliver the South Dunedin Future programme*

9) ***Approves*** *the South Dunedin Future Programme Plan attached to this report.*

MOTION CARRIED

Cr Noone left the meeting at 3.05pm.

The meeting adjourned for a break at 3.05pm and reconvened at 3.15pm.

7.4. Water Services Entities Bill

The report provided the Committee with an overview of the Water Services Entities Bill (the Bill) which will be considered by the Government's Finance and Expenditure Committee, and the initial comments of Otago Regional Council (ORC) staff as to how the Bill may impact ORC. Lisa Hawkins, Anita Dawe (GM Policy and Science) and Warren Hanley (Senior Resource Planner Liaison) were present to speak to the report and respond to questions.

Ms Dawe said that the submission is from an operational perspective. During discussion Cr Wilson said there should be Councillor involvement in the submission to give a community perspective. Cr Calvert and Cr Laws clarified that the Otago Regional Council, neither staff or Governance, has a policy position on the Three Waters Reform.

Resolution SP22-115: Cr Laws Moved, Cr Calvert Seconded

That the Strategy and Planning Committee:

1) ***Notes*** *this report.*

2) ***Notes*** *that staff will make a staff submission, lodged under delegation by the Chief Executive, and report back at the 24 August 2022 Council meeting.*

3) ***Notes*** *that the Otago Regional Council have no policy position on three waters reform, and that any staff submission will relate to the technical aspects of the Water Services Entities Bill.*

MOTION CARRIED

7.5. Proposed National Policy Statement for Indigenous Biodiversity (NPS-IB)

The report gave an overview of the key aspects of the exposure draft on the Ministry for the Environment's (MfE) National Policy Statement for Indigenous Biodiversity (NPS-IB) that was released on 9 June 2022, and was provided for the Committee's endorsement to lodge a staff submission on the exposure draft. Anita Dawe (GM Policy and Science), Warren Hanley (Senior Resource Planner Liaison) and Tom de Pelsemaeker (Acting Manager Policy) were present to speak to the report and respond to questions.

Mr de Pelsemaeker provided an overview of key messages likely to be included in a staff submission, which he said were also provided in the report. There was discussion regarding staff submissions, and Dr Borren expressed his view that the risk with staff submissions is where the staff position could be different to the governance position. He said his preference would be to have whole of Council submissions.

Resolution SP22-116: Cr Calvert Moved, Cr Scott Seconded

That the Strategy and Planning Committee:

1) ***Notes this report.***
2) ***Approves t****he lodgement of a submission, signed by the Chief Executive under authorised delegation; on the Ministry for the Environment 2022 exposure draft of the National Policy Statement for Indigenous Biodiversity (NPS-IB).*
3) ***Notes*** *that a copy of the submission will be included in a report back to a full Council meeting in August 2022.*
4) ***Appoints*** *Cr Robertson and Cr Wilson to work with staff to develop a whole of Council submission in line with this paper.*

MOTION CARRIED

Cr Deaker left the meeting.

7.6. Summary of feedback received and policy guidance derived from region wide policy direction and guidance workshop April 2022

The report provided the Committee with a summary of the feedback and policy guidance on regionwide issues obtained from Councillors and Iwi representatives during a series of workshops held between 29 September 2021 and 13 April 2022. This feedback and policy guidance will inform the development of the proposed Land and Water Regional Plan (LWRP). Anita Dawe (GM Policy and Science), Tom De Pelsemaeker (Acting Manager Policy) and Sam Walton (Policy Analyst Land and Freshwater) were present to speak to the report and respond to questions.

Cr Wilson and Cr Forbes left the meeting at 4:00pm

Resolution SP22-117: Cr Laws Moved, Cr Calvert Seconded

That the Strategy and Planning Committee:

1) ***Notes*** *this report.*
2) ***Notes*** *the policy guidance confirmed by Councillors and Iwi representatives on the Strategy and Planning Committee during workshops held between 29 September 2021 and 13 April 2022 and appended as Attachment 1.*
3) ***Agrees*** *that recommendation 3 in the report lay on the table until the next Strategy and Planning Committee meeting.*

MOTION CARRIED

7.7. Report back on the first stage of FMU consultation for the development of the LWRP

The paper summarised the results and learnings from Stage 1 of the Freshwater Management Unit (FMU) community consultation for the development of the proposed Land and Water Regional Plan (LWRP). Anita Dawe (GM Policy and Science), and Tom de Pelsemaeker (Acting Manager Policy) were present to speak to the report and respond to questions.

Resolution SP22-118: Cr Hope Moved, Cr Malcolm Seconded
That the Strategy and Planning Committee:

*1) **Notes** this report.*
MOTION CARRIED

7.8. Overview of approach and timing for future consultation stages for the development of the LWRP

This paper provided an overview of the ongoing consultation and engagement to inform the development of the proposed Land and Water Regional Plan (LWRP) and advises of steps to ensure communities and key stakeholders are kept both informed and engaged in this work. Anita Dawe (GM Policy and Science), Tom De Pelsemaeker (Acting Manager Policy), and Rachel Currie (Project Manager, Land and Water Regional Plan) were present to speak to the report and respond to questions.

Mr de Pelsemaeker advised there was a need for another round of consultation and staff are seeking endorsement from the Committee. Ms Dawe said that there are timing issues, not as a result of a third consultation, but due to the release in June 2022 of MfE's guidance on look-up tables for setting nutrient targets for periphyton.

Cr Laws left the meeting at 4:10pm.

The meeting lapsed at 4:10pm due to a loss of quorum. Cr Robertson, Cr Calvert, Mr Ellison Cr Hope, Cr Kelliher, Cr Malcolm and Cr Scott were present.

Cr Laws rejoined the meeting electronically at 4:15pm.

The meeting resumed at 4:15pm as the quorum was regained.

Cr Malcolm spoke of the letter from the North Otago FMU stakeholder group and requested the Chief Executive, Chair and Deputy Chair meet with the North Otago stakeholder group to establish a LWRP engagement process that meets the needs of the community, the government timeframe for the LWRP, and ORC staff programme. Cr Robertson responded, saying it wasn't fair to focus on one particular area. Mr Ellison said that this was the reason the LWRP Governance Group was established.

Mr Ellison advised he needed to leave the meeting at 4:50pm, and as the meeting would be inquorate Cr Robertson moved:

Resolution: Cr Robertson Moved, Cr Hope Seconded
That the Strategy and Planning Committee meeting adjourn and reconvene at 8:30am on 14 July 2022.
MOTION CARRIED

Cr Robertson reconvened the meeting at 8:34am on 14 July 2022, with all members present.

Following discussion, a procedural motion was moved by Cr Hope:

Resolution SP22-119: Cr Hope Moved, Cr Wilson Seconded
That the Strategy and Planning Committee:

1) ***Lay** papers 7.8 and 7.9 on the table to allow the Land and Water Governance Group to feed into it and then meet late July 2022 for a workshop, then Strategy and Planning meet to confirm a way forward.*

A division was called:
Vote

For:	Cr Calvert, Cr Deaker, Cr Hope, Cr Kelliher, Cr Laws, Cr Malcolm, Cr Noone and Cr Wilson
Against:	Dr Lyn Carter, Mr Edward Ellison, Cr Forbes, Cr Robertson and Cr Scott

MOTION CARRIED (8 to 5)

8. CLOSURE

There was no further business and Chairperson Robertson declared the meeting closed at 8:52am.

_____ _____

Chairperson Date

Minutes of a meeting of the Extraordinary Strategy and Planning Committee held in the Council Chamber on Wednesday 27 July 2022 at 3:30pm

Membership

Cr Gretchen Robertson	*(Co-Chair)*
Cr Kate Wilson	*(Co-Chair)*
Cr Hilary Calvert	
Dr Lyn Carter	
Cr Michael Deaker	
Mr Edward Ellison	
Cr Alexa Forbes	
Cr Carmen Hope	
Cr Gary Kelliher	
Cr Michael Laws	
Cr Kevin Malcolm	
Cr Andrew Noone	
Cr Bryan Scott	

Welcome

Chairperson Wilson welcomed Councillors, members of the public and staff to the meeting at 3:31pm. Staff present in the Chamber included Pim Borren, (interim Chief Executive), Anita Dawe (GM Policy and Science), Tom Dyer (Manager Science) and Dianne Railton (Governance Support), and present electronically was Gavin Palmer (GM Operations).

1. APOLOGIES

Resolution: Cr Noone Moved, Cr Kelliher Seconded:
That the apologies for Cr Scott be accepted, and Cr Laws for lateness.
MOTION CARRIED

Dr Carter, Cr Deaker, Mr Ellison, Cr Hope, Cr Malcolm and Cr Robertson attended the meeting electronically.

2. CONFIRMATION OF AGENDA

The agenda was confirmed as published.

3. CONFLICT OF INTEREST

No conflicts of interest were advised.

4. MATTERS FOR CONSIDERATION

Chairperson Wilson advised that the Strategy and Planning Committee meeting on 13 July 2022, resolved to lay papers 7.8 and 7.9 on the table to allow the Land and Water Governance Group to feed into it and then meet late July 2022 for a workshop, then Strategy and Planning meet to confirm a way forward. Chairperson Wilson confirmed that the workshop had been held prior to the Strategy and Planning Committee, and the papers have been brought to the Committee as papers 4.1 and 4.2.

4.1. LWRP Governance Group Report Update

The report provided written updates from the most recent Land and Water Regional Plan (LWRP) Governance Group on the LWRP project to the Strategy and Planning Committee. Anita Dawe (GM Policy and Science) was present to speak to the report and respond to questions.

Ms Dawe advised the report format was agreed by the LWPR Governance Group and replaces the verbal updates previously given to the Strategy and Planning Committee. Cr Noone noted the pressure of the timeline, saying that staff are working at pace.

Ms Dawe spoke of the High Court declaration in relation to the proposed RPS as a freshwater instrument that was advised on Friday 22 July 2022. She said the RPS team are working through implications, and there will be a series of steps, papers and pathways that will be brought back to Council.

Resolution SP22-120: Cr Noone Moved, Cr Calvert Seconded
That the Strategy and Planning Committee:

1) ***Notes*** *the reports and the current tracking of the LWRP project as at 31 May 2022 and 11 July 2022.*

MOTION CARRIED

Cr Laws joined the meeting.

4.2. Overview of approach and timing for future consultation stages for the development of the LWRP

This report provided an overview of the ongoing consultation and engagement to inform the development of the proposed Land and Water Regional Plan (LWRP) and advises of steps to

ensure communities and key stakeholders are kept both informed and engaged in this work. Anita Dawe (GM Policy and Science) was present to speak to the report and respond to questions.

Cr Calvert said in moving the report be noted, she recognised the balance of the recommendations in the report were not considered. Cr Calvert advised there were views expressed by Councillors at the workshop held prior to the Committee meeting, and noted she thought it important those views were collated by staff and brought back to the next meeting.

Resolution SP22-121: Cr Calvert Moved, Cr Noone Seconded
That the Strategy and Planning Committee:

*1) **Notes** this report.*

A division was called:
Vote

For:	Cr Calvert, Lyn Carter, Cr Deaker, Cr Hope, Cr Kelliher, Cr Laws, Cr Malcolm, Cr Noone and Cr Wilson
Against:	Edward Ellison, Cr Forbes and Cr Robertson

MOTION CARRIED (9 to 3)

5. CLOSURE

There was no further business and Chairperson Wilson declared the meeting closed at 3:48pm.

_____ _____
Chairperson Date

OPEN ACTIONS FROM RESOLUTIONS OF THE STRATEGY AND PLANNING COMMITTEE AT 10 AUGUST 2022

Meeting Date	Item	Status	Action Required	Assignee/s	Action Taken	Due Date
13/04/2022	PPT2116 Shaping Future Dunedin Transport Fares and Frequency Business Case	Completed	Cr Forbes, Cr Noone and Cr Deaker to present the report to the members of Connecting Dunedin at the earliest opportunity and to discuss it at the next meeting. **Res SP22-108**	Chairperson	**05/05/2022 Governance Support Officer** Chair Noone has contacted Mayor Hawkins about an opportunity for ORC to present where things are at with the Business Case - either by way of Connecting Dunedin or some other forum. The Mayor has followed up with staff, who advised that there will be an opportunity in the near future. **04/07/2022 Governance Support Officer** At the Connecting Dunedin meeting on 7 June 2022, Doug Rodgers (Transport Manager) and Garry Maloney (Principal Advisor - Transport Planning) gave a presentation of the scope regarding the draft Fares and Frequency Business Case. This was well received.	30/06/2022
10/11/2021	SPS2162 Otago Lakes Strategic Plan – Scope	In Progress	Procure the services of a consultant to carry out the scoping study – Stage 1. **RES SP21-122**	General Manager Governance, Culture and Customer, Manager Strategy	**05/04/2022 Governance Support Officer** Project scope due to go out to tender soon. This has been delayed by other work priorities. Scope review expected to be underway by end of financial year, with probable completion by September 2022. **02/08/2022 General Manager Governance, Culture and Customer** The contract was awarded to Landpro who are underway with the project. Landpro's report is due at the end of September. Will be reported to Council in the new triennium.	30/09/2022
13/04/2022	HAZ2201 Otago Active Faults: Planning Options	In Progress	Provide a report to the relevant Council Committee by January 2023 on a recommended option and implementation plan, developed in collaboration with Territorial Authorities, for incorporating a tiered approach into planning frameworks across Otago. **Res SP22-104**	General Manager Operations, Manager Natural Hazards	**14/06/2022 Executive Assistant, Operations** In preparation.	31/01/2023

7.1. Climate Change Briefing and Update

Prepared for:	Strategy and Planning Committee
Report No.	STG2202
Activity:	Governance Report
Author:	Francisco Hernandez, Principal Advisor Climate Change Anne Duncan, Manager Strategy
Endorsed by:	Amanda Vercoe, General Manager Governance, Culture and Customer
Date:	10 August 2022

PURPOSE

[1] This report (i) outlines the Otago Regional Council's (ORC) existing climate change programs and initiatives (ii) compares the ORC's climate change programme to other regional/unitary local governments and (iii) outlines a high-level climate roadmap for the Otago Regional Council.

EXECUTIVE SUMMARY

[2] This briefing provides an update of existing Climate Change initiatives and programmes in the Otago Regional Council within the context of wider local government climate change action. It also provides a high-level overview of the direction of the climate change programme going forward.

[3] The climate stocktake has been developed with input from staff across the Otago Regional Council and includes adaptation and mitigation initiatives and programs. While the focus is on climate change programmes, initiatives that are not standalone climate change programmes, but which will have a big impact on climate change will be included such as the Regional Land Transport Plan and river management programmes. A high-level summary is provided in the discussion section of the paper with the full stocktake in Attachment 1.

[4] The literature review of local government initiatives has examined the responses of unitary and regional local authorities around New Zealand about climate change adaptation and mitigation. It contextualises where the Otago Regional Council is in comparison to other local governments. A summary of the findings is provided in the discussion section with the full review attached as Attachment 2.

[5] The climate roadmap outlines at a high-level ORC's next steps in our climate journey with the ultimate objective of integrating climate change more fully into our business-as-usual work programmes with the development of a climate action plan.

RECOMMENDATION

That the Strategy and Planning Committee:

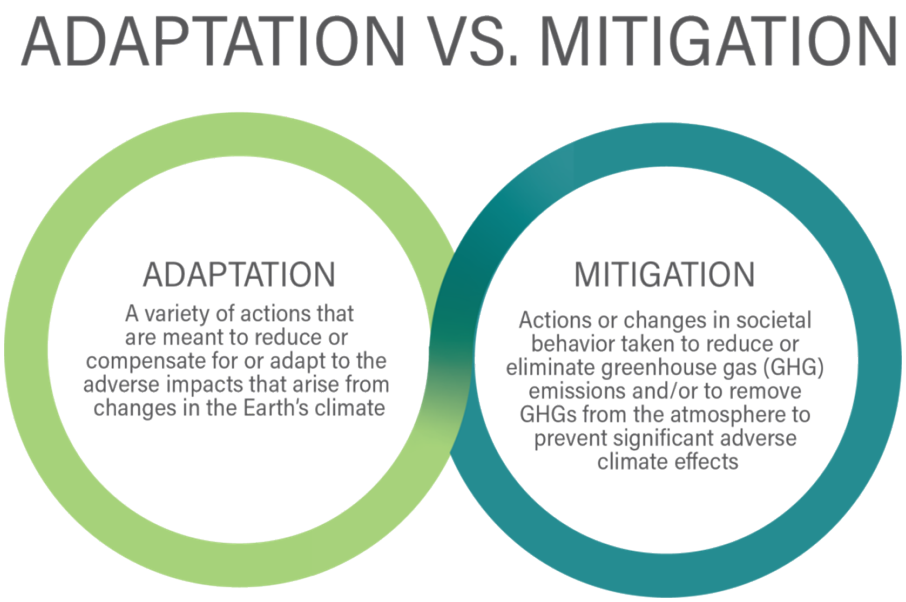
1) ***Notes*** *this briefing titled Climate Change Briefing and Update.*

2) ***Notes*** *the high-level direction of the Climate Change Roadmap.*

3) ***Notes*** *that further work will be developed and presented to the Council after the election.*

BACKGROUND

[6] Climate Change is of increasing concern to New Zealanders. 78% of New Zealanders who were surveyed in the IAG-IPSOS Climate Change Poll 2022 expressed that climate change is an important issue and 74% agreed that councils should help build infrastructure that reduce climate impacts.



The regional context

[7] In a Council Public forum on 26 June 2019, members of the public asked Council to declare a climate emergency. After considering the possibility of doing so, Council passed a motion on 14 August 2019 saying that *"Otago must continue to prepare for the certainty that climate change will present emergency situations in many areas of our region and will therefore continue to give high priority to adaptation to climate change, especially in our flood and drainage schemes and in South Dunedin, and to minimising our carbon emissions."*

[8] In the 2021-2031 Long Term Plan, the Council committed to several Level of Service indicators on climate change such as (i) ensuring a regional GHG inventory is completed and reported to Council by June 2023 and June 2025(ii) an updated Otago Climate Change Risk Assessment is completed and reported to council by 31 Dec 2026 (iii) an annual report on climate change regional collaboration is reported to council starting from June 2023 with regional partnership priorities and approach defined, formalised and reported by 30 June 2025.

[9] ORC's Strategic Directions which guided the development of the Long-term Plan also has an explicit section on an "Effective Response to Climate Change" where it states that ORC will *"Lead a regional approach to climate change to: Enable climate change*

mitigation and meeting New Zealand's emissions targets and support Otago communities adapting to climate change effects." It also says that ORC will *"engage communities to increase understanding about climate change and its impacts and monitor the region's carbon-footprint and set an example to manage emissions as an organisation."*

[10] In the Proposed Regional Policy Statement (RPS) there are several priorities that concern climate change. The most relevant sections which explicitly concern climate change are listed as a separate table on Attachment 1.

[11] Other planning and policy instruments that relate to climate change include the ORC's Infrastructure Strategy, Regional Public Transport Plan, Regional Land Transport Plan, Biodiversity Action Plan and many others with a more comprehensive list available in Attachment 1.

[12] There is ongoing work within the region to collaborate on Climate Change issues. At a high level, climate change is a standing item on the Otago Mayoral Forum. At an officer's level an Otago Climate Change Officers' Working Group has been stood up, building on collaboration between the ORC and local councils on issues such as the Otago Climate Change Risk Assessment and the Greenhouse Gas Inventory.

[13] The Otago region has been described by NIWA (2015) as 'perhaps being the most diverse of any region in New Zealand.' The Otago Climate Change Risk Assessment (OCCRA) says that climate change projections for the Otago region 'include warmer temperatures, with more hot days and fewer frosts. Winter and spring are expected to be wetter, but with significant decreases in seasonal snow likely.' More swings in seasonality are also expected, along with more extreme weather events and sea level rises.

[14] The changing climate will have a significant impact on the economic and social wellbeing of the Otago community and the ORC has a responsibility to ensure that the community is prepared to adapt to climate change. Climate risks include flooding and extreme weather events disrupting critical supply chains, wildfire risks, and the increased cost of doing business. Even outside these serious risks, there will be a need to adapt farming and tourism activities as the weather and climate changes. For example, recreational and tourism industries that rely on snow may need to pivot to other types of tourism with the average temperature increasing to up to 1.5°C and snow days reducing by up to 15 days by 2040. By 2090, we could see seasonal mean temperatures increase by up to 3.5°C and snow days decreasing by up to 20 days.

<u>The National Context</u>

[15] National direction has been set and will continue to evolve for climate adaptation and mitigation. The *Climate Change Response (Zero Carbon) Amendment Act 2019* provides the framework for the national direction for climate change.

In mitigation, the Climate Change Commission published advice on 31 May 2021 with recommendations for emissions budgets with the intention of achieving net zero carbon dioxide emissions and a 24-47% reduction in methane emissions by 2050. The Government responded this year through the Emissions Reduction Plan which outlines the emissions reduction pathway for different sectors and proposes policies achieve these goals. The Emissions Trading Scheme (ETS) will also continue to play a strong role in reducing emissions with the price on New Zealand Units (NZUs) contributing to businesses and participants in the ETS making decisions that add up to a lower emissions economy.

[16] In adaptation, the Ministry for the Environment published a National Climate Change Risk Assessment on 3 August 2020 and created some guidelines for other authorities to prepare climate change risk assessments. Earlier this year on 28 April 2022 they responded to the Climate Change Risk Assessment by publishing the draft National Adaptation Plan which outlined policy direction and a serious of measures on adaptation. The final National Adaptation Plan is expected in early August 2022.

DISCUSSION

[17] For the ease of understanding this section is divided into two sections, adaptation and mitigation. But it is important to recognise that the divide is not as clear cut as suggested, for example the work to understand and mitigate climate risk in adaptation will help preserve valuable sources of sequestration such as wetlands and forestry which help in mitigating climate change.

[18] Some initiatives and programmes also cut across climate adaptation and mitigation. The work that ORC does to monitor air and water quality can assist both climate adaptation and mitigation.

Adaptation

[19] The ORC has several measures and partnerships in place to help communities adapt to the impacts of climate change. The most recent is the South Dunedin Future partnership programme which was extensively discussed and approved at the last meeting of the Strategy and Planning Committee. Other partnerships include Head of the Lake Wakatipu Project, Clutha Delta Project and the Henley project.

[20] The Otago Climate Change Risk Assessment (OCCRA) was published in March 2021 and provides a comprehensive overview of climate change risk in the region. It identified key risks to the natural environment, the economy, built environment and communities.

[21] Work is being scoped out by Natural Hazards to further publicise the OCCRA among the wider community and to plan out the next steps for developing the next climate change risk assessment.

[22] In addition, several of the council's business as usual functions aid the task of climate adaptation. These include measurement of air and water quality, flood protection, groundwater monitoring, biodiversity protection and many others that are listed in Attachment 1.

Mitigation

[23] ORC is at the beginning stage of developing a work programme that works to reduce emissions, both at an organisational level and community level. Organisational level mitigation is reducing emissions that produced as a by-product of activities performed by the council. Community level or regional mitigation is the work we do to support or facilitate wider emission reductions across the Otago Region. While there is no explicit legislative requirement for regional councils to take this role, there is increasing national level direction on some functions that the ORC controls such as public transport. In addition, ORC has recognised the growing community support to take a regional leadership role on climate change

[24] At an organisational level, we are working on updating the organisational Greenhouse Gas inventory that was first compiled in 2020. An update is coming to Council at the next council meeting which will present the 2020-21 inventory and a further update is due to council after the election which will outline 2021-2022 inventory of emissions and present a plan for internal mitigation.

[25] At a regional level, the ORC is in the process of further developing specific mitigation programmes, strategies or initiatives. There are several ad-hoc climate mitigation partnerships and initiatives that the ORC is already part of such as the Dunedin Zero Carbon Alliance, and we have begun to take a regional approach on climate change through the Otago Mayoral Forum and Otago Regional Climate Officers Working Group. Further work in this area is under development.

[26] Aside from specific mitigation programmes, the ORC's business as usual work programmes help mitigate climate change by facilitating emissions reductions in the wider community.

[27] Transport: The Regional Land Transport Plan and the Regional Public Transport Plan has a focus on assisting decarbonisation through decarbonising the bus fleet, assisting wider mode shift and improving public transport. The recent announcement of ORC's commitment to decarbonise the public transport fleet in Dunedin is the continuation of an existing stream of work led by the Transport team.

[28] Agriculture: The upcoming Land and Water Plan will help implement the central Government's National Policy Statement for Freshwater Management. While emissions reduction is not a focus of this work, modelling from He Waka Eke Noa and the Ministry for Primary Industries suggests that the implementation of the freshwater management reforms could lead to emissions reduction of between 2-4% by 2030.

[29] Sequestration: Trees, wetlands and other carbon sinks in the Otago region sequester 2,640,398 tc02e annually. While there are no specific council work programmes that encourage climate sequestration, work that council does helps protect existing sources of sequestration. These include the work in implementing the NES for Plantation Forestry, regulations to manage burn offs and the biodiversity action plan.

Local government and climate action in Aotearoa

[30] This literature review is an assessment of publicly available information on the regional and unitary local governments in Aotearoa. Every regional and unitary local government has been given a score out of 8 with four criteria making up two points each: risks identification, adaptation action, internal mitigation and area mitigation. An explanation of the ranking criteria is included in Attachment 2.

[31] Except for the Otago Regional Council, the assessment has been done only with publicly accessible information that was available in early July 2022. Draft plans and processes that are in development have been excluded from the analysis.

[32] Out of the unitary and regional local governments in New Zealand, the Otago Regional Council is third overall in terms of climate action with an overall score of 7. The average score is 5.6.

Local Government and Climate Change Adaptation

[33] The Otago Regional Council is one of six councils that have done a comprehensive identification and analysis of the risks of climate change impacts. Only three councils have developed a comprehensive adaptation strategy or set of actions.

[34] While the ORC has partnered with the Dunedin City Council (DCC) to develop a comprehensive adaptation strategy for South Dunedin through the South Dunedin Future programme, a regionwide plan or strategy is not yet in place to ensure adaptation action is prioritised throughout the region.

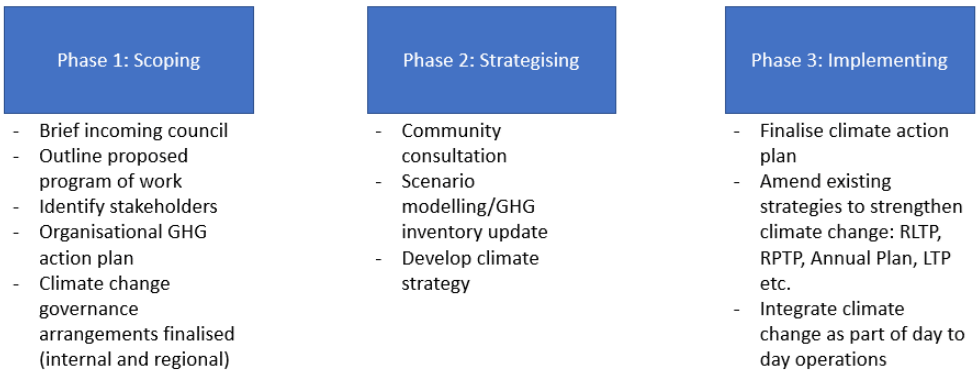
Local Government and Climate Change Mitigation

[35] Most of the councils have a greenhouse gas inventory of internal or organisational emissions along with a set of actions to achieve emissions reductions. However, less than half have comprehensive measures which will facilitate serious organisational emissions reduction.

[36] While all but two councils had some ad-hoc climate change actions or plans, only four councils have a comprehensive strategy or set of actions in place to help reduce community or area emissions.

[37] Only six councils have specifically commissioned stand-alone emissions inventories of their region. This is a critical step for a council that wants to help facilitate emissions reductions in the wider community as the greenhouse gas inventories produced by Stats NZ is not granular enough for interventions.

Future programme



[38] The diagram above outlines three proposed key phases of the climate change roadmap. The proposed final destination is to integrate climate change as part of the council's day to day operations across the organisation.

[39] Phase one is the "scoping" phase which we anticipate we will complete by the end of this year. This will involve briefing the incoming council after the election and holding workshops with the newly elected council to outline and approve a proposed program of work in greater detail. This phase will also see the development of an organisational climate action plan to reduce the ORC's own emissions so when we're having conversations with the community about climate change, they know we're prepared to walk the walk. Stakeholders will also be identified in this phase of the work. This phase will also see climate governance arrangements set up internally within council and across the region with options going to council for approval.

[40] Phase two is the "strategising" phase which we are hoping we will complete by the end of next year. This will involve working with our Kāi Tahu partners and reaching out to stakeholders and the wider community to engage them about how the region should be addressing the challenges of climate change. This phase will also see the regional greenhouse gas inventory updated and mitigation scenario modelling developed. The critical question that will need to be addressed at this phase is the level of ambition that the community have. By the end of 2023 we are hoping that with input from the community and with scenario modelling developed, the region can commence setting the strategic direction we want to be driving towards for phase 3. A key challenge will be to develop the appropriate structures and mechanisms which will be needed to support regional collaboration on climate change for the long term. A key risk is that this will be complex, may be affected by the reform agenda, and may take longer than anticipated. Noting however, that agreement on those will be key to success of implementation. So far preliminary discussions with the TLAs have been positive with all parties understanding the importance of collaboration in addressing climate change.

[41] Phase three is the "implementing" phase where the climate strategy that we have developed for the region will commence implementation. The climate action plan will outline the steps we will need to take to ensure that the goals we have set in the climate

strategy are implemented. The next LTP will be under review in 2024 which will be a good opportunity to ensure that they are aligned with climate goals. Ultimately, by the end of 2024, we want to be confident that we have integrated climate change as part of our day-to-day operations.

[42] It is important to note that this roadmap will need to be adaptive and collaborative to take into account emerging reforms from the RMA and Future of Local Government Review.

OPTIONS

[43] NA.

CONSIDERATIONS

Strategic Framework and Policy Considerations

[44] The alignment with the Strategic Directions, RPS and LTP are described in the paper.

Financial Considerations

[45] There are no specific financial considerations associated with this paper. A more detailed budget funded with existing resources may be presented with the programme plan presented to the council.

Significance and Engagement

[46] The consideration of this consultation, and any subsequent submission is consistent with ORC's Significance, Engagement and Māori Participation policy.

Legislative and Risk Considerations

[47] There are no obvious legislative or risk considerations.

Climate Change Considerations

[48] The paper is about climate change and climate change considerations are described in the body of the paper.

Communications Considerations

[49] ORC will need to consider how to pitch the climate roadmap for the wider region.

NEXT STEPS

[50] ORC staff will organise a climate change workshop post-election which will include the presentation of a more detailed climate change programme.

ATTACHMENTS

1. Climate Stocktake Editable Table [**7.1.1** - 11 pages]
2. Paper Climate Action and Local Government in Aotearoa For Council [**7.1.2** - 5 pages]

Attachment 1: ORC Climate Change Related Project Stocktake

Table 1: Existing Climate Change Projects and Initiatives

Project description	**Work plan** (completed/current/on-going/Next AP/LTP)	**How it relates to Climate Change (Domain/Risk if applicable/Adaptation vs mitigation)**	**Potential Cross-over**
Operations			
Natural Hazards:			
Otago Natural Hazards Risk Assessment: develop a comprehensive natural hazards risk assessment for the region and a regional approach for prioritising adaptation to inform adaptation planning and implementation	Current/Next AP	Effects of climate change on natural hazards will be considered	Policy, strategy, Engineering, Emergency Management
South Dunedin: Continue work to improve understanding of the physical environment to guide adaptation decisions and continue supporting the South Dunedin Future Programme with DCC	Current/ongoing	Considering SLR, effects on groundwater levels, pluvial flood risk changes and coastal change (erosion)	Policy, strategy, environmental monitoring, communications and engagement
Clutha Delta: improve understanding of the physical environment to guide adaptation decisions (in collaboration with CDC) and ORC infrastructures in the area. Assess the current and	Current	Considering SLR, effects on groundwater levels, fluvial and pluvial flood risk changes and coastal change (erosion)	Engineering, Policy

future performance of the Lower Clutha Flood Protection and Drainage Scheme			
Head of Lake Wakatipu: develop a natural hazard (including the effects of climate change) adaptation strategy	Current/LTP	Considering fluvial and pluvial flood risk changes, river-delta change and morphology, alluvial-debris-landslide risk change, lake flooding, liquefaction, erosion rates and sediment transport	Engineering, policy, Emergency Management, communications and engagement
Coastal hazards investigation and monitoring	LTP	Considering SLR, storm surge, erosion and morphology change	Science, Policy
River Morphology	Completed/ongoing/LTP	Living documents, updates will include consideration of fluvial flood risk changes and morphology change	Engineering
Otago Climate Change Risk Assessment	Completed/on-going	Considering all climate change risks to the region over 3 time periods out to 2100	All of council
South Dunedin Groundwater exhibit	Completed	Tool to assist educating the community on what groundwater is in the context of South Dunedin and what it might look like with sea-level rise as a result of climate change.	communications and engagement
Investigate options for Otago Climate Change Risk Assessment | videos	Current	Break down the Climate Change Risk Assessment into smaller blocks to educate the community on what might happen in their local area, and interview community members already taking action to help adapt,	Environmental Implementation, communications and engagement

		mitigate and build resilience in the face of climate change	
Investigate options for Otago Climate Change Risk Assessment | interactive game and data portal	Current	Broken down in a similar way to the video, providing an educational tool for students to better understand how members of their community (including themselves) can adapt and take mitigating action against climate change.	Environmental Implementation, communications and engagement
Engineering:			
Taieri Scheme Performance Review	Current	Review of current scheme performance. Assessment of current LoS adequacy. Engineering solutions compared to retreat, adaptation of LoS, increase LoS	Natural Hazards
Lower Clutha Scheme Review	LTP	Review of current scheme performance. Assessment of current LoS adequacy. Engineering solutions compared to retreat, adaptation of LoS, increase LoS	Natural Hazards
Leith Amenity Project completion	Current	Complete Engineering design for Leith to Harbour ensuring sea level and flooding adaptation	Natural Hazards
Lower Taieri Drainage and Pump Station Assessments	Current	Catchment investigations and pump station adequacy to	Natural Hazards

		accommodate increased weather events and drainage capability.	
Coastal Mouths	LTP	Strategy development of management of Coastal Mouths to ensure channel flows and drainage to mitigate flooding effects	Natural Hazards
Lindsay River Flood Protection Scheme	LTP	Investigations into progressing the Lindsay Flood Protection Scheme. Updating modelling, assessment of design and budgeting during this LTP cycle.	Natural Hazards.
Environmental Implementation:			
Collaboration with DairyNZ and B+LNZ	Current	Supporting appropriate stakeholder initiatives	Comms
Integrated Catchment Management	Current	Developing a framework for ICM	All of ORC
Transport:			
Electric bus rollout	Current	Roll-out of electric buses to decarbonize the public transport fleet	Transport
Mode shift	Current	Encourage mode shift through better public transport	Transport
CDEM			
Emergency management	Current	Emergency assistance from climate change exacerbated natural hazards	Natural Hazards
Governance, Culture and Customer			

Strategy:			
Develop and oversee Climate Roadmap	Current	Working to develop a climate change programme for the Otago Regional Council	All of ORC, Otago Region TLAs
Facilitating a regional approach to climate change	Current	Convening a regional climate change officers working group, reporting through Otago Mayoral forum	All of ORC (eventually)
Policy and Science			
Science:			
Building knowledge for Land and Water Regional Plan: assessment of climatic effects on water availability	FMU process (AP and LTP)	Climate change effects need to be considered as per RMA and for NPS, RPS, Plans etc. National models will be used wherever possible, however regional, FMU and catchment assessments will be required. Integrated assessment is required to estimate climatic change effects of land use change, water reliability, biodiversity, pest control, etc. Implementation of freshwater reforms also likely to lead to emissions reductions.	All of ORC – predominantly Environmental Monitoring, Policy, Hazards, Engineering, Rural Liaison, Comms
Building knowledge for National Policy Statement Indigenous Biodiversity: assessment of climatic effects on biological information (ecosystems, flora	LTP	As per above	As per above

and fauna biodiversity, pest management)			
Building knowledge for Coastal Plan (includes estuaries, marine and coast)	AP and LTP	As per above	As per above
Developing Air Implementation Plan	AP and LTP		As per above
Building knowledge for Land use change (climate change effects on land use, food production etc). Includes knowledge required for NPS Urban Development and Highly Productive Land	AP & LTP	As per above	As per above
Review SoE Monitoring Network for all of the above	AP & LTP	As per above	As per above
Environmental Monitoring:			
Review the environmental monitoring network to ensure it is “fit for purpose”	AP	The network needs to provide data to meet the needs of monitoring for Climate Change	Science, Natural Hazards
Complete asset plans identifying long-term network maintenance and technological advancements	LTP	Ensuring that the best use of new technologies especially when it comes to monitoring key indicators of climate change.	Science, Natural Hazards
Investigate locations and install 4 QC600 grade rainfall stations.	AP	These new stations will enhance coverage of the rainfall network so changes in rainfall patterns can better be assessed.	Science, Natural Hazards
Policy:			
Regional Policy Statement	Current / next year	Policy Direction to be provided to identify desired outcomes for our	Science, Natural Hazards, communications

		communities on Climate Change – adaptation and mitigation and resilience to. Will also direct a policy approach as to how to manage the development and use of natural resources in the context of Climate Change. it will cover elements such as biodiversity, hazards, water use and quality etc	
Water and Land Plan Review	Current / AP / LTP	Policy Direction will need to consider future impacts of climate change on water use, quality and quantity and appropriate use of land as it relates to water.	Science, consents, environmental monitoring, communications
Air Plan Review	LTP	A review of the Air Plan will cover a response to Air Quality and will need to address a range of issues relating to domestic heating which include fuel type, Otago's cold winters (and potential effects of climate change) and location of urban growth. Broader topics such as emissions from transport etc will also likely form part of the review.	Science, Environmental Monitoring, communications
Urban Development work plan	Current / on going	A work programme is currently being developed to address urban development and form in Otago. Whilst the details are still being bedded down there will be a	Science

		cross over with issues affected by climate change such as hazards, water availability, air quality and land suitability.	
Coast Plan Review	LTP	The Coast Plan is long overdue a review. the review will need to address climate change from a variety of perspectives including sea level rise, changes / threats to biodiversity, land use changes etc.	Science, Environmental Monitoring
Regulatory and Communications			
MARPOL Annex 6 – Shipping air emission's.	Monitor National implementation	Air emissions from shipping, essentially at Port Chalmers	Environment monitoring
Enviroschools	Current	Behaviour change and environmental education	Enviroschools
Corporate Services			
ORC Greenhouse Gas Emissions Assessment	Current	Identifies ORC annual emissions and establishes a benchmark on which to assess policy and implementation initiatives	Policy & Implementation initiatives set an example for other organisations. Increases ORC legitimacy with partnering organisations
Miscellaneous			
University of Otago Sustainability Interns	Current	ORC in talks to fund interns from the University of Otago's Sustainability Center to do research related to climate change	University of Otago

Otago Mayoral Forum	Current	Climate change is a standing item on the mayoral forum	

Table 2: Climate Change in the proposed Regional Policy Statement

Item	Statement
SRMR – L2	Climate change is likely to impact our economy and environment
RMIA-MKB-I3	Impacts of climate change on both species/habitat viability and increasing pest (flora/fauna) encroachments
IM-04	Otago's communities including Kāi tahu understand what climate change means for their future, and climate change responses in the region, including adaptation and mitigation actions are aligned with national level climate change responses and are recognises as integral to achieving the outcomes sought by this NPs
IM-P8	Recognise and provide for climate change processes and risks by identifying climate change impacts in Otago, including impacts from a te ao Māori perspective, assessing how the impacts are likely to change over time and anticipating those changes in resource management processes and decisions
IM-P9	By 2030 Otago's communities have stablished responses for adapting to the impacts of climate change, are adjusting their lifestyles to follow them and are reducing their greenhouse gas emissions to achieve net-zero carbon emissions by 2050
IM-P10	Identify and implement climate change adaptation and mitigation methods for Otago that: (1) minimise the effects of climate change processes or risks to existing activities, (2) prioritise avoiding the establishment of new activities in areas subject to risk from the effects of climate change, unless those activities, reduce, or are resilient to those risks, and (3) provide Otago's communities, including Kāi Tahu, with the best chance to thrive, even under extreme climate change scenarios
IM-P11	Enhance environmental resilience to the adverse effects of climate change by facilitating activities that reduce human impacts on the environment
IM-P12	Where a proposed activity provides or will provide enduring regionally or nationally significant mitigation of climate change impacts, with commensurate benefits for the well-being of people and communities and the wider environment, decision makers may, at their discretion, allow noncompliance with an environmental bottom line set in any policy or method of this RPS only if they are satisfied that: (1) the activity is designed and carried out to have the smallest possible environmental impact consistent

	with its purpose and functional needs, (2) the activity is consistent and coordinated with other regional and national climate change mitigation activities, (3) adverse effects on the environment that cannot be avoided, remedied, or mitigated are offset, or compensated for if an offset is not possible, in accordance with any specific criteria for using offsets or compensation, and ensuring that any offset is: (a) undertaken where it will result in the best ecological outcome, 99 (b) close to the location of the activity, and (c) within the same ecological district or coastal marine biogeographic region, (4) the activity will not impede either the achievement of the objectives of this RPS or the objectives of regional policy statements in neighbouring regions, and (5) the activity will not contravene a bottom line set in a national policy statement or national environmental standard
IM-M1	Local authorities must prepare or amend and maintain their regional district plans to: ... (2) give effect to any response to climate change developed under this RPS, if applicable, (3) provide for activities that seek to mitigate or adapt to the effects of climate change or reduce greenhouse gas emissions
IM-M3	By December 2025, Otago Regional Council must: (1) identify the specific types and locations of climate change impacts in Otago by undertaking a climate change risk assessment, including an assessment that incorporates a Kāi Tahu approach to climate change risk identification and evaluation, and (2) develop guidance to support communities to be prepared and resilient
IM-M4	By January 2027, local authorities (led by Otago Regional Council) must together, in partnership with Kāi Tahu and in consultation with Otago's communities, develop climate change responses for the region that achieve climate change adaptation and mitigation, and that include: (1) identifying natural and built resources vital to environmental and community resilience and well-being, 101 (2) identifying vulnerable resources and communities and developing adaptation pathways for them where possible, and (3) developing plans and agreements for implementation
LF-WAI-P3	... (6) has regard to foreseeable climate change risks
LF-VM-03	By 2050 in the North Otago FMU: ...(6) innovative and sustainable land and water management practises support food production in the area and improve resilience to the effects of climate change
LF-VM-04	By 2050 in the Taieri FMU: ...(6) innovative and sustainable land and water management practises support food production in the area and improve resilience to the effects of climate change
LF-LS-P20	Promote changes in land use or land management practises that improve: ... (2) resilient to the impacts of climate change
HAZ-NH-01	Otago's people, property and communities are prepared for and able to adapt to the effects of natural hazards, including climate change
HAZ-NH-P1	Identify areas where natural hazards may adversely affect Otago's people, communities and property by assessing: ... (4) any effects of climate change
HAZ-NH-P6	Protect natural or modified features and systems that contribute to mitigating the effects of natural hazards and climate change
HAZ-NH-M2	Local authorities must:

	... (4) prepare or amend and maintain their regional or district plans to take into account the effects of climate change by: (a) using the best relevant climate change data and projections to 2115, (b) taking a precautionary approach when assessing and managing the effects of climate change where there is scientific uncertainty and potentially significant or irreversible effects, (c) providing for activities that assist to reduce or mitigate the effects of climate change, and (d) encouraging system resilience.
HAS-NH-M5	Local authorities are encouraged to consider the use of other mechanisms or incentives to assist in achieving Policies HAZ–NH–P1 to HAZ–NH–P11, including: (1) preparing natural hazard strategies or other similar documents to assist in the management and reduction of natural hazard risk and adaptation to, and mitigation of, the effects of climate change, (2) developing community relevant responses to the impacts of natural hazards and climate change, in collaboration with key stakeholders and affected community, (3) undertaking research in collaboration with other local authorities and other stakeholders as appropriate, into natural hazards and climate change in Otago, and (4) providing information and guidance on: (a) management approaches to the avoidance or mitigation of natural hazards, (b) ways to adapt to and mitigate the effects of climate change, and (c) the benefits of natural features and systems in mitigating natural hazards.
UFD-O5	The impacts of climate change are responded to in the development and change of Otago's urban areas so that: (1) the contributions of current communities and future generations to climate change impacts are reduced, (2) community resilience increases, (3) adaptation to the effects of climate change is facilitated, (4) energy use is minimised, and energy efficiency improves, and (5) establishment and use of small and community-scale distributed electricity generation is enabled.
UFD-P1	...(3) maximise current and future opportunities for increasing resilience, and facilitating adaptation to changing demand, needs, preferences and climate change, 188 (4) minimise risks from and improve resilience to natural hazards, including those exacerbated by climate change, while not increasing risk for other development,
UFD-AER7	New developments are at minimal risk from natural hazards including changes to risk due to the impacts of climate change, and do not increase risk to existing or planned developments.
UFD-AER9	In existing urban areas at risk from natural hazards, including changes to risk due to the impacts of climate change, communities are informed, resilient and prepared for the effects of known natural hazard risks

Attachment 2: A scan of Regional/Unitary Climate Action in Aotearoa

Purpose:

The purpose of this project is to do a quick literature scan across the motu so that the Otago Regional Council (ORC) can be better informed about the wider context of climate action across Local Governments in Aotearoa.

Particular emphasis will be placed on regional and unitary authorities as the ORC is a regional council and scoping out what other regional councils are doing is more comparable than looking at Territorial Local Authorities (TLAs - but also referred to as local councils.)

Follow up work on this paper will look will also look closely at TLAs within the boundary of the Otago Regional Council. These are: Waitaki District Council, Central Otago District Council, Queenstown-Lakes District Council, Dunedin City Council and Clutha District Council. Compiling a regional climate stocktake for climate action in the Otago Region has been tabled for discussion on the agenda of the first meeting of an information working group of climate officers across the Otago region.

Methodology:

The websites of different council organisations were visited and the search term ‘climate change’ was used to find any relevant adaptation and mitigation or any other climate related action plans. The links were filed in the spreadsheet and the plans quickly scanned. The scan focussed on finding what councils are doing towards (1) adaptation - including identification of risks and pathways towards adapting to them (2) mitigation - at an organisational or internal basis to reduce council emissions and any area wide plans or strategies to reduce emissions in the area and (3) emissions profile of the area - also known as a greenhouse gas inventory.

As stated in the purpose section, this has been done primarily with a view towards examining regional councils. This has meant that the bulk of the analysis has concentrated on regional and unitary councils.

A follow up piece on climate action in the Otago region is underway and council officers of local councils within the Otago Regional Council’s area have been contacted to ensure that plans and projects in development which are not publicly accessible are captured in the review. It is not considered practical to extend this beyond the Otago Region as it does not align with the timeframe or scope of the work.

After completing the spreadsheet, a table for regional councils was constructed with four key questions. The questions were binary in nature with a council either having or not

having a risk profile or risk assessment for climate change in the area. Each regional council was assigned a score out of 2 based on assessment of the criteria (refer to table 1) and then the score was tallied up at the end. From the spreadsheet and table, the regional council responses to climate change were analysed - highlighting broad similarities and differences across regional and unitary authorities.

This paper has also been peer reviewed internally within the ORC with suggestions being incorporated from members of the Strategy team and SLT. It has also been externally reviewed by Matt de Boer from the Climate Change Commission with suggestions being incorporated into the final version of the paper.

Table 1: Analysis criteria for regional governments

Analysis criteria for regional governments

Adaptation criteria:

Risk Identification: How comprehensively has the council analysed the potential risks and impacts of climate change for the area.? - /2

A score of between 0 to 2 is awarded to councils. A maximum score of 2 is assigned to councils that have completed a climate change risk assessment.

Adaptation Action: Is there an adaptation strategy or a set of actions to help adapt to climate change in place? -/2

A score of between 0 to 2 is awarded to councils. A maximum score of 2 is assigned to councils that have developed a comprehensive regional adaptation strategy.

Mitigation criteria:

Internal Mitigation: Is there a plan or strategy to measure and deal with organisational emissions?

A score of between 0 to 2 is awarded. A maximum score of 2 is assigned to councils that have developed an internal greenhouse gas inventory and an action plan to deal with organisational emissions.

Area mitigation: Is there a plan or strategy to measure and reduce emissions in the area? /2

A score of between 0 to 2 is awarded. A maximum score of 2 is assigned to councils that have developed an area or community greenhouse gas inventory and proposed a plan or strategy to work with the community to facilitate emissions reductions.

An abridged version of this has been done for local councils - but not included in the table as that would have taken too much time and as too many local councils have not done much on the climate adaptation and mitigation front. The spreadsheet scan for councils was still done, but analysis according to the analysis criteria set out in table 1 would have taken too much time and not added much value for the task at hand.

Regional Councils and Unitary Authorities:

Table 2: Regional and unitary governments and climate action

Council	Risks identification	Adaptation Action	Internal mitigation	Area mitigation	Total
Redacted	2	2	2	2	8
Redacted	1	2	2	2	7
Redacted	2	2	1	1	6
Otago Regional Council	2	1	1.5	1.5	6
Redacted	2	1	1	1.5	5.5
Redacted	1	1	2	1.5	5.5
Redacted	2	1	1	1.5	5.5
Redacted	1	1	2	1	5
Redacted	1	1	2	1	5
Redacted	1	1	2	1	5
Redacted	1	1	2	1	5
Redacted	2	1	1	1	5
Redacted	1	1	1	1	4
Redacted	1	1	1	1	4
Redacted	1	0	0	0	1
Redacted	1	0	0	0	1

Risk identification:

Unsurprisingly every Regional Council has done some work to identify climate risks. What this entailed ran from a spectrum - with the lowest level being a vague reference to climate risk embedded in other plans - usually the coastal hazards or natural hazards plan to the highest level being a comprehensive regional climate risk assessment. Some councils such as *redacted* worked on a comprehensive risk identification

assessment - developing a regional climate change risk assessment. These regional climate change risk assessments are a more comprehensive and complete look at a climate risk from a regional perspective across a variety of lenses based on national level guidelines developed by the Ministry for the Environment.

While every region has conducted a risk identification exercise, there were a number that were quite out of date such as the *redacted* which appeared to be from 2008 and the *redacted* which dated from 2012.

Adaptation strategy:

Almost every council had an adaptation strategy, or a set of actions broadly lumped into adapting to climate change that was as part of a wider climate strategy. But as with risk identification there was a spectrum of responses to adaptation that differed across regional and unitary councils.

A few councils had comprehensive adaptation strategies for the whole region. For example, *redacted* Council has a comprehensive, standalone climate adaptation strategy it has developed with the district councils in the area – as well as making adaptation part of their wider climate change strategy. Others such as *redacted* has adaptation as part of a wider climate action plan. Some regions which appear not to have an adaptation strategy such as the *redacted* either have one in development or have mentioned climate change as part of long-term plans.

However, this does not align with the criteria of adaptation strategy being defined as something that either stands alone explicitly as a strategy or as part of a wider climate change response. And plans that are in development are still not existing plans so these were awarded a low rating.

Internal mitigation:

All but two of the regional councils had some initiatives or plans towards dealing with climate change from an internal or organisation perspective. For most regional councils mitigating internal emissions was the bulk focus of the climate action plan or mitigation strategy with only a few such as the *redacted* having a specific focus on community or area emissions as its main objective. This probably reflects the relative ease at which regional councils can control its own emissions compared to drawing up a wider regional or area plan to lead emissions reduction across the area.

While a comprehensive analysis of it was not undertaken as part of this review or established as part of the criteria, it was observed that most of the regional councils have also compiled organisational inventories for their emissions – an important step in reducing organisational emissions in a credible and measured way. While it’s possible to take action to reduce emissions without a baseline measurement, without accurate

measurements there is no way to know whether the proposed interventions are helping and to what extent they are leading to emissions reductions.

Area mitigation:

About two-thirds of regional councils had plans or action points to lead or coordinate the mitigation of greenhouse gas emissions in the regional area as part of a wider climate action plan or strategy. However, only a few councils had a comprehensive strategy to coordinate emissions reductions across the region. For example, the *redacted* Council developed a comprehensive roadmap which is a comprehensive look at how various sectors ranging from energy to tourism to arts could be transitioned to a safe climate future.

Very few councils had emissions profiles or greenhouse gas inventories of their region with only about a third having a dedicated regional emissions profile. A lot of regional councils seem to be relying on the inventory compiled by StatsNZ rather than preparing or commission a dedicate greenhouse gas inventory of the region. For the purpose of this discussion, we have only counted specifically prepared greenhouse gas inventories as every region would have a regional profile if the StatsNZ one was counted.

Specifically prepared regional greenhouse gas inventories are more accurate and allow for the councils to establish sector specific baselines within the region if they intend to prepare mitigation strategies for the wider region.

This was far from the norm however, with the bulk of the regional councils only having a handful of action points or only mentioning wider emissions reductions across the area in passing as part of a wider strategy. *redacted* lists only a handful of measures to mitigate emissions within the region with almost all the action points being either adaptation actions or actions to mitigate organisational emissions. This example is typical for many of the other regional councils.

Local Councils:

Local councils are a more mixed bag with around half not having any kind of climate plan at all to deal with emissions mitigation. Very few have also assessed climate risk or prepared emissions profiles for the district. Some of this is as a deliberate strategy to coordinate with their regional council and do joint planning for climate change at a regional level – this is certainly the case with the councils within the area of the *redacted*. However, there are some district councils which haven’t partnered up with their regional council and are only in the process of scoping out climate action or have not progressed climate action much at all.

As this has not been analysed in depth due to the scope of the project, further work could be done on this area by others who wanted to explore district council responses to climate change further.

7.2. Integrated Catchment Management Programme - Path Forward

Prepared for:	Strategy and Planning Committee
Report No.	ENV2205
Activity:	Governance Report
Author:	Anna Ferguson, Principal Advisor Environmental Implementation
Endorsed by:	Gavin Palmer, General Manager Operations
Date:	10 August 2022

PURPOSE

[1] To seek an agreed pathway forward for designing and implementing an Otago Integrated Catchment Management (ICM) programme including the design and development of an initial pilot Catchment Action Plan (CAP).

EXECUTIVE SUMMARY

[2] Council has been supportive of an Integrated Catchment Management approach since its first introduction in a Council workshop in October 2020. This support was formalised through the adoption of the Long-term Plan 2021-31 (LTP) in June 2021 which includes the performance measure: *Lead the development, implementation, and review of integrated Catchment Plans (ICP) in collaboration with iwi and community*.

[3] The first-year target of the LTP performance measure was to "*commence development of an ICM Programme and report to Council by 30 June*". This paper proposes a potential path forward for the ICM Programme based on feedback received from a workshop with members of the Strategy and Planning Committee on 30 June 2022. Attendees at the workshop highlighted the desire for more community involvement at an earlier stage (rather than wait for the first CAP development process). The question of the first CAP pilot was also revisited. This feedback has been incorporated into the proposed pathway.

[4] The first CAP will essentially be a pilot. Choosing the right FMU or rohe for the pilot is important. Using a suggested list of criteria and an assessment against each FMU / rohe the Upper Lakes rohe is proposed as the pilot, for the committee's consideration.

[5] To address the concern about involvement of the community it is recommended a working group including community representation (including from the proposed pilot area) be established to further design the ICM programme before going to the wider community. This will ensure cross ORC collaboration, give effect to our iwi partnership and bring in community input in the early stages.

RECOMMENDATION

That the Strategy and Planning Committee:

1) ***Endorses*** *the Upper Lakes rohe as the preferred catchment in which to pilot the community collaboration plan and CAP development process.*

2) ***Requests*** *staff seek iwi, catchment and community group views on the suitability of the Upper Lakes rohe in which to pilot the community collaboration plan and CAP development process.*

3) ***Approves*** *the establishment of an ICM working group to:*
   a. *Stocktake current and planned iwi, catchment and community group and ORC initiatives within the pilot catchment.*
   b. *Develop a community collaboration plan for ICM and CAP co-design, using the "Recommendations for a Collaborative Framework for Integrated Catchment Management and Catchment Action Plans" (Ahika Consulting, 2022) as a starting point.*
   c. *As part of the community collaboration plan, develop detail around the community reference group concept (if appropriate) including a terms of reference, appointment process and resourcing.*
   d. *Develop a process for CAP development including consideration of:*
      i. *at what point community collaboration (co-design) should begin (as informed by the community collaboration framework),*
      ii. *how to collate and incorporate relevant knowledge, data, activities, plans and strategies including citizen science,*
      iii. *a revised programme logic (if appropriate) as a conceptual basis and communication tool for CAP development,*
      iv. *a multi-criteria analysis framework for prioritising key actions within CAPs which can be tailored by each CAP collaboration group as required,*
   e. *Develop a communications plan for ICM and CAPs based on the community collaboration plan and the CAP development process*
   f. *Begin implementation of the community collaboration plan and CAP development process where actions do not require further approval of Council.*

4) ***Adopts*** *option 1 as the preferred membership of an ICM working group (if recommendation 3 above is approved).*

5) ***Nominates*** *two Councillor representatives for the ICM working group (if recommendations 3 and 4 are approved).*

6) ***Requests*** *staff seek catchment and community group interest in being members of the ICM Working Group for the Upper Lake rohe.*

7) ***Requests*** *staff report back to Council no later than 30 September 2022 with an update on progress with implementing these recommendations, and a proposed terms of reference for the ICM Working Group.*

8) ***Notes*** *the proposed timeframe for continued work on the ICM programme during 2022/23.*

BACKGROUND

[6] Integrated Catchment Management (ICM) was first proposed to Council in a workshop in October 2020. Council have been very supportive of the principle and need for ICM in Otago since that time (refer to Attachment 1) and formalised its intent to pursue an ICM

approach through the Long-term Plan 2021-31 by including the performance measure for ORC to "*Lead the development, implementation, and review of integrated Catchment Plans (ICP) in collaboration with iwi and community*".

[7] The first three-year targets for ICM in the LTP are:

a. 2021/22 - commence development of an integrated catchment planning programme and report to Council on progress by 30 June.
b. 2022/23 - commence spatial systems and analysis to inform and define ICP programme by 30 June.
c. 2023/24 - Prepare Integrated Catchment Plan (Target detail to be determined).

[8] Development of an ICM Programme has been underway since December 2021, including how Catchment Action Plans (CAPs) can be developed in collaboration with iwi and the community. The ICM Programme to date has been based on developing one CAP for each FMU or rohe (see Figure 1).

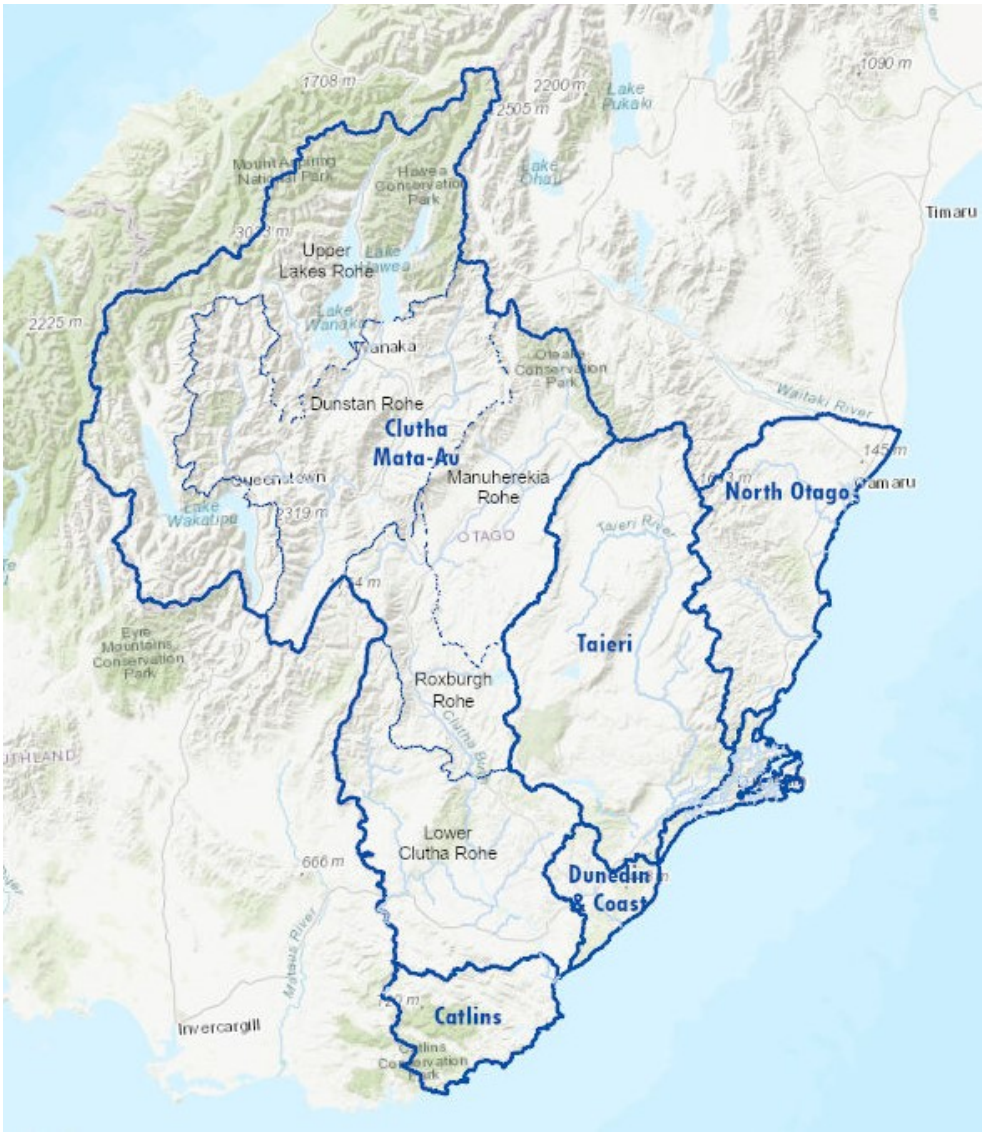


Figure 1: Map of Otago Freshwater Management Units (FMUs) and rohe

[9] At the 9 June 2022 Implementation Committee, comments around the ICM Programme update included questions about:

a. Roles and responsibilities in the design and development of CAPs.
b. Programme structure in general.
c. Scope of ICM and how it relates to other processes – ORC and community.
d. Timing and potential for overlap with the Land and Water Regional Plan process, especially consultation.

[10] To address these concerns, the Committee requested a workshop be held prior to a paper coming to Council. A workshop was held with members of the Strategy and Planning Committee on 30 June 2022. This workshop raised some key concerns and points including:

a. The need to clearly explain why ORC is adopting an ICM approach.
b. Ensuring both Aukaha and Te Ao Marama are involved in the development of the ICM framework and the pilot if possible.
c. Reconsidering the pilot catchment selection having regard to:
    i. Iwi participation (Aukaha)
    ii. Whether it should be a catchment that already has (or does not have) catchment planning systems
    iii. Greater than just "water" issues
d. Considering community co-design of the process i.e. not just the development of CAPs, but the broader design of the ICM process and approach ("five community members in a room for 1 hour").
e. Ensuring the programme structure does not impose, or appear to impose, the ORC on the community (ask the community "how can we help?").
f. Ensuring the process does not duplicate what's being done already by catchment groups and other community groups.
g. If using the programme logic diagram, it needs to be more engaging.

[11] This paper aims to address these points and establish a path forward for designing ICM and CAPs in collaboration with iwi partners and the community.

DISCUSSION

Why is ORC adopting ICM?

[12] As advised to the Strategy and Planning Committee on 1 December 2020, historically, ORC has focussed on achieving integrated catchment management through the Regional Policy Statement and underpinning plans as part of its RMA functions. It has been less active in:

a. Undertaking / coordinating non-regulatory activities / programmes.
b. Coordinating activities across functions in the same catchment.
c. Facilitating and coordinating initiatives across agencies at a catchment scale.
d. Providing a wholistic overview of catchments natural resources health, trends, and risks to enable informed engagement and integrated decision making.

[13] With ORC's functions not being managed at the same geographic scale, or following a consistent community focused planning process, objectives that span all relevant environmental domains (water, land and soil, biodiversity, etc.) at a catchment scale have not been set. Similarly, apart from community or catchment group initiatives, there has been little coordination of environmental activities across agencies and groups.

[14] Integrated catchment management (ICM) is a practice and a process that addresses natural resource management from a catchment perspective. It uses the catchment as the appropriate organising unit for understanding ecosystem processes for the purpose of managing natural resources and issues. A catchment ecosystem includes the people, plants, animals, soils, water and climate.

[15] ICM requires collaborative and collective planning and action by iwi and multiple stakeholders, including community, all levels of government, industry, and interest groups. ICM is underpinned by knowledge (including mātauraka māori) and science, bounded by policy and legislation and informed by iwi and community goals and priorities.

[16] An ICM approach has been re-enforced through our Strategic Directions which includes the following: We will enhance environmental management in Otago by:

a. Taking an integrated catchment management approach
b. Putting more emphasis on spatial planning
c. Enhancing access to and communication of data and knowledge.

[17] Through collaborative planning and action with iwi and the community, an integrated catchment management approach can improve the way ORC achieves its statutory functions to protect ecosystems, freshwater bodies, biodiversity, coastal and soil values.

Pilot Catchment for first CAP

[18] The first CAP will be a pilot from which the process and/or approach can be adapted as required for the next CAP. Initially the first CAP was proposed to be the Catlins. This was because the Catlins:

a. Followed on from the Land and Water Regional Plan timetable.
b. Had few contentious issues in terms of regulatory changes.
c. Has a mix of landscapes and land uses, from hills to the coast, and forestry, conservation and farming.
d. Is an area the ORC has not had a significant presence in for several years.

[19] However, comments made at the 30 June 2022 Workshop highlighted that the Catlins may not be the best choice for a pilot CAP. A key reason given was that it is not an area that involves Aukaha (the Rūnaka based consultancy covering most of Otago).

[20] Staff have considered the feedback received at the 30 June 2022 workshop regarding the criteria for selecting a CAP Pilot catchment. Indicative criteria suggested by staff are listed in Table 1 below with a draft assessment of how those criteria rate for each FMU / rohe.

Table 1: Criteria for Pilot CAP area

Criteria		Upper Lakes	Dunstan	Manuherekia	Roxburgh	Lower Clutha	Catlins	Dunedin & Coast	Taieri	North Otago
Involves Aukaha and Te Ao Marama	✓	✓	×	×	✓	×	×	×	×
Aligns with expected timing for outcomes from LWRP	✓✓	✓	✓	✓	✓	✓✓	✓	✓	✓
Mix of land uses	✓✓	✓	✓	✓	✓✓	✓✓	✓✓	✓✓	✓
Diversity of landscapes (e.g. coast, hills, lakes, estuary, alpine, riverine, etc)	✓	✓	✓	✓	✓✓	✓✓	✓	✓✓	✓✓
Scale – singular or simple catchments (size or low complexity)	✓	✓	✓	✓	×	✓	×	×	×
Community established networks	✓✓	?	✓✓	✓	✓✓	✓	✓	✓✓	✓✓

[21] Other less tangible criteria for the choice of pilot CAP that Council may wish to consider is to think about the capacity of the community to engage in a CAP process. This could include whether or not the community has the time, or willingness to be involved. Given the range of issues, reforms and consultation facing the community recently, having time to take on another process is a real consideration.

[22] Using the above as a guide, the choice of pilot highlights the Upper Lakes as the best option. However, Council may wish to add further criteria and re-assess this matrix, or amend the assessment undertaken. If not, it is recommended that Upper Lakes be agreed as the pilot area for the development of the first CAP.

[23] If the Upper Lakes is endorsed by the Committee as the pilot area, staff will contact community organisations, catchment groups and iwi to seek their views on the Upper Lakes being the pilot.

Community involvement in the ICM programme design

[24] The ICM Programme is an area of work being developed by ORC (as per the 2021/22 Target from the Long-Term Plan). It is in the early stages of development and not constrained or driven by statutory timeframes or policy planning directives. Council can therefore choose a timeframe for development and delivery that is acceptable to ORC, its iwi partners and the community.

[25] A primary objective of the ICM Programme is to implement ICM throughout Otago. It is proposed that this is done through Catchment Action Plans (CAPs). Attachment 2 provides for more information about what CAPs might look like in principle.

[26] It is essential that CAPs are developed in partnership with iwi, and through genuine and enduring collaboration with the community and stakeholders. One of the key aims of the collaboration is to gain buy-in and ownership of CAPs to ensure effective ongoing implementation, monitoring, and adaptation.

[27] However, before collaborating with iwi and community to develop the CAPs, some groundwork needs to be done, such as:

a. What is the best way to achieve genuine and enduring collaborative relationships?
b. What is a useful framework for the CAP development process?
c. What existing plans, data and knowledge can we use to underpin decisions about appropriate actions and priorities?

[28] This groundwork (or early framework design) will help ensure the process is well thought out. The feedback from the workshop on 30 June 2022 was that iwi partners and the community should be involved in this groundwork stage. Therefore, it is recommended a working group including iwi and community representation be established to undertake this 'groundwork' and answer the key questions above. Considerations and options for possible working group structure are outlined below.

[29] Considerations for an ICM working group include:

a. Purpose - is to explore and recommend ways to implement ICM to achieve the goals, including the questions in paragraph 27as a starting point.
b. Representation – invite Councillors, community, and iwi to nominate representative members (see below).
c. Size - needs to be a manageable size, no more than 10 members in total.
d. Commitment - likely meet monthly (if not more frequently) for at least 12 months.
e. Support – secretariat and background work for items under discussion to be provided by ORC staff.

[30] Options for membership of the working group are as follows:

a. Option 1:
    i. Councillors x2 – as elected representatives of the community and governors of the strategic policy direction
    ii. Community representation – invite 1 representative from Otago Catchment Community Inc. as a regional catchment group representative; up to 2 community representatives from the pilot area
    iii. Aukaha representative - 1
    iv. Te Ao Marama representative - 1
    v. ORC staff - 3
b. Option 2:
    i. Some other version of any of the above

[31] Option 1 is the preferred option as it provides for representation from community, iwi and ORC. All three are essential for effective ICM.

[32] Terms of reference for the working group (if approved) will be drafted in consultation with the two Councillor members and brought back to the next Strategy and Planning Committee meeting for approval.

Working with the wider community

[33] Once the working group is satisfied that sufficient groundwork is in place to initiate the development of the first CAP, collaboration with the wider catchment community can begin.

[34] The outcomes from the working group will guide the collaboration process and provide a starting point for the bespoke and detailed development of a CAP for the catchment. It is important to note that the outcomes from the working group are to support a robust, effective and efficient process, they are not intended to be 'set in stone'. As ICM and the development of CAPs is a new process for all, the process needs to be adaptable to changing circumstances, unforeseen opportunities and issues and improving the process based on experience. Any changes will come from the collaboration with community and iwi and finding out "what is they want" and "how can this process help".

[35] Genuine and enduring collaboration will take time and it is important that it is done correctly.

Tasks for the Working Group

[36] It will be up to the working group (if approved) to decide on the groundwork tasks required. However, as a starting point for that discussion, it is recommended the working group starts with looking at work done to date. This work includes:

a. Stocktake of initiatives – once the pilot area is agreed a stocktake of networks, community initiatives, plans, strategies, and opportunities will be required. This is to ensure the proposed approach for CAP development aligns with and builds upon existing catchment work and is not seen as duplicating or overriding it.
b. Collaboration model – a background investigation of key factors for a successful community collaboration model, including the format and process, has been completed (refer to Attachment 3).
c. Incorporating current work - consideration of current plans, strategies, knowledge, and projects that can inform or support the CAP development as well as new activities the CAP can drive.
d. CAP programme logic – a generic programme logic has been developed as a useful tool for summarising complex plans in a visual diagram – a kind of roadmap for showing how to get to an outcome and the steps along the way (refer to Attachment 4 for the current programme logic. This will be revised to ensure it is more engaging).
e. Prioritisation – criteria for deciding what to do and where to do it relies on several lenses or stages of decision making. The first lens, "environmental need" looks at the type, extent, value, status, level of risk, threats etc of environmental domains (water, biodiversity, soils etc). This environmental criteria is being collated as a starting point. The other lenses, such as practicality, feasibility, social interest, political will be up to the collaboration process.

[37] The work listed above is explained further in Attachment 2.

Timeframes

[38] Depending on approval of the above recommendations, an approximate timeframe for work over the 2022/23 year is outlined in Table 2 below. This is approximate and subject to change as this is a new process, with unknowns and the ability to adapt and change direction if needed is essential.

Table 2: ICM Indicative Programme Timeframe 2022/23

Activity	Timing	Comment
Establish working group	September - October 2022	Depends on availability and response from nominated representatives
Collation of data, documents and knowledge sources for Pilot CAP	August – November 2022	Assumes collation is a starting point only and FTE resources are in place for ICM
Develop Community Collaboration Plan – including details for catchment committee resourcing, Terms of reference and process	October – December 2022	Assume the report by Ahika will be the basis and no further approval is required by Council
Revised programme logic – for use as a starting point and communication tool	October - December 2022	
Prioritisation for key actions (environmental lens)	November 2022 – March 2023	Assumes only 10 or so key actions will have environmental criteria drafted as a starting point for further discussion
Communications Plan	November 2022 – February 2023	Depends on what needs to be settled before communicating it to the wider community
Implement Collaboration Plan – Stage 1 – Iwi partnership arrangements	November - December 2022	
Implement Collaboration Plan – Stage 2 – Pilot CAP Hui and seek EoI for involvement	March – April 2023	Possible only as it depends on the Collaboration Plan, and on seasonal constraints for timing. Requires communications plan prior.
Establish Catchment Committee / Rōpū	April – June 2023	Assuming this is the format agreed to
Work begins on Pilot CAP through the Catchment Committee / Rōpū	June 2023	

CONSIDERATIONS

Strategic Framework and Policy Considerations

[39] The ICM Programme is a significant new approach for ORC. It is implementing the commitment of Strategic Directions to deliver integrated environmental management through and ICM approach.

[40] The development of CAPs will align with the current Land and Water Regional Plan policy approach and fulfil the freshwater action planning component of that work required under the National Policy Statement for Freshwater Management.

[41] Strategically and operationally, ORC will consider how best to align its processes and to give effect to ICM. This is not the focus of this paper.

Financial Considerations

[42] The ICM Programme budget is already allocated through the LTP and Annual Plan. No changes are planned to this.

Significance and Engagement Considerations

[43] Several opportunities have arisen in the past month or so where the Principal Advisor has been able to talk about the ICM Programme. This has been well received and highlights how engaged some members of the community, mana whenua and catchment groups are likely to be. However, it is important to have a robust method for ongoing engagement and collaboration.

[44] The Community Collaboration Plan will provide a robust and justified method. This work is also referencing the ORC's significance and engagement policy.

Legislative and Risk Considerations

[45] There are no legislative requirements that need to be considered at this stage.

Climate Change Considerations

[46] There are no immediate climate change considerations for this work.

Communications Considerations

[47] Communicating the ICM Programme and initiating a CAP will require a clear and effective plan. ICM is likely to be a new concept to many people and it is important that we aim to increase their level of understanding, including:

a. What is ICM?
b. What is a CAP?
c. Why is it important?
d. How it works
e. Scale of the CAP
f. How to get involved
g. What are the benefits?
h. What's the timeframe?

[48] A communications plan will be developed through the proposed working group once the collaboration plan and CAP Framework have been settled to whatever degree is deemed necessary prior to initiating engagement with the community.

NEXT STEPS

[49] If approved, the next steps will be to progress the actions specified in the recommendations.

ATTACHMENTS

1. Outline of Council Resolutions and Interactions with ICM [**7.2.1** - 5 pages]
2. ICM Background [**7.2.2** - 8 pages]
3. ICM Collaboration Framework Report [**7.2.3** - 92 pages]
4. CAP Framework Programme Logic [**7.2.4** - 1 page]

Attachment 1: Outline of Council Resolutions and Interactions with Integrated Catchment Management

Date	Meeting	Outline	Resolution / Outcome
15 October 2020	Council Workshop	Presentation on potential ICM approach to Councillors.	Strong support for approach. Come back with timing and options.
1 December 2020	Strategy and Planning Committee	LTP Consultation Proposal – Integrated Environmental Management - Paper described options for the ORC to achieve integrated catchment management in the region - Key points for resolution were if: o ORC should take a supporting or lead role o Pace of implementation	That the Committee: - Agrees that the state of proposal "integrated catchment management" is a matter of significance as assessed in this report That the Committee: - Approves the statement of proposal "integrated catchment management" for inclusion in the Long-Term Plan 2021 – 2031. That the Committee - Approves the following options to be present to the public as part of LTP consultation: o Option 1: ORC supports and enables integrated environmental management in all the region's catchments. o Option 2: ORC leads, facilitates and coordinates integrated environmental management in all the region's catchments. ▪ Option 2a: and implements this approach at a moderate pace (over 5 years) ▪ Option 2b: and implements this approach at a slow pace (over 10 years) - Agrees its preferred option is 2b
24 March 2021	Council Meeting	Long-Term Plan consultation document and supporting information which included - Lead the development of Integrated Catchment Action Plans, in collaboration with iwi and community - Starting in 2023/24 to establish organisational capacity and capability to develop and deliver ICAPs	That Council: - Adopts the Draft Long-Term Plan 2021-2031 supplementary information that is relied on for the content of the "Have Your Say on Our Future – 2021-2031 Long-term Plan Consultation Document' in accordance with section 93G of the Local Government Act 2002

			Note: the recommendation to adopt the Consultation Document for public consultation was not moved.
26 May 2021	Finance Committee	Deliberations about the LTP funding, a series of recommendations were collaboratively compiled and moved.	[among other resolutions] That the Finance Committee: 7) Notes that Council bring forward the Integrated catchment work which has a budget impact of $200,000 in year one and $690,000 in year two of the 2021/31 LTP
23 June 2021	Council Meeting	Adoption of Long-Term Plan 2021-31. The final LTP was tabled which included the following: - Submissions reinforced the importance and support for integrated catchment management. Council decided to advance the timing of this work programme to that consulted. - Foundation work to develop an efficient transition to integrated catchment action planning to form the basis of planning, engagement and operational investment, will also be undertaken as part of [regional planning]. - LOS: develop and maintain an environmental planning framework that aligns with national directions and enables sustainable management of natural and physical resources. - Performance measure: Lead the development, implementation and review of integrated Catchment Plans (ICP) in collaboration with iwi and community. - Key project: Preparation of Integrated Catchment Plans o Integrated actions for water, ecosystems, biodiversity, and biosecurity and natural hazards mitigation o Year 1 – establish the new workstream o Year 2 – resources to commence planning including spatial systems and analysis (additional 3FTE) o Year 3 onwards – Planning and implementation (additional (6FTE) -	That the Council: Adopts the Otago Regional Council Long-term Plans 2021-31 as amended post Council deliberations and as tabled at the 23 June 221 Council meeting.
8 December 2021	Implementation Committee	Environmental Implementation Update included overview of ICM Programme being developed and a high-level introduction of Catchment Action Plans.	[among other resolutions] That the Committee: 1) Notes this report 2) Notes the range of standard business and transformational activities being undertaken to

			maintain and improve Otago Regional Council's delivery of environmental implementation activities.
8 December 2021	Council Workshop	Presentation on Proposed ICM Programme and Catchment Actions Plans as a delivery mechanism for ICM.	Support for the approach in principle. Further details to be brought back to Council
9 March 2022	Implementation Committee	Environmental Implementation Update included an update of the ICM Programme being developed: - Outline of 6 key work areas - Internal staff reference group established - Scoping and approach to community collaboration - Theme level program logic - Scoping spatial database platform - CAP Framework example - CAP work will be described in more detail in a paper to the June 2022 Implementation Committee. Discussion included: - Cr Wilson asking about catchment management planning – response was that work was underway to come to Council with a confirmed framework before having a mandate to engage further with communities. High level endorsement of the plan will be needed before having in-depth conversations with stakeholders.	That the Committee: 1) notes this report 2) notes the range of implementation activities being undertaken to maintain and improve Otago Regional Council's delivery of environmental implementation activities.
9 June 2022	Implementation Committee	Environmental Implementation Update included an update of the ICM Programme being developed: - high level work programme outline - Governance structure principles - Internal programme management team - CAP Framework design (inc. community collaboration) - a work programme will be provided for noting to the June Council meeting Discussion included: In response to Crs questions about ICM it was advised that more detail would be provided at an upcoming meeting which would allow further discussion of makeup of governance groups and proposed consultations.	That the Committee: 1) notes this report 2) notes the range of implementation activities being undertaken to maintain and improve Otago Regional Council's delivery of environmental implementation activities. 3) Requests staff to arrange a workshop on Integrated Catchments prior to a paper coming to Council.

		Request was made for a workshop to be conducted prior to the report.	

30 June 2022	Council Workshop	A brief presentation was made outlining where we are up to with the ICM Programme. Questions prevented the full presentation being given, instead several slides were put up in response to queries which may have caused some disconnect in understanding how the programme fits together.
		
		[staff notes]
		Key points made by councillors:
		- Ensure both Iwi are involved
		- Reconsider the pilot catchment selection having regard to
		  o Iwi participation (Aukaha)
		  o Whether it should be a catchment that already has (or does not have) catchment planning systems
		  o Greater than just "water" issues
		- Program logic diagram (if used) should be more engaging
		- Explain the problem and the opportunity, ensure not duplicating what's been done already by catchment groups e.g. Pomahaka, NOSLAM, have we done a stocktake of what's happening out there?
		- "community" design of the process for the design i.e. not just the design of CAPs, but the broader design of the ICM process and approach. Involve catchment groups. "Meeting of 5 people and 1 staff member for 1 hour to solve this" [in reference to programme structure slide?].
		- Community-centric, flip the programme structure diagram over, don't impose ORC on the community (ask the community "how can we help?").
			Staff will bring a paper on process to another meeting – aiming for Strategy and Policy meeting in August 2022 – for resolution of a defined way forward.

Attachment 2 – Integrated Catchment Management Programme

Why Integrated Catchment Management?

Integrated catchment management (ICM) is a practice and a process that addresses natural resource management from a catchment perspective. It uses the catchment as the appropriate organising unit for understanding ecosystem processes for the purpose of managing natural resources and issues. A catchment ecosystem includes the people, plants, animals, soils, water and climate.

ICM seeks to:

- Understand complex relationships within ecosystems,
- Enhance environmental resilience
- Manage human activities to avoid, reduce or repair adverse impacts,
- Ensure responses/interventions are compatible, complementary and fulfil multiple objectives
- Incorporate social, economic, and political considerations.

ICM as a practice requires collaborative and collective planning and action by iwi and multiple stakeholders, including community, all levels of government, industry, and interest groups. ICM is underpinned by knowledge (including mātauraka māori) and science, bounded by policy and legislation and informed by iwi and community goals and priorities.

ICM as a process can be described in many ways and level of detail but generally involves:

- Identify problem
- Identify communities of interest (within context, knowledge and culture)
- Define issues (including visioning, outcomes)
- Collate knowledge
- Identify knowledge gaps
- Research (if required)
- Planning for action
- Prioritise actions
- Implement
- Monitor and adapt

In New Zealand, regional councils are uniquely positioned to achieve integrated catchment management:

- They monitor environmental health in catchments, including biodiversity, hydrology, geomorphology, water quality, ecosystem health and other key catchment values.
- They have a wide range of regulatory functions under the *Resource Management Act 1991* and the *Biosecurity Act 1993* to protect ecosystems, freshwater bodies, coastal and soil values and manage pests and unwanted organisms in their region's catchments.
- They have powers to do works to manage watercourses and their margins under the Soil Conservation and Rivers Control Act (1941) and the Land Drainage Act (1908); and to enforce the Hazardous Substances and New Organisms Act (1996).
- They have responsibilities under the Coastal Policy Statement, National Policy Statements (proposed and in force) for Indigenous Biodiversity, Freshwater Management, Urban Development and Highly Productive Land.

Adopting an ICM Approach

As advised to the Strategy and Planning Committee on 1 December 2020, historically, ORC has focussed on achieving integrated catchment management through the Regional Policy Statement and underpinning plans as part of its RMA functions. It has been less active in:

- Undertaking / coordinating non-regulatory activities / programmes
- Coordinating activities across functions in the same catchment
- Facilitating and coordinating initiatives across agencies at a catchment scale
- Providing a wholistic overview of catchments natural resources health, trends, and risks to enable informed engagement and integrated decision making.

With ORC's functions not being managed at the same geographic scale, or following a consistent community focused planning process, objectives that span all relevant environmental domains (water, land and soil, biodiversity, etc.) at a catchment scale have not been set. Similarly, apart from community or catchment group initiatives, there has been little coordination of environmental activities across agencies and groups.

Moreover, because of not having a clear overview of objectives, issues and existing initiatives, ORC's decisions to support, participate in, or lead environmental initiatives have mostly been ad-hoc driven by community advocacy, rather than objective priorities and planning.

Taking a catchment-scale and integrated approach to natural resource management has many benefits:

- More effective management
- More effective and efficient engagement and communication with Otago communities
- Better coordination across agencies and across ORC functions:
- Enhanced accountability and reporting
- Facilitates adaptive management
- Is consistent with Te Ao Māori and conducive to meaningful engagement with Otago's mana whenua

The Resource Management Act 1991, provides functions of regional councils, including (among other functions) the establishment, implementation, and review of objectives, policies, and methods to achieve integrated management of the natural and physical resources of the region.

An integrated catchment management approach is a means to improve the way ORC achieves its statutory functions to protect ecosystems, freshwater bodies, biodiversity, coastal and soil values, by collective and collaborative planning and action with iwi and the community to achieve agreed outcomes.

Proposal to Implement ICM through Catchment Action Plans

To deliver integrated catchment management, it is proposed that a new plan be developed that coordinates and focuses work on a catchment goal. This new plan is a Catchment Action Plan (CAP). CAPs will aim to:

- Be developed through meaningful and **genuine collaboration** with iwi partners and community
- Build on **current work** – aligning with plans already done or underway by ORC or other key stakeholders (e.g. community catchment management plans)
- Use **programme logic** to show a transparent, logical, and comprehensive planning framework
- Use best available information to develop a catchment goal, values and desired outcomes for those values, along with actions for building resilient landscapes

- Be developed at the freshwater management unit (FMU) or rohe scale – this will help align with the work underway for consulting on and developing the Land and Water Regional Plan (LWRP).
- **Prioritise** areas and/or activities using multi-criteria analysis and spatial data.
- Specify agreed roles and responsibilities for partners in the catchment (where possible), including how existing catchment plans and strategies are linked or aligned.
- Be adaptive to changing circumstances, knowledge and monitoring of performance.

Several of the key areas of work required are explained further below.

The format of a CAP will be determined by the catchment collaborative group / rōpu. However, it is likely the contents in the CAP will include:

- Catchment vision / goal – to be developed with iwi and community
- Catchment outcomes – long-term outcome statements based around themes such as mana whenua, biodiversity, water, land, and people
- Values and outcomes (objectives) – sub-sets of the catchment outcomes, using values as per the NPSFM where relevant
- Targets - for each value may be quantitative or qualitative
- Actions – interventions that will achieve the targets and outcomes for the values, for example riparian planting
- Foundational resources – these are inputs that help us undertake the actions, typical resources include, funding, knowledge and research, and regulation
- Priorities – this will identify the criteria we will use to prioritise our activities within the FMU / rohe. Where possible priorities will be shown spatially.
- Monitoring, evaluation and reporting – how we will monitor outputs and evaluate outcomes and report on these. This will also include how we adapt where needed.

CAPs should be adaptive and flexible. It is intended that they will be an online living plan, with spatial status, priorities and progress layers available.

The Bay of Plenty Regional Council has some good examples of sub-catchment action plans (https://www.boprc.govt.nz/your-council/plans-and-policies/plans/action-plans/catchment-action-plans). These are a smaller scale and probably simpler (in terms of issues) than the intended CAPs but provide a good example of how a problem can be outlined, baseline mapping illustrates the problem and priorities, actions and milestones are set, and how monitoring will show the progress.

An example of a more complex CAP can be found in New South Wales, Australia. These CAPs were larger scales (some the size of Otago, others up to 4 times larger) and based on programme logic and setting resource condition targets with associated management targets. Whilst these CAPs were significant in changing how NSW approached ICM, the planning document was often dense with lots of background material and principles. Also, they were static documents and no longer available to download. Even so, the principles and lessons learned in developing those CAPs is useful for the development of CAPs in Otago. (Copies of these can be made available on request).

Collaboration

It is important that ORC, in partnership with iwi, undertake genuine and enduring collaboration with the community and stakeholders in the development of the proposed CAPs. One of the key aims of the collaboration is to gain buy-in and ownership in achieving catchment goals, through agreed upon values, outcomes, and actions, over the long-term.

A report (refer to Attachment 3 for full report) has been undertaken that investigates the key factors that need to be considered in developing a framework for successful collaboration, including a high-level assessment of the context, scope and purpose of the ICM programme. An initial analysis of the stakeholder landscape was undertaken, including interviews with representatives from a range of groups and agencies who might be interested in or affected by the programme.

The report identified key features that need to be considered in developing a framework for collaboration for the ICM programme. These features include:

- Successful implementation will require actions to be undertaken by multiple actors
- Interviews highlighted that there are relatively low levels of trust or confidence in the ORC
- There can also be low levels of trust or the presence of some conflict between some stakeholder groups
- A high degree of clarity around the scope and purpose of the collaboration and ICM programme is required
- Information is often complex and often uncertain.

The assessments undertaken as part of this report have also highlighted that the collaborative format should allow for:

- Integration and consideration of a range of knowledge including mātauranga Māori and local knowledge
- Scheduling and resourcing that recognises the needs and limitations of key stakeholders
- Processes which ensure a robust and transparent assessment of information and decision making
- Use of a range of tools to support an effective process and incentivise involvement.

Based on these factors the report recommends the appropriate collaborative format or platform is a community reference group - with one for each CAP, with representatives of community and stakeholder groups meeting regularly under a clear term of reference.

The process and methods used to run and support the reference group are critically important to ensure a robust process resulting in high levels of buy-in and ownership. The report advises that, as much as possible the process and approach should allow for co-design by stakeholders, after first recognising the partnership between ORC and Kāi Tahu. Co-design will support a shared understanding of the purpose and scope of the process and will increase the likelihood of buy-in to the process, through a shared sense of ownership.

The report identifies many aspects of process and methods which are a useful starting point for determining how a community reference group model could operate. In order to provide a robust model it is recommended the proposed working group define the aspects of a community collaboration plan which will drive how CAPs are developed. As part of developing the community collaboration plan, the working group can also develop detail around the community reference group concept (if appropriate) including a terms of reference, appointment process and resourcing.

Current Work

Developing a CAP does not mean starting with a blank slate. The Otago region already has a lot of strategies, plans and operations that contribute to achieving environmental outcomes. For example, the proposed Land and Water Regional Plan will deliver significant benefits for water quality and flow regimes, riparian management delivers on-ground outcomes for form and character, and our natural hazards work can help stabilise fragile or eroding landscapes. There is also a significant amount of work and planning being done by grass roots community organisations.

A CAP can help coordinate existing programs to achieve common goals and outcomes. A CAP will not be directive or regulatory, rather it provides a mechanism for capturing in one place a record of what is happening, assisting with giving what is underway transparency and profile and enabling adjustments where necessary to achieve alignment.

Figure 1 shows the current plans, strategies and work programs that can inform or support the CAP development as well as new activities the CAP can drive.

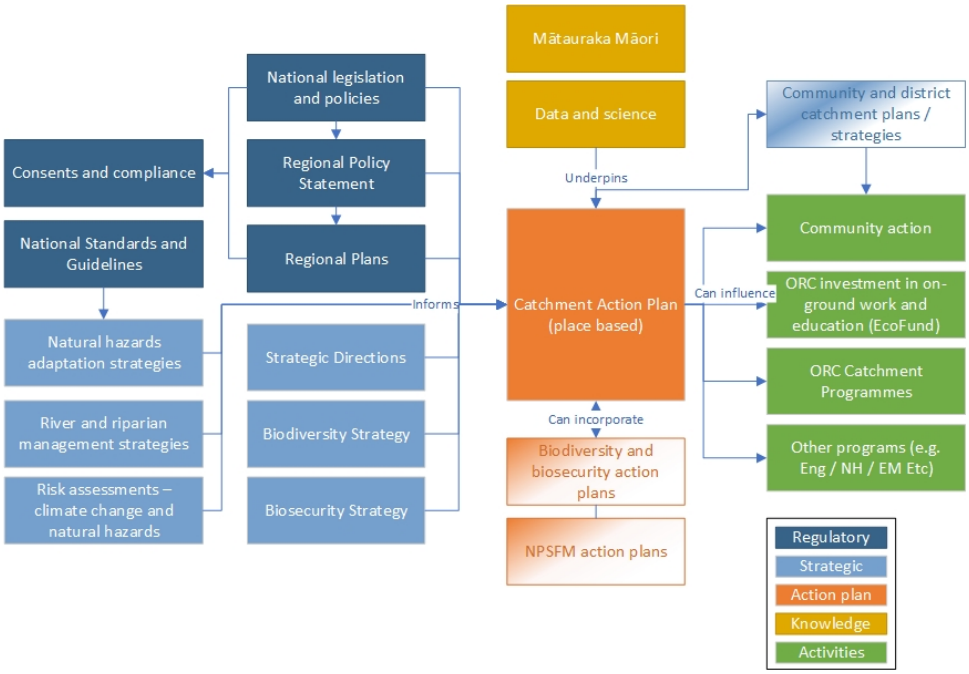


Figure 1: Catchment action plan in context of existing work and new activities

A collation of existing documents can begin as a soon as an initial CAP pilot area is chosen, however the building of knowledge (scientific, local and mātauraka māori) will be better done through collaboration. Collating and incorporating or aligning these various documents and knowledge into the CAP is something the proposed working group can consider further.

Programme Logic

Programme logic is a planning tool that diagrammatically represents how a program intends to achieve its outcomes. It helps clarify the objective, sets out how to achieve it and can guide monitoring, evaluation and reporting on progress.

Outcomes (long-term and intermediate), outputs, activities and inputs are the other steps in a programme logic. These are underlaid by assumptions about how one step will lead to another. These assumptions should be documented and tested where necessary. A simple linear example of a program logic is shown in 2**.**

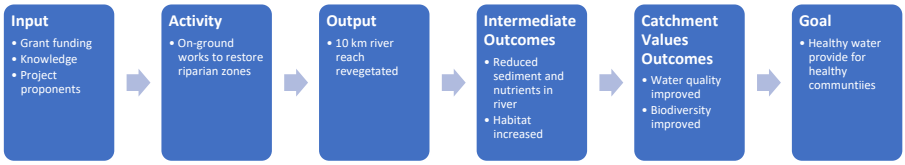


Figure 2: Simple programme logic example

The CAP can use this logical approach in the framework to be applied for each FMU / rohe. Contents in the CAP programme logic could include:

- Catchment vision / goal – to be developed with iwi and community
- Themes – such as mana whenua, biodiversity, water, land, and people to ensure key aspects of a catchment are covered this can be a useful way of organising information
- Values and outcomes (long-term) – these are what we value about the catchment and the services it provides, along with the desired state we are aiming to achieve for each value
- Intermediate outcomes – short to medium term outcomes that are achieved by the actions. These are useful for showing the assumptions and stages it takes to achieve the long-term outcomes and eventually the catchment goal.
- Actions – interventions that will achieve the outcomes for the values, for example riparian planting
- Targets for the actions – setting measurable targets to track progress
- Foundational resources – these are inputs that help us undertake the actions. Typical resources include, funding, knowledge and research, and regulation
- Monitoring, evaluation and reporting – how we will monitor outputs and evaluate outcomes and report on these. This will also include how we adapt where needed.

Programme logic is a useful tool for tool for summarising complex plans as a visual diagram – a kind of roadmap for showing how to get to an outcome and the steps along the way. However, showing all the complexities of catchment in one diagram can be difficult and confusing. Further work is underway to ensure the current programme logic framework (refer to Attachment 2) is more complete, engaging and easily understood by the community. This work can be progressed through the proposed working group.

Prioritisation

Achieving a catchment goal and long-term outcomes is a big task. Programme logic can help break this task down into manageable intermediate outcomes and actions, but across a region like Otago it is still too much work for the resources available. So, prioritising what is done and where it is done is important to maximise an environmental 'return on investment'.

Decision making criteria and principles agreed to by iwi, community, ORC and other stakeholders, can support the catchment community in prioritising actions within the CAP.

It is useful to start with criteria for each value outcome that is based on environmental data (usually spatial) to focus where that value occurs and there is a risk, problem, or opportunity to mitigate, rehabilitate or protect that value.

Generally, the environmental criteria can be developed based on accepted best practices and processes. For example, maintaining or improving soil health and condition might be the value outcome. Actions to contribute to this could include minimising risk of soil erosion. The environmental criteria to identify where this is a priority would likely include an overlay of:

- Land use capability class 6e, 7e or 8e – sloping land with erosion limiting factor
- Land cover of depleted grasslands, or exotic grasses – minimal root depth or holding capacity
- High rainfall intensity – increases risk of erosion

Once the initial criteria have been applied the resulting areas can be further refined by applying principles for investment of effort (funding, time, resources etc), either by ORC, iwi, community or other stakeholders.

The principles for investment are usually less "accepted" and these should be determined though catchment collaboration. An example or starting point for principles is in Table 1 below. These have been grouped by environmental, social, cultural, and economic principles. These can be amended, deleted or added to through collaboration.

[1] Table 1: Possible principles to guide decision making for priority actions and areas

Category	Principles
Environmental	Ki uta ki tai – catchment approach, where applicable start at headwaters and work down the catchment.
	Treat the cause not the symptom.
	Protect the good condition areas that are at highest risk from threats or are deteriorating.
	Use a risk-based approach – address the threats or areas contributing the most stress to a system.
	Look at the recovery potential of an area – don't attempt to rehabilitate an area that is unrealistic for the resources available.
	Restore forward – don't try to restore the area back to a point in time that is unrealistic to achieve, recognising the system may have changed and work with it.
	Avoid areas where threats are significant and ongoing, making any long-term self-sustaining environmental outcome unlikely
Social	Active community involvement / ownership is important. Community and landholder will be the long-term 'owners' of the outcomes and are needed to maintain them.
	Maintaining ORC community presence and support in areas we promote for action. Building and sustaining trust in the organisation coordinating environmental activities is important.
	Resources will be distributed equitably between FMUs and Rohes – this principle would apply to region wide distribution of resources such as Eco Fund or advisory staff
Cultural	Mātauranga Māori should inform priorities, where possible.
	Areas or activities that improve or protect iwi values will rate higher than similar projects that do not.
Economic	Leveraging outcomes from existing funding should be considered as a 'bonus' but not to the exclusion of funding 'new' areas.
	Cost sharing – actual buy-in from project partners is important

	Avoid investing in areas where others have a legal obligation to manage, for example, mine rehabilitation or forestry land.

It is important to note that applying prioritisation criteria does not make the decision for you, it only supports the decision-making process and highlights areas for further reality checking and investigation. However, it is useful to be able to justify decisions based on objective and consistent criteria.

The level of prioritisation criteria or supporting data to be collated or compiled prior to working through an agreed set with the community collaborative group can be progressed through the proposed working group.

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Recommendations for a Collaborative Framework

for Integrated Catchment Management

& Catchment Action Plans

Prepared for: Otago Regional Council

15 July 2022

Report prepared for client by Sally Dicey, Ahikā Consulting Ltd.

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Executive Summary

The ORC is in the early stages of developing an approach to Integrated Catchment Management (ICM). ICM is an approach that uses the catchment as the appropriate organising unit for understanding ecosystem processes for the purpose of managing natural resources and issues.

It is intended that ICM will be delivered through one Catchment Action Plan (CAPs) for each Freshwater Management Unit (FMU) or Rohe in Otago. CAPs will include targets and actions that work towards catchment goals for a range of values. ORC is seeking to partner with Kāi Tahu and to create genuine and enduring collaboration with the community and stakeholders in the development of the proposed CAPs. One of the key aims of the collaboration is to gain buy-in and ownership in achieving catchment goals, through agreed upon targets and actions, over the long-term.

This report investigates the key factors that need to be considered in developing a framework for collaboration, including a high-level assessment of the context, scope and purpose of the ICM programme. An initial analysis of the stakeholder landscape was undertaken, including interviews with representatives from a range of groups and agencies who might be interested in or affected by the programme.

A review of literature focusing on multi-stakeholder engagement and participatory planning processes was undertaken to inform the design of the recommended framework. The literature review highlighted that it is not just the format or platform for collaboration that is important but *how* the process is run. This includes ensuring the process is run with sufficient time and resources, has a clearly stated purpose and scope, supports the development of trust and shared understanding, has appropriate facilitation and uses the right tool at the right stage of the process.

The interviews with potential stakeholders highlighted the complex network of stakeholder relationships, including with the ORC. The interviews confirmed that there is a high degree of fatigue amongst many stakeholders, regardless of whether representatives are paid or voluntary or part of a community group or an agency.

Community groups such as catchment groups are dynamic in terms of their level of activity, their focus, membership and engagement or relationships with others. The majority of catchment groups in Otago have a strong rural farming focus. There is a strong desire amongst catchment groups for clear guidance on actions that will result in improvements – a CAP process would ideally provide this, based on robust information and a shared understanding of issues.

Careful consideration will be required to understand how any catchment groups involved in a CAP process can be supported to facilitate change or actions by their members, as there may be a reluctance to 'sell' the outputs from a CAP and/or issues to landowners.

The review of literature, analysis of the context and scope of the programme, as well as analysis of the interviews have informed the identification of key features that need to be considered in developing a framework for collaboration for the ICM programme. These features include:

- Successful implementation will require actions to be undertaken by multiple actors
- Interviews highlighted that there are relatively low levels of trust or confidence in the ORC
- There can also be low levels of trust or the presence of some conflict between some stakeholder groups
- A high degree of clarity around the scope and purpose of the collaboration and ICM programme is required
- Information is often complex and often uncertain

The first point above is perhaps the most critical as it means that those participating in the process will need to have a high level of buy-in and strong sense of ownership in the process in order for actions to be undertaken by multiple parties.

The assessments undertaken as part of this project have also highlighted that the collaborative format should allow for:

- Integration and consideration of a range of knowledge including mātauranga Māori and local knowledge
- Scheduling and resourcing that recognises the needs and limitations of key stakeholders
- Processes which ensure a robust and transparent assessment of information and decision making
- Use of a range of tools to support an effective process and incentivise involvement.

Based on these factors the preferred option for a collaborative format or platform is a community reference group - with one for each CAP that is developed, with representatives of community and stakeholder groups meeting regularly under a clear terms of reference.

The process and methods used to run and support the reference group are critically important to ensure a robust process resulting in high levels of buy-in and ownership. As much as possible the process and approach should allow for co-design by stakeholders, after first recognising the partnership between

ORC and Kāi Tahu. Co-design will support a shared understanding of the purpose and scope of the process and will increase the likelihood of buy-in to the process, through a shared sense of ownership.

Due to the complex and frequently uncertain information associated with environmental management, a shared learning journey is recommended for the collaborative framework for the ICM programme.

A shared or collaborative learning journey enables a range of approaches and techniques to be utilised as appropriate throughout the process, and can assist with effective dialogue, the development (or identification of existing) shared values and understanding of issues, as well as valuing and integrating different forms of knowledge such as mātauranga Māori. A shared learning journey can incorporate other tools and methods to support a robust process including:

- Joint development of catchment models (building a model with participants rather than for them)
- Development and use of spatial tools that become available for use – including to informing sub-catchment planning
- Decision making tools such as deliberative multi-criteria analysis

A range of other tools and approaches can be utilised within the reference group format and the shared learning journey – including expert panels which can be questioned by reference group members, or joint papers and presentations by experts, as well as field trips. Facilitated by independent (not affiliated with any of the organisations or groups involved), experienced facilitators will also support an effective process.

There will be some stakeholders who are not part of the community reference group (out of choice, or due to other reasons such as limited capacity or because they have a narrow focus), but who should be provided with opportunities for involvement, or be kept informed. This will support overall buy-in and ownership of CAPs and will also support reference group members to communicate clearly and consistently with members of their own groups. The development of an engagement and communication plan with the community reference group members would ensure there are effective opportunities for broader stakeholder involvement as well as clear provision of information to the broader community about the programme.

Formative evaluation carried out during the process of collaboration, based on goals identified for the collaboration by stakeholders, would enable improvements to the process while it is underway. Assessment of criteria against goals should be undertaken periodically throughout the process to enable any adaptations to the process, in order to better meet goals.

1. Introduction

1.1. Overview

The purpose of this report is to provide a recommended framework for the Otago Regional Council and Kāi Tahu to collaborate with the community and stakeholders to develop Catchment Action Plans, as part of the ORC's Integrated Catchment Management (ICM) programme.

ICM is an approach that addresses natural resource management from a catchment perspective. It uses the catchment as the appropriate organising unit for understanding ecosystem processes for the purpose of managing natural resources and issues. A catchment ecosystem includes the people, plants, animals, soils, water and climate.

ICM seeks to:

- understand complex relationships within ecosystems
- enhance environmental resilience
- manage activities to avoid, reduce or repair adverse impacts
- ensure responses/interventions are compatible, complementary and fulfil multiple objectives
- incorporate social, economic, and political considerations

The ORC is in the early stages of developing an approach to ICM. It is intended that ICM will be delivered through one Catchment Action Plan (CAP) for each Freshwater Management Unit (FMU) or Rohe in Otago. To enable this, ORC is seeking to partner with Kāi Tahu and to create genuine and enduring collaboration with the community and stakeholders in the development of the proposed CAPs. One of the key aims of the collaboration is to gain buy-in and ownership in achieving catchment goals over the long-term.

1.2. Methodology

This project was carried out over a number of stages. The first two stages focused on understanding the scope and context for the ICM programme from the ORC's perspective, as well as understanding the preferences of Kāi Tahu with respect to their role and involvement in the programme.

A workshop was held with ORC staff in March 2022 and was attended by staff representing a number of different teams within the council with focus areas including environmental implementation, policy, engagement and strategy as well as staff representatives from Aukaha and Te Ao Mārama, as organisations working for Kāi Tahu. Follow up discussions were also held with the Aukaha and Te Ao

Mārama staff to further discuss the project. This provided valuable insight into how the ICM and CAP work might fit within the existing partnership between ORC and Kāi Tahu.

The first two stages also included a high-level literature review of participatory planning and multi-stakeholder processes, many of which were based on case studies. This was undertaken to ensure that the development of a collaborative framework drew on lessons from case studies and research.

The third stage of the project involved an analysis of potential stakeholders and community context relevant (or potentially relevant) to the ICM programme. This analysis was based on interviews with representatives from a range of groups and organisations who might have an interest in the CAP process, as well as analysis of websites and profiles of stakeholder groups. Participants were identified by discussion with the ORC staff, groups working with catchment groups or in the environmental sector as well as through discussions with potential participants – including to identify other potential stakeholders. Effort was made to talk to a diverse range of potential stakeholders – including representatives of groups with a youth focus as well as a diverse geographical spread of interest groups throughout Otago. The assessment of community context and stakeholders is intended to provide an overview of the stakeholder landscape that may inform the development of a framework for collaboration. It is not intended as a comprehensive stakeholder mapping exercise.

The information and assessment carried in the first three stages of this project supported the consideration and development of a potential framework for collaboration for the ICM programme and the development of CAPs during stage four of the project. Draft options and considerations were considered in a second workshop held in June 2022 with staff from the ORC and Aukaha, with staff from Te Ao Mārama invited to participate also. This helped further refine the proposed approach outlined in this document.

2. Integrated Catchment Management and Catchment Action Plans

The ORC has committed to developing CAPs for each of the freshwater management units in the Otago region to coordinate and focus its work on catchment goals.

A CAP can help coordinate existing programs to achieve common goals and outcomes – including activities undertaken by a range of stakeholders. Existing ORC plans, strategies and work the ORC or others do that will contribute to the ICM programme include:

- National legislation, policies and plans
- Strategic Directions
- Regional Policy Statement
- Land and Water Regional Plan
- Biodiversity Strategy / Action Plan
- Biosecurity Strategy / Regional Pest Management Plan / Operational Plan
- Infrastructure Strategy (for flood protection and land drainage)
- Natural hazards adaptation programmes (e.g. head of Lake Wakatipu)
- Science research and monitoring data including Otago Climate Change Risk Assessment
- Mātauranga Kāi Tahu

The ORC is currently undertaking a review of its Regional Plan: Water, which will result in a new Land and Water Regional Plan (LWRP). The rules of the LWRP will include limits to manage activities affecting freshwater including water quality and flow regimes. Any actions in a CAP will have to, at a minimum, be consistent with the regulatory framework set by the LWRP. Other work programmes which will be of relevance to the ICM programme include riparian management by the ORC - this delivers on-ground outcomes for river form and character; ORC's natural hazards work, which can help stabilise fragile or eroding landscapes; and biosecurity operations.

2.1. Mana whenua as partners

Mana whenua have a partnership relationship with the ORC which is given expression via Kāi Tahu involvement at the governance and strategy level, through the Mana-to-Mana forum between Kāi Tahu and the ORC and by iwi representation on the Strategy and Planning Committee. This means that Kāi Tahu are partners with the ORC rather than being a stakeholder in the ICM programme.

Kāi Tahu representatives sit on a governance group providing general oversight over the development of the LWRP, while representatives from Aukaha and Te Ao Mārama form part of the project management team for the LWRP.

Initial discussion with staff representatives from Aukaha and Te Ao Mārama provided some indication of how this partnership relationship might be applied to the ICM programme, and an overview of this is provided here. However, any points noted here should be treated as initial thoughts only and will need to be discussed by these staff members with Kāi Tahu representatives.

Staff representatives from Aukaha and Te Ao Mārama indicated that the governance and project management structure for the LWRP might also be considered for the ICM and CAP work programme, with co-governance at the top-level providing oversight and strategic direction, and co-management occurring for the implementation of the CAP programme.

Staff spoken to also indicated that baseline information should be appropriately informed by a te ao Māori perspective, and this could be an opportunity for direct input by wai Māori representatives early in the process. ICM should incorporate and place value on whanau monitoring and mātauranga Māori.

There is significant demand for mana whenua involvement in catchment groups and by other stakeholders. The ICM and CAP process could provide a vehicle to enable coordinated involvement by Kāi Tahu representatives and could provide communities with greater connection to Kāi Tahu representatives. However, the process would need to allow for diversity and flexibility to take account of potentially different preferences of Rūnaka and their preferred level of involvement, depending on issues and focus.

Environment Southland's Regional Forum[1] was provided as a positive example of a collaborative journey with factors supporting success including:

- sufficient time allowed for the process
- ensured diverse representation including gender and age.
- acknowledged and faced challenges
- materials were co-developed with mana whenua
- building capacity of council staff

[1] Environment Southland's Regional Forum is a community-based group that will advise Environment Southland's council and Te Ao Marama board members on how they can achieve the communities' aspirations for freshwater.

- very carefully scheduled – this allowed Te Ao Mārama to develop and deliver workshops.
- started with fundamentals – principles.
- equal delivery from Te Ao Mārama and council in terms of where the knowledge is sourced from.

A formalised structure and regular meeting times would benefit the CAP process, and that the terms of reference and scope need to be very clear.

2.2. Geographic Scale of CAPs

The scale at which CAPs are proposed to be developed informs the design of any collaboration framework, as it will influence the make-up of any groups or committees involved in the process. CAPs are proposed to be developed at the Rohe scale and at the FMU scale (where there is no Rohe), to help align with the work underway in developing the new LWRP.

The Ministry for the Environment's National Policy Statement for Freshwater Management 2014 requires regional councils to identify Freshwater Management Units (FMUs) for planning and managing fresh water within each region.

An FMU can be a river catchment, part of a catchment, or a group of catchments that the ORC has determined to be an appropriate scale for managing water, including the setting of freshwater objectives and limits.

The ORC has identified five FMUs for Otago, with the Clutha/Mata-au broken down further into five Rohe. Each FMU or Rohe will essentially form a chapter of the new LWRP, ensuring water management is based on locally determined values, rather than on a "one-size-fits" all region-wide approach. FMUs and Rohe in Otago are shown in Figure 1 below.

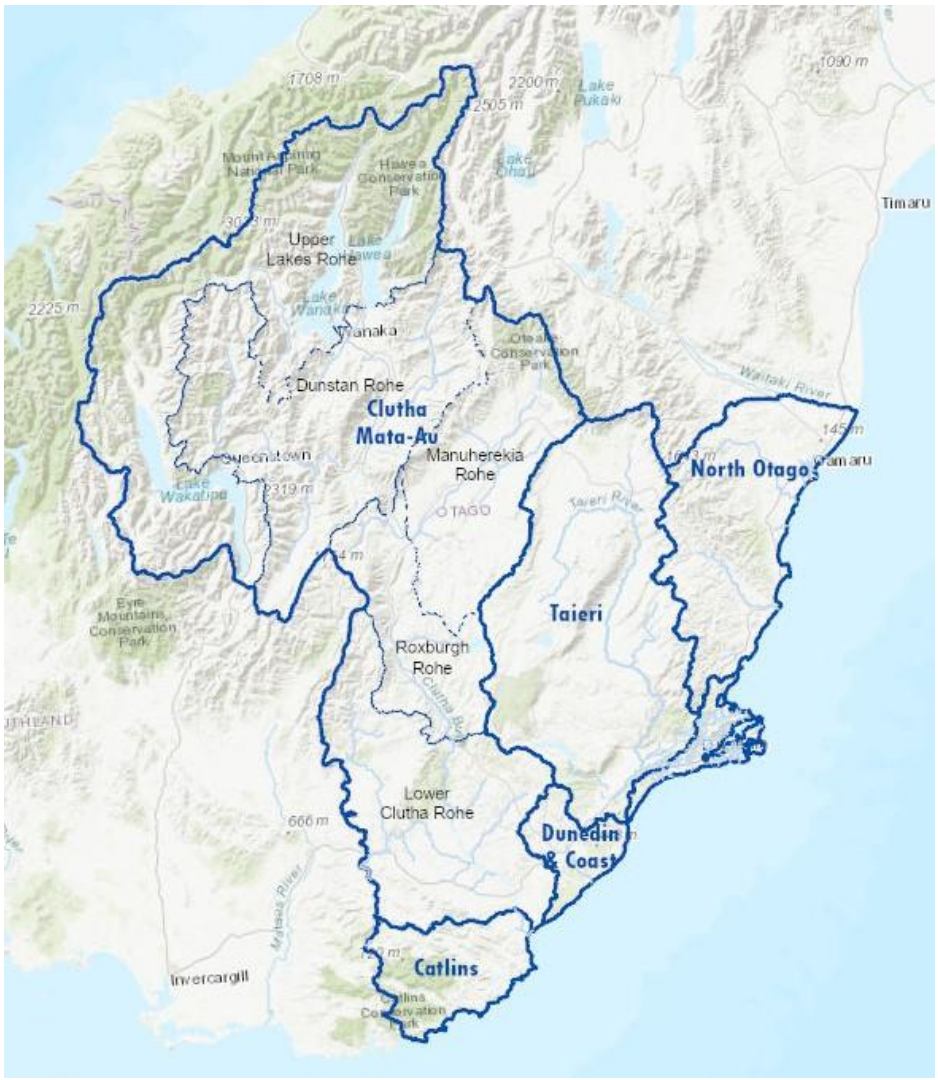

Figure 1. Freshwater Management Units and Rohe in Otago (source: ORC)

3. Literature Review

Introduction

Literature focusing on multi-stakeholder processes, participatory planning, partnerships, engagement and collaboration was reviewed, particularly within the field of natural resource management, including freshwater, forestry, marine reserves and integrated catchment management. Guidelines and toolkits within these fields have also been reviewed.

Much of the literature is based on, or draws from case studies, with common themes including high levels of conflict, low levels of trust, uncertain and or complex information, power imbalances and complex issues in terms of resource use and allocation.

Engagement in the public sector and community space appears to principally focus on social outcomes (health and welfare - see for example Ministry of Social Policy, 2000) or environmental outcomes. In the environmental sector multi-stakeholder engagement has arisen out of intense conflict, resource allocation or the need to solve complex problems – examples of these include forestry management in North America and marine resource management in New Zealand. A clear theme in the environmental examples are high levels of disagreement over resource use or competing values.

Types of engagement – including collaboration

Many sources note the lack of clarity about what is meant by different types of engagement, with a range of different, yet poorly defined terms used, including multi-stakeholder engagement, collaboration and partnerships (see for example Tan et al. 2008). This may be to do with the very nature of these processes – that they can be fluid and hybrid in nature, with Wilson (2005) noting a continuum of partnership type relationships that can change over time, and which can vary considerably.

The concept of collaboration is embedded within scales of engagement and participation, with literature building on Arnstein's (1969) ladder of participation – this set out eight "steps" of participation, ranging from manipulation of the public through to consultation, placation, partnership and citizen control. A range of spectrums have since followed Arnstein's ladder including the International Association for Public Participation's (IAP2) widely used spectrum of public participation processes. The IAP2 spectrum forms the basis of the IAP2's matrix (refer to Section 4.1.1 below) that provides more detail about the types of participation, including 'collaboration' which is identified as having the following goal:

> *'To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.'*

This goal comes with a corresponding promise to the public:

> *'We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.'*

As noted in Tan et al. (2008), the terms within many spectrums remain somewhat ambiguous and open to interpretation. This is not surprising, given the multitude of situations and ways in which they might be applied.

Collaboration has also been simply defined as 'actively working together' (Tan et al. 2008). This goes beyond a one-way provision of information, or collection of information. An alternative approach is to focus on the process to be undertaken together:

> *'To work together with the public and establish spaces for dialogue and deliberation (e.g. water planning committees, community reference panels), to agree on decision-making criteria, assist in development of alternatives and the identification of a preferred solution. This is also referred to as deliberation and/or co-designing.'* (Tan et al, 2008 p45)

Collaboration implicitly relies on interdependence, where parties have something to gain from it, and believe it is necessary to achieve outcomes.

Outcomes of collaboration

There seems to be general agreement that multi-stakeholder processes, including collaborative type processes, can lead to better outcomes – if done correctly. An in-depth review of public participation in environmental decision making concluded that quality, legitimacy and capacity could all be improved through participatory processes (National Research Council, 2008). The quality of both assessments and decisions could be improved, with outputs reflecting a broader understanding of the context and innovation being more likely. The legitimacy of the process and decisions could also be improved, with potential for a reduction in conflict and greater buy-in to decisions. Capacity for future decisions was improved, with increases in understandings and building of skills within the agency running the process (National Research Council, 2008). Diversity of values and interests makes it imperative that decision-making processes can provide a platform for negotiation and conflict resolution (Rockloff and Lockie, 2004).

However, if not well run, such processes can make matters worse and can fail to achieve the desired outcome (National Research Council, 2008; Paterson-Shallard, 2022; and DOC, 2018) or can fail to improve broader community confidence in decisions (Tadaki et al., 2020).

If not carried out correctly, these processes also had the potential to:

- degrade rather than improve decisions – including by decreasing agencies' ability to control decisions (Paterson-Shallard, 2022; National Research Council, 2008)
- be expensive and slow
- increase conflict and entrench differences (National Research Council, 2008)
- perpetuate power imbalances, with collaboration acting as just another political space where some players seek to use their power to influence the outcome. (Walker and Hurley, 2004)

Factors that support a successful process include the careful handling of information where there is potential for uncertainty or misunderstanding of science (Palliser, 2021), as well as clarity about the purpose of engagement. Clarity about the purpose is important as the purpose influences the nature of process and the level of resourcing required – for example, is the purpose to lead to transformational change, or is it instrumental – a tool for a specific end. (Tan et al, 2008).

Other key factors for success include focusing on gains or improvements rather than set outcomes, as well as not requiring a consensus for decisions (Walker & Daniels 2019, National Research Council, 2008).

Guidance documents

A number of guidance documents provide specific steps and considerations in designing engagement processes, including the level and type of engagement to undertake. A relevant example are the community engagement resources developed by the Policy Project – a New Zealand government initiative aimed at supporting good governance and decision making, including through engagement.[2] While these resources have a strong focus on policy development, they still provide useful guidance on planning and designing engagement processes for a range of projects and are based on the IAP2 approach.

Guidance documents within the Policy Project's toolbox highlight the importance of understanding the context and scope of a project or issue, understanding who is interested or affected by the project and their needs and perspectives as well as the purpose of engagement to determine the best approach to community engagement.

[2] Department of the Prime Minister and Cabinet, https://dpmc.govt.nz/our-programmes/policy-project/policy-methods-toolbox/community-engagement#tools

The context includes the history of engagement on an issue, how controversial an issue or proposal might be, and the complexity of an issue. Complex or controversial projects are more likely to be suited to collaborative engagement processes.

An understanding of scope requires defining the problem and opportunity and includes determining whether there are any limits on the potential solution, or factors that can't be changed, as well as whether there are aspects that the community can influence. The broader the scope is for addressing issues through the project, or the more significant it is to people, then the engagement can be further toward the right of the IAP2 spectrum.

Understanding the people that are interested or affected requires initial stakeholder identification and assessment of their needs and perspectives. The more significant the issue or problem is to people, the more likely there will be a desire or pressure for collaborative engagement.

The purpose of community engagement should be considered, to identify the anticipated contribution of the engagement to the overall project objectives. Engagement will tend towards the right of the IAP2 Spectrum if the purpose of the engagement relates to creating solutions rather than just seeking endorsement or feedback (New Zealand Government, The Policy Project, 2021).

A range of formats or platforms for engagement are considered in guidance documents and literature, with formats such as citizens juries, conferences or summits, focus groups, charrettes and community reference groups identified as being used in participatory processes (for example refer to New Zealand Government, October 2020, State of Queensland, July 2017 and National Research Council, 2008). A number of formats are included in the IAP2 methods matrix (included in New Zealand Government, October 2020). This matrix identifies the suitability of different formats and methods for different levels of engagement and their likely effectiveness in addressing aspects of the context and purpose of the engagement. Aspects that may need to be addressed include situations of low trust and high complexity while the purpose may include the need to generate action, achieve legal compliance, bring about behaviour change or make decisions. A number of potentially suitable formats are included in Section 6.1, based on this matrix and guidelines and literature reviewed here.

The who of collaboration

An important initial aspect of engagement processes is the identification of who to engage with, closely followed by considerations of how and when to engage with different people, groups or agencies.

While the focus of this project is on a 'community' collaboration framework, this term is not always clearly defined. Wilson (2005) notes that "communities can be based on a range of factors including

physical location and individuals' interests or demographics. Just as each community will have its own distinct make-up, so will each community group". A community can also form in relation to a common goal, which can provide a common identity regardless of divergent interests or individual differences.

The National Research Council (2008) provides a useful categorisation of layers within communities:

- stakeholders—organized groups that are or will be affected by or that have a strong interest in the outcome of a decision;
- directly affected public—individuals and non-organized groups that will be affected by the outcomes of a process;
- observing public—the media, cultural elites, and opinion leaders who may comment on the issue or influence public opinion; and
- general public—all individuals who are not directly affected by the issue but may be part of public opinion on it.

The directly affected public may be the hardest group to engage with – there may be a need for them to respond positively to decisions for outcomes to be achieved, but unless they have some degree of buy-in to the process this may be jeopardised.

Of relevance to the organised and non-organised groups mentioned in the first 2 categories above, Wilson (2005) emphasises the importance of understanding the internal structure and nature of community groups, as community groups are dynamic and complex and can have a mix of characteristics that can change over the course of a project. Groups can be informal (e.g. large community membership, have ad hoc planning processes, may have no legal structure, and/or rely on volunteers) to more corporate (e.g. legal structure, paid staff, strategic funding processes).

Rockloff & Lockie (2004) indicate that it is important to properly identify and understand stakeholders and their relationships. Exclusion of stakeholders, or not acknowledging their rights and interests can result in conflict and potentially affect implementation. Processes can be dominated by more prominent 'voices' while less visible or powerful groups can be excluded or disadvantaged. Exclusion can also result from the limited capacity of some stakeholders to be involved.

A common approach to stakeholder identification is the influence - interest matrix - in this matrix those with the highest levels of influence (or power) and the highest levels of interest are to be engaged with most closely. The matrix was developed by Mendelow (1991) and originated from organisational theory – many versions of this now exist, with key elements of relevance to this project shown in the Figure below.

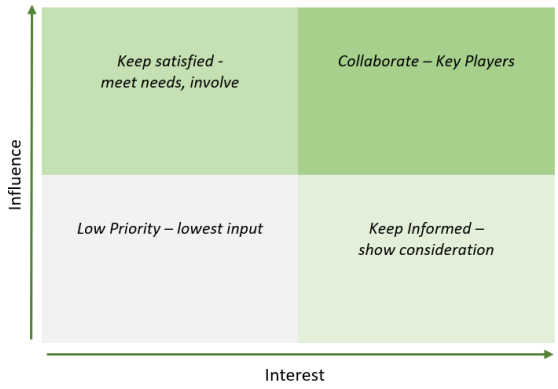

Figure 1. Influence-interest matrix for stakeholder analysis

Whilst useful in supporting initial analysis of stakeholders, its focus on influence has the potential to reinforce existing power imbalances, and to marginalise groups who have no direct ability to influence outcomes (beyond their involvement in such processes). Rockloff & Lockie (2004) promote a more detailed approach of stakeholder analysis and mapping to allow areas of hidden conflict to be identified and addressed, and to allow for rationalisation of membership. This seeks to reduce demands on resourcing and the potential for unwieldly processes whilst ensuring quality of participation and deliberative processes.

Stakeholder analysis and mapping undertaken by Rockloff & Lockie (2004) included social mapping based on interviews and document analysis to show relationships between stakeholders with a particular focus on convergences and differences regarding key values and aspirations relating to the focus issue. These maps were a starting point for discussion between stakeholders including potential strategies to address areas of stakeholder conflict.

Stakeholders are dynamic – both internally (Wilson 2005) and in terms of their network of relationships with others (Rockloff & Lockie, 2004). In recognition of this Rockloff and Lockie note the importance of describing social maps as draft representations of networks and relationships, and that regular updating is necessary to reflect the changing ways stakeholders perceive their own interests, values and aspirations over time, and to promote learning and interactions between stakeholders that leads to such change.

Stakeholder analysis also supports an understanding of internal structures and dynamics of groups and organisations and allows processes to be designed in a manner that accommodates internal decision-making processes, organisational culture, and capacity (National Research Council, 2008).

The how of collaboration – beyond the format

A substantive review of literature on participatory processes concluded that "it may not be the format itself that matters, but practices carried out within the format" (National Research Council, 2008, p114).

Attributes that can contribute to a more successful process include:

1. Breadth: Public participation processes are more successful when they include the full spectrum of parties who are interested in or will be affected by a decision. However, this needs to be tempered by an understanding that processes that are too large for real communication are not likely to be effective.

2. Openness: The openness of the process can be important – a more open process allows participants to have influence over the process – including through early involvement and sufficient time to influence design and the number of points in process that they can be involved. Collaborative process design can increase legitimacy.

3. Intensity: the amount of time and effort participants put into the process and the amount of interaction that takes place among them (including experts). Increased time and effort can improve the likelihood of success. The key here is to match the intensity to the context – greater intensity may be required where there is low trust or high conflict.

4. Influence - the degree to which the process enables participants to affect how the agency running the process defines, considers and acts on the issue. Better results can occur with more transparent processes, including understanding the purpose and objectives of the process, and constraints affecting it. Better results are also more likely when all parties commit to act in good faith and communicate well (National Research Council, 2008).

Other factors that will support a more effective process include being very clear about the purpose and scope of the process, and developing realistic objectives for the process (DOC, 2018; National Research Council, 2008). These need to relate in clear ways to policy decision making and implementation. Adequate funding and staff will be necessary – this supports the process practically but also signals that the agency is committed to the process. This commitment to the process is also beneficial to support buy-in.

Another essential element referenced frequently in literature is the need for trust. Where trust is low, more intense processes may be required – this includes sufficient timeframes, skilled facilitation, face to face interactions, explicitness about assumptions and uncertainties, and a willingness to compromise (see for example Ward & Russell 2010; Wright 2021).

It is also important to address issues of power in order support effective collaboration, as a power differential may make collaboration more difficult, although collaboration does not require equality or the removal of inequalities (Tan et al, 2008, p47).

One example of an approach that has been used successfully is a collaborative learning approach (Walker & Daniels, 2019). Key characteristics of collaborative learning are that it:

- Reframes processes away from solving problems to improving a situation, with improvements defined as desirable and workable change or actions.
- Approaches issues as a set of interrelated systems, with an emphasis on human activity.
- Emphasizes that significant learning—about science, issues, and value differences—will have to occur before implementable improvements are possible.
- Considers communication as multi-faceted and dynamic, and that the meanings constructed are more important than the messages sent.

This approach does not seek consensus in recognition that complex and controversial issues can make consensus an unrealistic goal. Collaborative learning draws on other disciplines to try and address complex and controversial challenges by using systems thinking; alternative dispute resolution; mediation and negotiation; and experiential learning including through learning from each other. It respects and incorporates 'non-technical' knowledge, including indigenous and local knowledge (Walker & Daniels, 2019).

Similarly, based on a review of literature Tan et al (2008) refer to the critical role that social learning plays in collaborative processes – with participants learning together about an issue, how they perceive this issue and why. This may support the development of social capital, increased legitimacy, buy-in and commitment to actions.

Palliser (2021) refers to the benefits of collaborative learning, but notes that there are still barriers to success, as there is still potential for debate about which perspective is true, rather than deliberating all perspectives and trying to find the best way forward. Science can also be used strategically to back certain perspectives or to silence some groups, and underlying assumptions and beliefs – including about science – can impede processes. (Palliser, 2021).

The way in which information is obtained and shared is also relevant, given that "the best possible research in natural environments is often only able to deliver results that are highly uncertain and difficult, if not impossible to replicate" (Palliser, 2021 p 234). Palliser indicates that the use of a post normal science approach can be beneficial in these situations as it recognises and acknowledges

uncertainties in scientific research and treats local and indigenous knowledge as valuable. It also relies on open dialogue between parties.

Effective dialogue and communication are seen as a critical element success – this includes an awareness of how messages will be interpreted, and what meanings will be constructed. Effective communication is critical as it will enable mutual understanding of issues and participants may benefit from undertaking shared training in communication and dialogue (Tan et al, 2008; Walker & Daniels, 2019).

Skilled facilitation is seen as an essential component of a collaborative process, and the process is likely to benefit from a diverse team of facilitators with different expertise and backgrounds and may include those with training in social science, dispute resolution, dialogue, as well as those with technical expertise on matters being addressed (Walker & Daniels, 2019 and Sinner et al 2014). Facilitators should be suitably experienced and impartial (or perceived as impartial), to establish and maintain the credibility of the process, build trust and manage conflict, and will ideally be selected by participants early in the process (De Vente et al, 2016 and SPIDR, 1997). If the convening agency considers using facilitators from within the agency, they should check whether participants are likely to view them as unbiased and able to act independently

The value of utilising system-based thinking is evident in literature. Systems-based thinking seeks to understand complex systems, predicting their behaviours, and devising modifications to them in order to produce desired effects, whilst recognising interdependencies and interactions (Arnold & Wade, 2015; HM Government, 2018). A number of websites promote the value of a systems-based approach to complex problems, as these cannot be solved by one actor, or even understood properly by one actor (https://learningforsustainability.net/systems-thinking/ - this has a range of links and presentations on the use of systems-based thinking for complex environmental problems). Systems thinking is identified as a useful approach in that it can allow participants to shift from their own perspective to seeing the wider context and considering it as a system; and to shift from thinking others should change to seeing how they can first change their own actions and behaviours.

A key theme throughout much of this literature is the importance of focusing on how the process is run, rather than focusing only on the format of the process.

More Specific Tools and Methods

Collaborative learning, social learning and post normal science can be viewed as a broad approach, framework or philosophy within which a number of tools can be used, to varying degrees at different points in the collaborative process.

Sinner et al (2014) assess tools for use by regional councils and communities in undertaking planning processes relating to water management to implement the National Policy Statement for Freshwater Management. Some of the tools (and their review of them) have applicability to environmental management more generally, as both deal with complex issues. Types of deliberative tools including hui, waterwheels[3], deliberative multi-criteria analysis, and structured decision making were assessed as being useful across multiple stages of participatory assessments and decision making. Such tools can assist with the development of a shared understanding and learning as well as assisting with decisions involving trade-offs and competing aims.

Tan et al (2008) also reviewed a range of tools, some of which were the same as those assessed by Sinner et al (2014). Tan et al noted that different tools and techniques will be required at different stages of participatory processes. For example, multi-criteria analysis proved much more effective in the latter stages of planning, while the use of GIS systems or joint construction of a model may assist with a shared understanding of the problem and building confidence in information earlier in the process. In addition to those addressed by Sinner et al, 2014, Tan et al (2008) noted the use of cultural mapping[4], participatory geographic information systems[5] and the joint development of models (to increase confidence and trust in technical modelling) as being potentially useful in participatory processes.

[3] WaterWheels are a diagram/ graphic tool developed during workshops, with participants identifying values, indicators for values, and scenarios– each spoke of the WaterWheel represents an indicator for key values, with the length and colour of each spoke showing the acceptability of the indicator value on a scale from poor to excellent (refer for example to Turner et al, 2020).

[4] In this Australian example this incorporated Indigenous land use and occupancy mapping with recordings of oral histories, which had the potential to be applied directly to resource planning decisions as a means of incorporating Indigenous values.

[5] An example of participatory geographic information systems is WaterGroup – this was designed to support collaborative decision making among stakeholders. WaterGroup integrates maps, satellite imagery, scenario building tools, dynamic visualizations of scenario impacts, and voting tools. Refer to http://depts.washington.edu/watergrp/

Evaluation and monitoring

Engagement processes can benefit from evaluation and redesign both while they are underway and when they end.

Tan et al (2008) notes that monitoring and evaluation of the collaborative process can:

- Facilitate an adaptive process for environmental planning and management
- Enable the testing of collaborative mechanisms
- Building reflection into participatory approaches
- Engender a culture of continual improvement into the process – including in relation to engagement and participation of indigenous people.

Evaluation of the process is similar to the concept of adaptive management of environmental resources, in that both are a continual learning process. However, it can be very difficult to evaluate the effect of participatory processes in achieving environmental outcomes on the basis that a huge array of factors may influence environmental conditions. Exceptions may occur where participants have the power to implement their decisions (National Research Council, 2008).

Tan (2008) provides a useful overview of the evolution of monitoring and evaluation processes, from compliance focused, to including evaluation of substantive outcomes, to inclusion of criteria to try and evaluate the process itself. Assessment criteria should also include indicators which can show the multi-dimensional changes that can result from participatory processes including new collaborations, social networks and new avenues for dialogue and knowledge exchange. Tan (2008) also provides examples of evaluation frameworks that seek to acknowledge the role of embedded power relations, the multiplicity of emergent benefits and the legitimisation of certain forms of knowledge in the process. Participatory involvement in developing indicators was also recognised as desirable. The quality of the process should not just be measured by the degree of personal satisfaction of the participants – while this is one element to consider it can be influenced by aspects of the experience that are unrelated to quality. (National Research Council, 2008).

Kusters et al (2018) applied a three-stage process to evaluation which looked ahead (what were the priorities/aspirations for the collaboration?); looked inward (how effective was the process?) and looked back (how successful was the process/platform in meeting the objectives?). They suggest a number of criteria to evaluate each of these components, including a focus on good governance (representative, participation, and equity), having adequate resources, leadership and whether adaptive management is built into the process. Tadaki et al., (2020) suggests that evaluation should not

just focus on those taking part in the process, but also whether the wider community views collaborative governance to be delivering improved effectiveness, fairness and legitimacy.

A range of tools can be used to undertake evaluation including scoring with a Likert scale, which can be presented back to participants, allowing for in-depth discussion and reflection on the results, and the identification of practical changes that might need to occur to the process to improve it (Kusters et al, 2018). Other techniques that can be used include surveys, semi-structured, interviews, participant observation, document analysis and statistical inferences (Tan, 2008).

Summary

There is a general agreement in the literature that multi-stakeholder processes, including collaborative type processes, can lead to better outcomes – if done correctly. Numerous examples do exist of collaborative processes failing to deliver anticipated results.

The concept of collaboration is embedded within scales of engagement and participation, including in the widely used IAP2 spectrum of public participation processes. Collaboration can be simply defined as 'actively working together' (Tan et al. 2008). This goes beyond a one-way provision of information, or collection of information. Collaboration implicitly relies on interdependence, where parties have something to gain from it, and believe it is necessary to achieve outcomes.

Both literature and guidelines emphasise the importance of stakeholder identification and analysis to ensure inclusion of the full spectrum of stakeholders that are interested in or will be affected by a decision. In-depth analysis should be carried out with stakeholders and can assist with identifying areas of hidden conflict and relationships of influence.

Other key factors which can support success include:

- clarity around purpose and process (including where decision making sits)
- early involvement of stakeholders in designing the process
- providing sufficient time for the process to unfold (relative to the level of trust and complexity)
- ensure the process develops a shared understanding of issues and each other's values.

A range of formats and tools are outlined in guidelines and literature that can assist with and underpin collaborative processes. Formats include reference groups, workshops, conferences and citizen juries. Approaches and frameworks include collaborative learning and systems thinking while more specific tools that can be used within these formats and frameworks include deliberative multi-criteria analysis and joint development of models.

Engagement processes can benefit from evaluation and redesign both while they are underway and when they end. Evaluation criteria should seek to assess the process itself (rather than just environmental outcomes), as well as any multi-dimensional changes that can result from participatory processes including new collaborations, social networks and new avenues for dialogue and knowledge exchange. Participatory involvement in developing indicators is also recognised as desirable.

Overall, the literature review has highlighted that it is not just the format or platform for collaboration that is important but *how* the process is run. This includes ensuring the process is run with sufficient time and resources, has appropriate facilitation, and uses the right tool at the right stage of the process.

4. Context, scope, and purpose

The ORC has already assessed the context, scope, and purpose of the ICM programme and has determined that engagement should occur, and that this engagement should primarily be via 'collaboration'. A full assessment of the context, scope, and purpose of the ICM programme sits outside of the scope of this project. However, brief consideration and analysis is included here to confirm the basis for collaborative engagement as the key focus for this project, and to assist an understanding of whether some stakeholders might be engaged with differently.

4.1. Context

Key dimensions of context that can inform the level and nature of engagement include the relationship of ORC with the community and stakeholders, the ORC's commitment and approach to engagement, as well as the level of complexity and controversy associated with the programme – including the level of interest in the proposal and the scale or consequences of the programme. These factors are addressed below.

4.1.1. ORC and engagement

The ORC's commitment to engagement is set out in *He Mahi Rau Rika: Otago Regional Council Significance, Engagement and Māori Participation Policy*.

This policy notes that the ORC's organisational vision is that "Otago's communities, through engagement, trust us to make well-informed decisions and enable solutions."

To enable this council has made several commitments, of which the following are particularly relevant to the ICM programme:

- Partner with mana whenua and make mātauranga Kāi Tahu an integral part of its decision making
- Deliver integrated environmental management
- Effectively engage communities
- Collaborate to deliver
- Make decisions which are evidence-based and timely

The policy outlines how the ORC will engage with communities and includes the IAP2's spectrum of engagement, with further detail provided in the IAP2's matrix of best practice principles and methods of engagement.

This commitment to engagement forms part of the context for any recommended framework for collaboration for the ORC's ICM work.

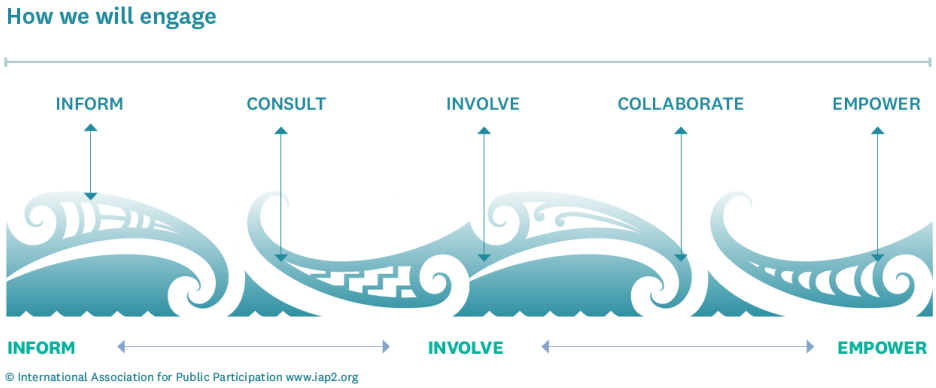

Figure 2. Spectrum of engagement - International Association for Public Participation, adopted in 'He Mahi Rau Rika: Otago Regional Council Significance, Engagement and Māori Participation Policy'. p 10

Table 1. International Association for Public Participation's best practice principles and methods of engagement (Table.2 in ORC He Mahi Rau Rika: Otago Regional Council Significance, Engagement and Māori Participation Policy)

	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
What Engagement Involves	One-way communication to provide the public with balanced and objective information about the problems, alternatives and / or solutions, or about something that has happened or is going to happen	Two-way communication to obtain public feedback on ideas, analysis, alternatives, or proposals to inform decision making	Participatory process to help identify issues and views and ensure these are understood and considered prior to decision making.	Working together to develop an understanding of the issues and interests to work out alternatives and potential solutions and to inform decision making process.	To place final decision-making in the hands of the public. Noting that, under the Local Government Act 2002, the regional council chair and councilors are elected to make decisions on behalf of their communities
Types of issues we might use this for	Annual Report Low significance policies	Consultation document for the Long Term Plan	Regional Plan	Catchment planning	Local Body elections
Tools we might use	Websites Fact sheets / newsletters Social media Adverts Email Text alerts	Formal submissions and hearings Display advertising Websites Public notices Focus groups Surveys	Workshops Focus groups Citizens panels Follow statutory processes	Collaborative stakeholder groups Technical alliance Participatory decision-making	Binding referendum Local body elections
What this looks like	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input was considered in makingthe decision.	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input was considered in making the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide / we will enable you to decide

Historically community engagement by the ORC has been primarily focused on the inform/consult end of this spectrum, as it is often tied to consultation processes carried out under legislation such as the Local Government Act or Resource Management Act.

Feedback from those interviewed as part of this project supports this, with several noting that they had limited interactions with the ORC, and the interactions they did have were often related to formal consultation processes or information provision or were related to specific staff interactions linked to consent or compliance work. Comments also highlighted that while staff might be helpful and frequently have good relationships with the community, there was frustration with a lack of delivery of

actions and work on the ground at an organisational level. Overall, there was quite a low level of trust in the ORC as an organisation, including in terms of delivery and working alongside communities.

However, there are examples involving partnership by ORC with other organisations, including the 'Head of Lake Wakatipu Natural hazards adaptation project', which involves a partnership with Queenstown Lakes District Council, Department of Conservation, Aukaha and Te Ao Marama, alongside work with the local community.[6]

4.1.2. Nature of the Issue and Programme

Integrated catchment management aims to take a whole of systems approach to catchment management, within which there are a number of complex interlinked systems and issues including freshwater, estuaries, marine, soil health or stability, biodiversity and pest control. There can also be significant controversy associated with management of these systems, including the allocation of resources, such as the right to use water, or the impacts of private activities on public resources or the environment.

Solutions to issues addressed through the ICM programme will require actions to be undertaken by multiple parties. This is one of the key defining features of the ICM programme with regard to the design of an engagement approach, as it means that significant levels of buy-in to the programme will be necessary to ensure successful implementation.

This project has been identified by the ORC as one which would benefit from being further towards the right of the IAP2 spectrum of engagement. This is considered appropriate, given the potential for controversy and the complexity of the issues and challenges faced with integrated catchment management, and the need for actions to be undertaken by multiple stakeholders to achieve change.

4.2. Scope

Understanding the scope of the ICM programme requires an understanding of the problems or opportunities the programme is trying to address. The programme provides an opportunity to take a whole of system approach, and to combine efforts to achieve common goals. Conversely, currently there is a lack of holistic, whole of systems thinking, with many different agencies and groups working in a disconnected manner.

[6] https://www.orc.govt.nz/managing-our-environment/natural-hazards/head-of-lake-wakatipu

ORC has functions across many different ecosystem elements. In the past year, ORC has scaled up its activity and implementation of environmental outcomes and this introduces added complexity in cross-organisation planning.

We anticipate that the scope of ICM work might be affected and limited by:

- Regulatory and planning frameworks – this sets environmental limits and restricts some activities as well as identifying outcomes/goals for some attributes. The ICM work cannot be inconsistent with these frameworks.
- Uncertainty associated with regulations and planning frameworks – some actions may not be possible until regulatory uncertainty is reduced. For example – the definition of a wetland may impact on fencing and grazing decisions.
- Science/knowledge limits – knowledge is not perfect, and often there are gaps in monitoring. However, there is a strong focus and reliance on science in decision making by both ORC staff members and the community, which is thought to be a response to the development of regulatory plans, and the scrutiny on science in the development of these plans.
- Capacity constraints – the number of leaders or willing representatives within the community, or agencies operating within the community, as well as how stretched these leaders or representatives are.
- Financial constraints – including on the types of responses and actions that might be available to address issues.

These and other factors may impact the potential process and solutions that could occur with the ICM programme. However, the programme will provide opportunities for streamlining and alignment that can provide new opportunities for solutions, or improvements in management. Overall, even with the limitations outlined above, the ICM programme could provide scope for a wide range of responses to issues that are of significance to communities.

Recommendation:

Develop a clear scope for the ICM programme, including the problem/s ICM is trying to address, and the opportunity that the programme presents.

4.3. Purpose

Initial feedback from ORC staff was that the purpose of the engagement process for the ICM work was identified as:

- a common understanding between different groups
- strong community and stakeholder ownership of issues and solutions
- an alignment of effort to achieve common goals – with different parts of the community working in same direction

Discussions with community representatives highlighted the need for clarity with the ICM programme, so that participants had a clear understanding of the potential benefits for their involvement, and why they should be involved. The importance of clarity around both the purpose and scope of the process is further supported by literature.

Recommendation:

Develop a clear purpose statement for the ICM programme, to ensure that the purpose of the programme is clearly understood by the community and stakeholders.

Develop a clear statement on the purpose of the collaborative process.

5. Community/Stakeholder Initial Analysis

One of the key steps in considering and designing an engagement process is to investigate and understand who might be interested and affected in the programme, and their perspectives, needs and potential limitations. An assessment of potential stakeholders was undertaken as part of this project and is discussed in this section. An initial analysis of stakeholders was undertaken by considering their ability to influence the ICM programme or their interest in the programme and the values and issues within its scope, before a more detailed investigation was undertaken through interviews with a number of stakeholder representatives.

5.1. Interested or able to influence?

People, groups or organisations who are potentially interested in (and affected by) or able to influence the ICM programme were identified by discussion with the ORC staff, groups working with catchment groups or in the environmental sector as well as through discussions with potential stakeholders (including about who else might want/need to be involved). Effort was made to identify a diverse range of potential stakeholders – including representatives of groups with a youth focus and a broad geographical spread of groups from throughout Otago.

A number of related questions were considered during the identification phase including the questions in Table 2 below.

Table 2. Stakeholder identification and analysis questions

Stakeholder identification questions	Potential stakeholders
Who will be affected by it? (Degree to which the stakeholder will be impacted, or is at risk)	Directly – mana whenua, landowners and land managers (including government departments and councils), local community groups, environmental groups, river and ocean users, those with strong connections to the affected environment. Indirectly – industry groups supporting landowners, government departments who work with primary producers and landowners, everyone who lives or visits Otago.
Who can influence the programme or work? (Influence over goals being achieved, other stakeholders (sometimes expressed as 'power').	Landowners, land managers, territorial and regional councils, mana whenua, researchers/scientists, potentially industry groups (e.g. DairyNZ) and processors. NGOs and special interest groups can also have influence on the programme via on the ground actions (e.g predator control, restoration planting), political influence as well as by influencing social license to operate and the setting of regulations or planning frameworks

Who is interested in the programme? (Level of interest in the issues /stake in the issues or outcome)	Those listed above, plus general public with an interest/connection to the natural environment.
Who would be capable of implementation – actions to support targets?	Landowners, land managers, mana whenua, agencies able to provide funding support for actions, groups undertaking actions on private/public land e.g. planting, pest control. Specific examples include – farmers, forestry, horticulture, DOC, LINZ, local councils.

The influence and interest of stakeholders has become particularly embedded in stakeholder analysis practice using the matrix shown in Figure 1 in Section 3.

The questions in Table 2 above, which consider the approach set out in the influence-interest matrix, have informed the identification of community groups or representatives and stakeholders and where they may fall along the spectrum of engagement (refer Figure 2 in Section 4.1.1). While some initial analysis can be undertaken (as indicated in Table 2 above), more detailed stakeholder mapping and analysis would ideally occur with potential participants, to enable identification of relationships and links between stakeholder groups as well as hidden areas of conflict or low trust that might need to be addressed through the engagement process. Some interested participants may need additional support (e.g. resourcing or information) to enable them to be more meaningfully involved in the process.

Regarding the ICM programme the question of influence can also be looked at more clearly by splitting the CAP process into two phases:

1. the design phase – including setting targets and actions
2. the implementation phase.

There may be some stakeholders that can / would like to influence the design phase but may not be able to play a strong role in the implementation phase, because they don't own or manage land and/or they don't have the relationships and resources to carry out or influence work on land owned or managed by others.

Those that can influence the implementation phase need to be part of the design phase, otherwise there may be limited buy-in during implementation and the programme will fail to achieve targets set in the design phase. Stakeholders who can't directly carry out actions (e.g. because they don't own land, or don't carry out actions such as predator control work) can still have influence beyond the design

phase, as these stakeholders may still impact the social license, political context and regulatory framework affecting activities and landowners/managers linked to the programme.

Once potential participants have been identified as being interested, affected, or having influence over the process, they may then be further analysed by the factors outlined below:

Representation	The legitimacy/degree of claims of representation, buy-in/membership
Contribution	Level of knowledge about topics (all types of knowledge), information, advice
Capacity	Degree to which stakeholder has capacity to engage
Trust	Existing level of trust with ORC, and other key stakeholders
Willingness	Willingness to engage and invest time and energy

Additionally, stakeholders can be assessed to ensure that there is diversity of representation of the wider population that might be interested. Questions that may be asked to check diversity of representation and access to groups/sectors include:

- Who is typically hard to engage?
- Who is likely to be missing from your conversations?

A range of stakeholders were identified and analysed based on the questions outlined above, and an initial assessment of potential stakeholders was undertaken by FMU, and this is outlined in Section 5.2. Qualitative interviews were then conducted with a range of potential stakeholders (29 interviewees representing 22 groups or agencies) with the aim of gaining a better understanding of these groups or organisations including the representativeness of these groups, their focus, expertise, willingness and capacity for involvement, their perspective on a collaborative approach, as well as their relationships with other stakeholders. The results of these interviews are presented in Section 5.3 and 5.4.

One of the key types of groups identified for involvement are catchment groups, on the basis that they can represent or draw in a range of landowners throughout a catchment or sub-catchment and can be multi-stakeholder groups themselves. Effort was made to talk to representatives from a diverse range of catchment groups – including those that were well-established and active, some that were newly formed and/or less active, covering catchments spread throughout Otago, including large, small, rural and urban catchments.

A range of other potential participants or stakeholders in the ICM programme were also identified – this included forestry companies, environmental or special interest groups, government departments and statutory bodies. Representatives for government departments with direct responsibility for land management were contacted for interviews, on the basis that the CAP process will include a focus on direct implementation of actions (rather than setting policy or rules).

Qualitative interviews were undertaken primarily with a single representative of a group or organisation, although some sessions were with multiple representatives, with one interview taking place with 5 representatives, with the choice around representation being left to the group. These interviews primarily took place on-line via video calling, and used open ended questions, with some supporting follow up questions and resultant discussions occurring. Interview questions are attached in Appendix A. Interviews were then analysed according to themes that emerged.

This assessment of the community and stakeholder context relevant to the ICM program is intended to provide an overview of the potential stakeholders that might be considered for involvement in a collaborative development, and the factors associated with these stakeholders that may influence the design of a framework for collaboration. Further stakeholder analysis and mapping is recommended as part of the co-design of the collaborative framework for each CAP process (refer to Section 6).

5.2. Overview of potential stakeholder groups by FMU

This section provides an overview of groups and organisations operating within each FMU that may have an interest in, or ability to influence the development and implementation of CAPs. Only a portion of the groups outlined below were interviewed as part of this project due to time constraints and the scope of this project. General information from interviews has informed this section where relevant, however answers specific to the design of a collaboration framework for the CAP process programme are included in Sections 5.3 and 5.4 below.

The scale and focus of groups that may be stakeholders in an ICM programme can vary widely with groups such as WAI Wānaka, Upper Taieri Wai and Otago South River Care Incorporated covering large geographical areas, with smaller groups or projects sitting underneath them, or operating within the same area.

The Landcare Trust online mapping provides an overview of catchment groups and environmental groups and can be found at https://www.landcare.org.nz/resource-item/map-of-catchment-groups-and-environmental-community-groups. However, this space is dynamic – both in terms of the formation of groups, their areas of focus, their level of activity, as well the many links between groups.

This means that discussions directly with these groups provides the greatest clarity on their potential role in the ICM programme.

An overview of the focus, nature and relationships between groups is provided in the following sections – this is an overview by FMU only and should not be relied on as a comprehensive assessment of all groups and links that exist between them.

5.2.1. Otago Wide Groups

A number of groups operate across the Otago region, or nationally.

National groups include Landcare Trust, Wise Response, Forest and Bird New Zealand and Fish and Game New Zealand. Some of these groups have local branches and these are described in more detail below.

Otago Catchment Community Inc (OCC) operates across Otago. This is an umbrella group that represents and supports catchment groups in Otago and was started by catchment group leaders in Otago who came together with the aim of establishing an umbrella organisation to both support existing catchment groups and help new ones get off the ground. OCC has been operating since June 2018, with workshops convened by NZ Landcare Trust to facilitate and promote on farm good practice and sustainable land management. It now has funding from ORC and MPI to employ two coordinators to support catchment groups throughout Otago, as well as offering some funding for catchment group initiatives directly.

Enviroschools work with ninety-nine schools and early childhood centres across Otago, including all schools in Queenstown Lakes District and Central Otago District, just over half the schools in Dunedin and Waitaki Districts and about one third of schools in the Clutha District.

A number of industry/sector groups and companies are active in the Otago region, including both national groups and regional groups. Regional industry groups include the Southern Wood Council (described in Section 5.4.8), Central Otago Wine Growers Association and branches of the New Zealand Farm Forestry Association (refer Section 5.4.8). Industry groups are also discussed in more detail in Section 5.4.12 below.

5.2.2. Catlins FMU

The Owaka Catchment group is the only known catchment group in this FMU. This group was established over 10 years ago but has potentially been less active in the past than some other

catchments groups in Otago. This group is now part of the Otago South River Care Incorporated umbrella group.

Environmental groups include a very active branch of Forest and Bird (South Otago) and the Yellow Eyed Penguin Trust.

The South Otago branch of Forest and Bird are involved in a wide range of issues and projects including the protection of native bats, soil health, predator control, indigenous biodiversity, climate action, restoration planting and botanical surveys. The South Otago branch has 10 to 15 very active members, with a total of 50 members. Forest and Bird New Zealand own the LENZ reserve in the Catlins, and this is jointly managed by the Dunedin, South Otago and Southland Branches of the Society. This reserve is 550 ha.

5.2.3. Clutha/Mata-au FMU

This is one of the most complex FMU's in terms of the number and layer of groups. The overview provided below highlights the complexity of interactions between groups, with the 'busiest' area potentially being the Central Lakes District.

WAI Wānaka is an environmental protection organisation located in the Central Lakes District. WAI Wānaka connects and supports individuals, landowners and businesses undertaking positive work towards building healthy ecosystems and supporting community wellbeing taking a whole-of-basin approach. WAI Wānaka utilise and facilitate science (including planning, research and monitoring), community action and educational projects and programmes. In this sense WAI Wānaka can be seen as an umbrella, connector or facilitating environmental and community organisation.

WAI Wānaka's work includes supporting or working alongside a number of groups in the Central Lakes District including the following catchment groups:

- Lake Hāwea
- Hāwea Flat
- Cardrona
- Luggate
- Maungawera
- Wakatipu
- Wānaka

WAI Wānaka has assisted with establishment of 6 of these catchment groups, with groups determining their own priorities and receiving funding assistance to help with facilitation and access to experts and resources.[7] The Wānaka Catchment Group was established separately and includes 95% of the farmed catchment for Lake Wānaka.

WAI Wānaka is also facilitating the establishment of urban catchment groups – with the Friends of Bullock Creek already active.

Also present are the Guardians of Lake Wānaka and the Guardians of Lake Hāwea. The Guardians of Lake Wānaka are empowered under the Lake Wanaka Preservation Act 1973 to report and make recommendations to the Minister of Conservation. The Guardians of Lake Hāwea are a sub-committee of the Hāwea Community Association Incorporation and have been operating for well over 25 years. They have started to meet with the Lake Hāwea catchment group, along with DOC and LINZ to discuss issues such as winter grazing and its impact on the lake.[8]

The recently formed Southern Lakes Sanctuary Trust is a consortium of six local groups that collectively represent 84 community groups, landowners, and businesses, with a key focus on predator control. The project area for predator control work currently focusses on six core areas or 'hubs': the catchments of the Makarora, Matukituki, Motutapu and the Dart-Rees-Greenstone rivers, and the basins surrounding Queenstown-Arrowtown and Wānaka-Hāwea, with a further hub likely to be established at Cardrona.

The Southern Lakes Sanctuary Trust received funding from the Jobs for Nature scheme from the Department of Conservation. The six groups are Forest and Bird - Central Otago Lakes Branch, Matukituki Catchment Animal Pest Control Project, Routeburn Dart Wildlife Trust, SOHO Properties Ltd (covering 4 high country sheep stations with large areas in QEII covenants known collectively as the Mahu Whenua Open Space Covenants), Wānaka Backyard Trapping and the Whakatipu Wildlife Trust.

Other environmental groups operating in the area include the Central Otago Environmental Society and Te Kakano Aotearoa Trust – the latter is a community native plant nursery which focuses on propagation and restoration planting. The Mana Tāhuna Charitable Trust also received Jobs for Nature funding to restore water quality in Lake Hayes. This project is focused on working with other community groups to plant natives and restore wetlands as well as control possums, rats and stoats and install sediment traps.

[7] https://waiwanaka.nz/actions/catchment-groups/
[8] Guardians of Lake Hāwea (GLH) Report - AGM 2021, https://www.haweacommunity.nz/guardians-of-lake-hawea

The Glenorchy Landcare Group established a number of years ago with a focus on water quality.

The Lake Dunstan Charitable Trust was established in 2015 and has recently been working on a Lake Dunstan Community Vision Report, with community sessions being undertaken to understand the community's concerns, values and ideas.

A number of other catchment groups are present in the Clutha/Mata-au FMU, including the Lindis Catchment Group and the Manuherikia Catchment Group, both of which initially formed in response to water allocation in anticipation of the expiry of permits to take water for irrigation. Both groups have extended their scope of interest, with the Lindis receiving Jobs for Nature funding to enhance riparian margins and improve river health by mitigating erosion and improving biodiversity, including predator protection for endangered indigenous fish species.

The Manuherikia Catchment Group also acts as an umbrella group for other smaller sub-catchment groups, including the Thomsons Creek Catchment Group and the Ida Valley Catchment Group. Thomsons Creek Catchment Group received significant funding from MFE as part of the Manuherekia Exemplar Catchment Project, while the Ida Valley Catchment Group has recently established.

The Teviot Valley Water Care Group Inc was formed in 2020 with a focus on water quality, this group represents 35 farmers. The Otago South River Care Incorporated was also formed in 2020 and received funding from MPI to support a number of catchment groups in South Otago including the Waiwera-Kaihiku, Owaka, Tuapeka-Waitahuna, Lower Clutha-Lake Tuakitoto and Tokomairiro Catchment Groups. This collective straddles three FMUs, with the Owaka Catchment Group sitting within the Catlins FMU, and the Tokomairiro Catchment Group within the Dunedin and Coast FMU. The approach taken with these catchment groups is understood to be based on the approach taken by the Pomahaka Water Care Group, an established neighbouring catchment group with a strong focus on actions to protect and enhance water quality.

5.2.4. Taieri FMU

A number of separate groups exist in the Taieri catchment including Upper Taieri Wai Inc and the Te Nukuroa o Matamata project. Upper Taieri Wai extends from the headwaters of the Taieri to include the Strath Taieri area. Te Nukuroa o Matamata, which is run by Te Rūnaka o Ōtākou, is focused on the lower Taieri catchment, including the Waihora-Waipōuri wetland complex. This project recently received Jobs for Nature funding and this builds on work funded in the area by Te Rūnanga o Ngāi Tahu over the last 22 years through the Te Nohoaka o Tukiauau/ Sinclair Wetlands Trust. Another more

informal catchment group also exists on the Taieri Plains. Predator Free Dunedin also operates in the Taieri FMU but is described in more detail in Section 5.2.5 (Dunedin and Coast FMU).

The Upper Taieri Wai group acts as an umbrella group for other sub-catchment groups and projects including the Tiaki Maniototo Project – a 5-year project funded by MFE through the Jobs for Nature project focusing on the Maniototo area, with a strong focus on restoration and water quality outcomes. Also situated within the Upper Taieri area is Kyeburn Catchment Ltd – a company which originally formed out of the replacement of water permits to enable collective management of water takes, but now provides a vehicle for freshwater management more generally. The Strath Taieri Catchment Group is also located within the Upper Taieri area and has only recently become established.

DOC has initiated the Te Mana o Taiari Ngā Awa partnership in the Taieri catchment. This is a partnership with mana whenua, ORC and the DOC. This programme is focused on working to:

- improve the condition, biodiversity and the ecological processes of the river
- protect threatened species that are present
- increase the ability of each river to cope with climate change.

This programme is only in its early stages but has already supported a hui and shared field trip with representatives from Kāti Huirapa Rūnaka ki Puketeraki, Te Rūnaka o Ōtākou and the Tiaki Maniototo Project.

5.2.5. Dunedin and Coast FMU

Only one or two catchment groups are understood to be present within this FMU including the Tokomariro Catchment Group. Another is the Landscape Connections Trust (LCT) which plays an active role in environmental and education activities in this FMU.

LCT is a Dunedin based trust and was established in 2011. Trustees are representative of landowners, conservation groups, and local residents. LCT's primary role is to support and implement a variety of environmental projects under the name 'The Halo Project'. This work includes predator control, seabird habitat restoration, forest habitat restoration, freshwater enhancement. These activities are achieved by working with landowners in a coordinated and collaborative manner across six catchments – Blueskin Bay, Pūrākaunui, Long Beach, Waikouaiti, Whareakeake and Dunedin harbourside.

Predator Free Dunedin is a conservation collective of more than 20 organisations working together (including the ORC) to undertake predator control to protect native biodiversity and strengthen communities via a collaborative framework. Delivery partners include City Sanctuary, The Halo Project and the Otago Peninsula Biodiversity Group, and the collective also integrates work from agencies such

as OSPRI and Dunedin City Council. Membership of Predator Free Dunedin includes representatives from local and central government representatives, education and research institutions, Te Runanga o Ngai Tahu, local Rūnaka and environmental groups.

A number of other environmental groups are active in this FMU including the Yellow Eyed Penguin Trust, Forest and Bird – Dunedin Branch and the New Zealand Sea Lion Trust plus area specific groups such as the Save The Otago Peninsula Inc Society, Tomahawk Smaills Beachcare Trust and Otokia Creek and Marsh Habitat Trust.

5.2.6. North Otago FMU

Catchment focused groups located within the North Otago FMU are the North Otago Sustainable Land Management (NOSLaM) and the East Otago Catchment Group. NOSLaM is a farmer driven group that acts an umbrella group supporting and facilitating catchment groups. It is actively involved throughout North Otago including in the Awamoko, Waiareka and Kakanui Catchment areas - with groups of farmers (known as 'Pods') working together to improve land and water management.

The East Otago Catchment Group was formed in 2019 and has in part grown out of the Shag River catchment group. It includes five catchments - the Waikouaiti, Shag and Pleasant Rivers, Stony Creek and Post Office Creek. The Pleasant River has also received Jobs for Nature funding from MFE (Te Hakapupu/ Pleasant River Catchment Restoration Project), based on a funding application by ORC – which is now one of the project partners.

A number of other environmental groups are active in this FMU including the Yellow Eyed Penguin Trust, Forest and Bird – Waitaki Branch, Hawksbury Lagoon Inc and River-Estuary Care: Waikouaiti-Karitane, Landscape Connections Trust Halo Project, and Predator Free Dunedin. The Waitaki Branch of Forest and Bird have a community nursery and carry out restoration planting. They are also involved in predator control work.

5.3. Interviews with Catchment Groups

5.3.1. Overview

Landcare Trust and Beef and Lamb NZ define catchment groups as "a group of people, who identify with a geographical area, usually based on a river or lake catchment, working together to take actions

towards a common vision."[9] This definition applies to most of the catchment groups contacted as part of this project, although it is important to note that not all groups have necessarily taken actions yet or have developed a common vision.

Representatives from 8 catchment groups were interviewed covering North Otago, Catlins, Taieri and the Clutha/Mata-au FMUs. Except for a catchment group with an urban focus, and a project manager employed by a catchment group, all other representatives interviewed were farmers. This has influenced the nature of the responses below, which have a strong rural and farming focus. While a number of catchment groups include membership from other organisations such as DOC and Fish and Game, their views are captured separately in Section 4 below.

Catchment groups in Otago vary widely, with some being very well-established legal entities. Being a legal entity allows for external funding which in turn may lead to having paid employees. Some have a clear membership structure, whilst others operate more on a mailing list system, with 'members' engaging periodically in activities of interest. One of the key defining features of those that are well-established appears to be strong internal leadership. External funding and/or support is also a common theme with well-established groups.

Others have run for over a decade but are relatively inactive and act as loose collectives, while others are just becoming formed and are in the early stages of getting underway. A few groups were originally established over 20 years ago, and their level of activity and focus has changed over time in response to different issues – examples of this include Upper Taieri Wai (which has evolved out of the Taieri Trust) and NOSLaM – this group was first established in 1994 to address matters such as soil erosion and the drought facing farmers at that time.

A number of groups act as umbrella groups for other sub-catchment groups. These groups can facilitate and support the establishment of the more focused sub-catchment groups. Examples of these umbrella groups include WAI Wanaka, Otago South River Care, Upper Taieri Wai and NOSLaM.

Membership of catchment groups can also vary widely, while others only consist of farmers within the catchment. Stakeholder involvement is described in further detail below.

[9] https://www.landcare.org.nz/file/how-to-start-a-catchment-group/open

Many groups are focused on supporting actions on farm or on the ground within the catchment including good management practices on farm, wetland creation and riparian enhancement. Some have explicitly made a decision not to engage in any lobbying.

A number of groups noted that it can be difficult to get buy-in to the group and its projects initially, and that time is needed for this. Some of the more established groups have found success in working with small numbers of interested farmers and working up from there - with additional farmers becoming involved over time.

In some cases, interest and engagement by landowners with the catchment group depends on the issue being addressed, and how relevant it felt to people at the time, depending on what challenges they were facing on their own property or in their farming business. The sheer number of pressures/challenges coming at farmers can also act to put people off as they can feel overwhelmed.

One interviewee from the stakeholders included in Section 5.4 below (i.e. not a member of a catchment group), but who has worked alongside catchment groups for a number of years made the following observations:

- There has been a huge increase in catchment groups and their capacity in the last few years. In the early days discussions started with education about what a catchment is.
- There are so many requirements for catchment groups to address that it diverts their energy from getting on with key actions.
- Many groups really want to be given guidance on the best actions to get on with, and to know that these will lead to improvements.

5.3.2. Focus and drivers

Comments were made that that the ORC needed to understand farmers' 'drivers' better – what is driving their business and decision making.

A number of the more established catchment groups may have formed in relation to a particular issue but have changed their focus over time in response to changing priorities and challenges.

A common issue which has provided a catalyst includes concerns around water quality, including the need to understand and respond to anticipated contaminant limits for water quality rules particularly in catchments where there were concerns about water quality. Another catalyst for group formation has been the replacement of permits to abstract water in highly allocated catchments.

Almost all groups rely heavily on voluntary time and energy, and leadership from within the community. Funding can play a significant role in the level of activity a group can sustain, and the focus of the group, but seeking further funding can also take up considerable time and energy. Even a small amount of funding for administrative support can make a significant difference.

Some groups have chosen not to undertake any lobbying, and to focus on providing practical advice to members in response to technical information and policy changes. Others have been actively involved in lobbying.

A number of representatives noted that farmers in their area feel overwhelmed at the sheer amount of change, challenges and regulatory requirements coming their way. These representatives were keen to have pragmatic, clear advice on key actions that could be undertaken to achieve clear environmental benefits, rather than having to unpick or apply complex scientific advice or regulations.

5.3.3. Relationship with ORC

There were mixed responses about relationships with the ORC – some described the relationship as 'good' particularly with individual staff members, however there was a strong feedback that this was undermined by a lack of delivery e.g. gravel removal, willow control or support, such as the provision of clear summaries of water quality data or science information. In other cases, the relationship was classed as 'unhealthy', with a need (and desire) for it to improve.

Previous engagement with the ORC was primarily through one way consultation processes for plan changes as well as interactions centred around compliance or consenting.

A number of representatives noted the absence of ORC staff, with many requesting that they simply be brave, show up, and spend time developing relationships and understanding the challenges facing farmers, and to also have the difficult conversations with farmers who needed to improve their practices.

Staff were thought to place too much importance on having 'perfect' information or science, rather than focusing on pragmatic responses that helped support actions on the ground. This need for perfection was seen as preventing positive gains from being made.

Contrasts were made with the approach of Environment Southland, as all farmers in Southland were thought to have been visited by Environment Southland staff. Comments were made that ORC staff also need to be connecting with farmer leaders to find out what is needed.

Positive comments about the relationship with the ORC were linked to good relationships with individual Councillors or staff members, or due to funding support that ORC had provided to groups.

Overall, the representatives spoken to indicated that the ORC has lost a significant amount of trust with the community – trust to work effectively, to produce results and to maintain relationships.

5.3.4. Connections to mana whenua

All catchment group representatives expressed a desire for meaningful engagement with mana whenua, but many had struggled to do so, and were very aware that resourcing was a significant issue for mana whenua involvement. The CAP process was seen as positive in potentially supporting and enabling closer links to mana whenua.

5.3.5. Relationships with other stakeholders

A number of catchment groups include representatives from other agencies or organisations as members of their own group including:

- Fish and Game Otago
- Walking Access Commission
- Department of Conservation
- Forestry companies

Other groups or agencies that worked with or support catchment groups

- Otago Catchment Community Inc
- Landcare Trust
- Land Information New Zealand
- Contact Energy
- District Council representatives
- Residents Associations
- Local Rūnaka or Kāi Tahu representatives
- ORC staff representatives
- Local community or Rūnaka plant nurseries.

In contrast, some catchment groups only consist of farmers within the catchment. In some instances, this was because the catchment group wasn't particularly active, while in other situations it may be because the group had formed in response to a confined issue.

A lack of trust or relationship characterised by conflict was identified in relation to specific environmental groups. In one case a facilitated meeting process had assisted in reducing some of this conflict as a shared understanding was developed. In another case it was thought that some of this conflict or mistrust may be reduced if there was an opportunity for a shared understanding of the context around issues such as water quality results e.g. natural inputs rather than farm inputs.

5.3.6. Spatial scale of CAPs

All catchment group representatives expressed concern about developing CAPs at the FMU scale.[10] There was concern that this scale had the potential for the process to lack direct relevance to groups and landowners. Representatives noted the variety of environments, communities, and issues within FMUs. CAPs at the FMU scale may make it difficult to obtain buy-in as targets and actions would be too big and broad brush. A strong sense of ownership was viewed as necessary for success with any CAP process, and this could be undermined if the scale was too large.

A number of representatives noted that they had found it better to work with groups of interested landowners, and to build up from there, rather than taking a top-down approach. It was also considered important to try and link effectively to farm plans – including linkages with the regulatory requirements of freshwater farm plans.

Others questioned how a CAP committee or forum could drive actions at the farm scale – and that this was what would ultimately be necessary for success.

5.3.7. Limitations/constraints to being involved

Time was identified as a key barrier or constraint for being involved in a CAP process. Farming leaders were involved in so many more groups and activities than just a catchment group – including involvement with sector groups (such as Beef and Lamb New Zealand, Federated Farmers) and/or working groups for policy development. In addition, many also have community commitments such as coaching sports teams or involvement with the local school as well as trying to run a farm and a business.

[10] Note that at the time of interviewing, questions were predicated on the basis that the CAPs were proposed to be developed at the FMU scale only, rather than at the Rohe scale where there is a Rohe. This is anticipated to address some of the concern expressed in relation to scale in the Clutha/Mata-Au FMU, however concern about scale was also raised in relation to all other FMUs.

Capacity can also be an issue, including in relation to how many people have the skills and leadership to act as an appropriate representative – again this places more pressure on a few leaders.

A number of representatives noted that there was a limit to what catchment groups could be expected to do - including having to sell high level plans to farmers on the ground, and that 'it would look a bit rich' to put more responsibility on catchment groups.

Existing funding for projects could also create a barrier, as groups may need to keep their activities consistent with the objectives and purpose of their funding.

There were mixed responses to the concept of a meeting attendance fee – some thought this might be helpful, another commented that in their experience this just created a hassle from a tax perspective. Another thought that while it could assist, they also didn't want to be part of 'promoting a plan to sell to farmers – won't get buy-in'.

5.3.8. Perceived value of Catchment Action Plans

There were mixed views about the value of catchment action plans. Some groups were already actively working towards a catchment plan while others were keen to develop one, and there was concern about duplication or inconsistencies with a CAP developed as part of the ICM programme.

In contrast a representative of another group saw a CAP as a waste of time – that it would be just another document gathering dust on the shelf, and that CAPs would just be an outcome to support a report to council rather than real improvements on the ground. Actions on the ground such as getting plants in the ground were seen as a better way to spend money.

One groups perspective was that the CAP process might be valuable if it provided access to tools which assisted catchment groups and supported buy-in to catchment groups – examples of valuable tools included GIS mapping and provision of monitoring (and access to monitoring information) which supported farm planning processes.

Another representative was concerned with the potential for duplication of efforts – between their catchment planning work and the CAP, as well as the potential for the CAP process to undermine their work.

5.3.9. What is required to support success

The ICM programme was viewed as a long-term piece of work that needed significant commitment from the ORC to be successful.

There was strong messaging from representatives that the process needs to support the development of trust between groups and sectors, rather than being confrontational. The process would need the right people from the right groups, with a clear willingness to work together rather than taking to their corners.

There was also clear feedback that the ORC needs to be very clear about the purpose and focus of the CAP process, and that there is currently a lack of clarity on every issue. Respondents also thought that a CAP process should not result in just another layer of planning or just another organisation.

A number of representatives expressed the need for the ORC to commit staff at a high enough level so that they can ensure delivery and commitment. This was seen as necessary for them to commit their time and energy.

Several groups indicated that timing is especially important – that the process would need to acknowledge the seasonality of farming as it can be particularly challenging to be involved at certain times of the year, but also that decisions might need to be made in a timely fashion so that actions can occur in accordance with the timing of work on farms. The key season to avoid was spring, particularly pre-Christmas.

Several representatives noted the need to streamline catchment action planning with the LWRP review or to stagger the processes. One response was that it could be hugely demanding if a CAP process ran in tandem with or soon after the LWRP process – as the same people would be involved in both. One approach suggested was to create a multi-stakeholder steering group for the LWRP in each FMU that would then become the steering group for a CAP process.

5.3.10. Format of process

Representatives were asked about preferences or thoughts on the format of the process, with thoughts on the formation of catchment committees with key stakeholders, and the option of occasional open workshops for wider input.

Most representatives did not have strong views on the type of format and thought that catchment committees could work. Concern was expressed by one representative about the use of open workshops as those attending wouldn't have the benefit of the process used with a more focused group, and specific interest groups had the potential to take over the process. Another response was that people 'are a bit fatigued by workshops', so any workshops would need to have a very clear purpose/focus and would need to result in feedback about outcomes from the workshop.

Several responses favoured the use of on-line meetings for a CAP process, however there was also agreement that kanohi ki te kanohi (face to face) sessions were necessary to enable relationships and trust to build more effectively.

The format should be streamlined as much as possible to reduce demands on time and resources.

Another view was that there could be an annual forum which could be open to registration by anyone, with break out groups focused on people's interests and passion e.g., heritage, access, biodiversity, or water quality, to get people engaged and buying-in to the process.

A representative of a small group thought there could be different tiers of stakeholders with smaller catchment groups in the 'keep informed' category, with periodic opportunities to provide input/feedback.

5.3.11. Who needs to be involved?

Representatives thought that the group or committee would need to have cross sector group representation with the 'right' people at the table. One representative noted that the balance of representation would be important – that it wouldn't work if farmers and landowners have just one representative at the table out of a group of fifteen, as in many cases farmers are going to be the ones having to do the work on the ground, and it will impact them directly (and require their buy-in).

A representative from a group focusing on an urban catchment expressed the need for good diversity – this includes a rural and urban balance, as well as diverse ages including both retired and established younger people.

5.4. Interviews with Other Stakeholders

5.4.1. Introduction

Several other potential stakeholder groups were approached for interviews. These groups included environmental or interest groups, statutory bodies, and government departments, with a particular focus on government department with land management responsibilities or close links to other stakeholder groups. Forestry company representatives are included in this section, although as primary industry landowners/managers they also share similarities with farming members of catchment groups.

An introduction to each participant is provided below, with further responses grouped together by topic to enable key themes in responses to be identified and to provide a level of anonymity for respondents.

Note that two district councils were approached for interviews as part of this project, but neither were able to participate, possibly due to capacity issues of staff, illness, and timeframes.

5.4.2. Enviroschools

Enviroschools work with schools throughout Otago, as outlined in Section 3.1.

The focus of their work varies according to the school – climate change and waste are key focus areas, and many are interested in water. A number of schools are involved in community planting and projects run by catchment groups. Increasingly there is a stronger local focus, given changes to the curriculum. Enviroschools also supports schools in lobbying or participating in local government processes.

Enviroschools would like to see increased input from schools into programmes such as the ICM work – one example where this has worked very well is with Queenstown Lakes District Council, which sought input from schools into its climate action policy. Importantly, QLDC allowed sufficient time for this, which allowed resources to be developed as well as time for teachers to run this with the students. This enabled students to provide informed, considered input. This was carried out over 6 months, and this timeframe allowed it to be very successful.

This approach would work well to enable schools to provide input into the development of a CAP, and could involve presentations, videos, artwork or writing. However, to be successful there would need to be

- clarity from the ORC about they want from young people without being prescriptive
- clarity on the purpose
- meaningful engagement, rather than just ticking the box

Other options suggested for youth representation in the ICM programme included:

- Territorial authority youth councils – DCC and Waitaki
- A local rangatahi group – Te Pae Māhuri

5.4.3. Generation Zero

Generation Zero is a youth led climate action organisation. It is nationwide, with 7 team members currently in Dunedin.

In Dunedin the groups focus has included Healthy Homes, submissions on bus fares, and local election campaigns. The representative spoken to expressed an interest in being involved in the ICM programme.

Generation Zero are student based so a change in team members can occur if projects are multi-year projects. However, they do hand over projects and do have overlapping students and fresh volunteers each year. They also have time constraints based on the university calendar – the summer and exam periods are particularly challenging periods for them to be involved.

5.4.4. Fish and Game Otago

Fish and Game New Zealand (FGNZ) is a statutory agency formed under the Conservation Act 1987 and is responsible for managing most of New Zealand's game bird hunting and freshwater fishing for species such as trout and salmon. FGNZ describes itself as "a 'user pays, user says' non-profit organisation that receives no government or taxpayer money. An important difference between Fish & Game New Zealand and other public organisations is that it is run by councils elected by the people who buy licences."[11]

FGNZ comprises a national council and 12 regional councils which are public entities. Fish and Game Otago is the regional branch and employs staff who report to the Otago council of FGNZ. Staff include Fish and Game Officers whose role can include duties associated with the management of sports fish and gamebirds and their habitat including monitoring, regulation compliance, responding to licence holder needs. The Otago region also has one environmental officer whose work includes a focus on resource management policy and consent work associated with freshwater and habitat management.

Fish and Game are actively involved in a small number of catchment groups including with WAI Wānaka the Thomsons Creek Catchment Group (in the Manuherikia catchment) and Upper Taieri Wai, either through an interested councillor or a Fish and Game Officer.

5.4.5. Predator Free Dunedin

Predator Free Dunedin (PFD) is a conservation collective working collaboratively to protect native biodiversity and strengthen communities. The work it undertakes needs to be large scale for goals to be achieved effectively. PFD works with local Rūnaka, with one representative for both Te Rūnanga o Ōtākou and Kāti Huirapa Rūnaka Ki Puketeraki on its board.

While PFD's key focus is on predator control work, they approach issues in an integrated manner. The ICM process could act as a useful vehicle for conversations around some of the challenges PFD face.

[11] https://fishandgame.org.nz/about/

However, while PFD might be involved in a CAP process, many of its member groups also have broader interests than predator control work – for example, the Yellow Eyed Penguin Trust is also focused on species protection, habitat restoration and the management of coastal margins and estuaries for yellow eyed penguins. PFD's delivery partners also have their own relationships with other groups – for example City Sanctuary works with Birds New Zealand / Te Kāhui Mātai Manu o Aotearoa. Prior to any involvement in a CAP process, PFD would discuss its role and representation with member groups and partners to understand how various groups might be involved in relation to different focus areas.

5.4.6. Forest and Bird – Waitaki and South Otago Branches

Representatives from both the South Otago Branch and Waitaki branches of Forest and Bird were interviewed. Representatives expressed an interest in working with catchment groups more and noted that there could be a quite a divide between environmental groups and farmers.

However, they noted they are all volunteers and would have limited capacity to be involved. Both groups thought that the Regional Conservation Manager for Otago (who is employed by the national office of Forest and Bird) might be the most appropriate person to take part in a CAP process. This role is currently vacant in Otago but is anticipated to be filled soon.

The South Otago branch work actively with DOC and local Rūnaka and consider that a multi-stakeholder process would be useful for achieving progress on a range of issues. They carry out some activities with NOSLaM.

5.4.7. Wise Response

Wise Response is a broad coalition of academics, engineers, lawyers, artists, sportspeople and others who are calling on New Zealand's Parliament to comprehensively assess imminent risks to New Zealand and to acknowledge and act within resource limits. While the group has a national membership base, its committee is Dunedin based. Wise Response actively lobbies and submits on central government policy, but also submits on local government policy and approaches in Otago.

Representatives of Wise Response were interviewed, and expressed support and interest in the ICM process, as ICM is something they have actively sought from the ORC previously. However, from their perspective it is critical that any ICM process is set up to enable transformational change – this means asking the right questions at the start, and testing values and assumptions, as there is potential for the process to simply perpetuate existing assumptions around the need for continued growth and unlimited resources.

Representatives suggested the process could start by focusing on the big issues that are common to everyone involved and could start by looking at deeply held values to find common ground, as well as identifying underlying assumptions.

CAPs would need to be simple and focused, so that implementation is more likely – this means that actions should not be caught up in bureaucratic processes such as consenting requirements.

5.4.8. Forestry Companies

Representatives of Rayonier Matariki Forests (Rayonier) and Ernslaw One were interviewed, along with a brief conversation with a representative of the Southern Wood Council.

The Southern Wood Council is an independent group made up of representatives from all the major forest owners within the region, forest managers, larger wood processing and manufacturing companies, port authorities and representatives from local councils, industry training and Government organisations.

One option for involvement in the CAP process is for the Southern Wood Council to appoint a representative. This representative would then report back to the Southern Wood Council for input and decisions. This approach has been used effectively in the past.

However, it was noted that this doesn't bring in farm forestry/small scale forestry owners – there are lots of smaller forestry blocks that fall under the radar. We note that this issue could be addressed by involving representatives from the New Zealand Farm Forestry Association (NZFFA - https://www.nzffa.org.nz/). NZFFA is a group focused on the sustainable management of small forestry blocks, and has active branches throughout the country, including North Otago, Mid Otago, and South Otago branches.

Forestry companies are seeking to be proactive with environmental mitigation and management, and work has included fish monitoring, invertebrate monitoring, sediment mitigation, and carrying out water quality monitoring. Significant changes have also been made in forest management over the last 10 years, however many people aren't aware of this, partly due to the length of harvest cycles and lack of visibility.

Ernslaw One have a koura project (utilising fire ponds in forestry blocks as koura habitat) which has resulted in open water wetlands, with weed management allowing native vegetation to re-establish. This project has supported connections with local Rūnaka, with joint projects being undertaken with the Hokonui Rūnaka. They are also actively involved in several community projects including supporting

mountain biking and community facilities. Ernslaw One are a paying member of the Pomahaka Catchment Group and have found this involvement to be beneficial as it has allowed better understanding of the work that this company is doing environmentally.

Rayonier had organised staff from Te Ao Mārama Inc to run a workshop with staff and contractors on mahinga kai, and this was seen as very valuable by staff. They have also organised workshops for staff and contractors on native fish species and ecology.

5.4.9. WAI Wānaka

As noted in Section 2, WAI Wānaka can be seen as an umbrella, connector or facilitating environmental and community organisation. It is a highly active and established group with links to a large number of other groups operating in the Upper Clutha area.

WAI Wānaka has developed a comprehensive Community Catchment Plan, which acts as WAI Wānaka's blueprint for action, and ensures the group is acting in accordance with the community's goals and aspirations. One of the key lessons from the development of this plan is the critical importance of being able to follow through with implementation, review, monitoring, and evaluation. It takes significant resources to implement, monitor and evaluate the plan, and to keep the plan updated – including checking to see whether objectives and actions are still relevant and determining whether actions are complete/objectives are met. These lessons apply equally to a CAP process run by the ORC – the resource commitment needs to extend well beyond the development of a CAP but must extend to 'managing' the plan also, including connecting up various agencies or groups to support them in undertaking actions, feeding in new research or science, or identifying whether further science might be needed, as well as supporting or undertaking monitoring, evaluation and reviews of the plan.

It was thought that the approach and model used by WAI Wānaka in developing its plan should inform the ORC's approach to CAPs in the Upper Clutha area, with a clear need for the ORC to work with WAI Wānaka rather than to try and come in over the top of its plan or the work that it is doing. WAI Wānaka might be involved in any CAP process on behalf of other groups in the area but would need resourcing support for this.

The WAI Wānaka representative also noted the importance of valuing and funding connections and support for other groups – this was a large part of WAI Wānaka's work but is often not valued as it is somewhat invisible or intangible. In practical terms this can involve linking a catchment group up with a community plant nursery, providing guidance on documentation such as terms of reference, health

and safety guidance and a range of other guidance to new or establishing groups. Education and outreach were also seen to be of importance, and this also needs adequate resourcing.

5.4.10. Department of Conservation (DOC)

When queried about involvement in the CAP process and the potential for implementation of actions that might result from the CAP process, the DOC representative noted that DOC has to carry out work in line with priorities set in their work program. This may mean that the department supports others to do work on conservation land, rather than undertaking work themselves in response to CAPs.

It can take time to set up governance structures for projects such as the Thomsons Creek project in the Manuherikia – it took six months to set up the governance structure and terms of reference, including appointing a DOC representative. While this took some time to set up it does mean that this representative has a reasonable level of autonomy in that process. However, DOC may have difficulty resourcing staff involvement in a CAP process, particularly across all 5 FMUs.

The CAP process could assist with furthering the work of the DOC, given the resourcing limits it faces. The CAP process could look at DOC's management prescriptions (which sets out the work that might be required to protect threatened species or eco-systems) and identify what work DOC is doing, or is able to do, and what could be undertaken by others.

There are likely to be several opportunities for integration between the ICM programme and DOC projects, or DOC funded projects. This includes the Te Mana o Taiari Ngā Awa partnership, the Southern Lakes Sanctuary Project (a Jobs for Nature funded project) and DOC's Tiakina Ngā Manu programme.

Given the resource constraints faced by DOC, it would be useful to consider whether stakeholders such as DOC are needed in every process if issues and conversations are repeated across each the development of each CAP.

5.4.11. Toitu Te Whenua/Land Information New Zealand (LINZ)

LINZ's role and responsibilities in environmental management revolves around land that they manage, and they actively seek to understand and respond to regional priorities in doing so. LINZ representatives noted that they work closely with ORC on biosecurity and biodiversity matters, including monthly catch ups and involvement in forums focused on these issues.

LINZ have limited resourcing to be involved in multi-stakeholder or community processes, with only one dedicated staff member who covers this work nationally. Rapidly shifting priorities at a regional or local level can also raise challenges for LINZ, as they need to have time to shift their focus also. There may

be positive opportunities for an ICM programme to streamline their involvement in Otago. Given its resource constraints, LINZ may be involved on an information sharing basis initially – with information provided to LINZ about the CAP process and its progress.

As well as the ORC, LINZ work alongside DOC, Contact Energy and also support community and mana whenua via Jobs For Nature funding. LINZ funded projects in Otago include the Lake Dunstan Charitable Trust and the Guardians of Lake Hāwea. They have also interacted with WAI Wānaka.

LINZ representatives indicated that they would want to be involved in the CAP process but that they haven't got the resources to be involved across several different forums. However, there could be real benefits if the ICM programme resulted in streamlining interactions with stakeholders across issues. To enable potential for streamlining, it would be useful to have a regional overview of all groups who are active and might be involved in the ICM process, including the forums attended by these groups and partnerships and relationships between groups.

5.4.12. Industry groups or companies

A number of industry groups and companies are active in the Otago region, including both national groups and regional groups. Some groups are primarily advocacy groups, others are processor companies/cooperatives – many provide guidance on environmental management or have requirements (via supply agreements) around environmental management. Many of the national groups or companies have extensive membership and communicate to this membership through a variety of channels including workshops, newsletters or via publications. These factors make these groups important for consideration as stakeholders in the ICM programme - either because they may be asked to represent or influence their members/shareholders potentially affected by the ICM programme or assist with communication. Examples of these groups or companies are provided below.

Federated Farmers is an independent rural advocacy organisation covering all arable farming including fruit and vegetables, dairy, and meat, and is based on a membership model. Members' views are canvassed by staff and elected representatives who formulate submissions that help local and central government decision making.

Beef and Lamb New Zealand is a farmer-owned, industry organisation representing New Zealand's sheep and beef farmers. Amongst other activities Beef and Lamb New Zealand have developed farm environmental planning templates and run workshops with farmers on farm environmental planning and provide guidance to farmers.

DairyNZ is levy based organisation representing all dairy farmers, sharemilkers, and dairy farm leaseholders. Dairy NZ's work includes work includes research and development to create practical on-farm tools, supporting on-farm adoption of good practice farming.

Horticulture New Zealand is also a levy-based organisation representing commercial fruit and vegetable growers. Horticulture New Zealand undertakes advocacy work and provides guidance to members about a range of environmental aspects including farm planning and nutrient management, erosion, and sediment control.

Two of New Zealand's largest industry companies include Fonterra and Silver Fern Farms. Fonterra is a co-operative business owned by about 10,500 farmers, while Silver Fern Farms is a multi-national meat company, owned equally by Silver Fern Farms Co-op Ltd (a cooperative of 16,000 New Zealand sheep, cattle, and deer farmers) and Shanghai Maling Aquarius Ltd. The company is New Zealand's largest livestock processing and marketing company. There are several other processing companies servicing producers in Otago including Alliance Group and ANZCO.

In contrast, Central Otago Winegrowers is a district-specific industry group based on a collaborative association of grape growers and winemakers from the Central Otago and Upper Lakes area. The Southern Wood Council (refer Section 5.4.8) is an example of a regionally focused collective of companies and agencies.

Representatives of Federated Farmers and Beef and Lamb New Zealand were spoken to as part of this project. These representatives noted that their involvement in the ICM programme would be influenced by the preferences of their membership, and that leaders from within their local membership (such as council members from Beef and Lamb NZ, or members of the executive team from Federated Farmers) may wish to be part of any collaborative process. In some catchments or FMUs catchment group leaders and industry group farmer leaders are the same people. Alternatively, (and potentially less likely) if members wanted a paid staff member from the industry group to be involved, then that could also be supported.

5.4.13. University of Otago – Catchments Otago

Catchments Otago (CO) is a collective of Otago University researchers with the following focus:

"To facilitate information sharing and direct collaboration between Governmental Authorities, freshwater catchment communities and Otago University researchers to help guide regional and local land and water management strategies in Otago and Southland. We aim to understand community

needs, inventory key resources, undertake projects to ensure efficient, equitable and sustainable resource use, and deliver tools for improved freshwater management in Otago and Southland."[12]

CO provides oversight and coordination of research relating to freshwater management. Currently there is no certainty that university funding for CO will be extended beyond March 2023. This would mean that while researchers would continue working, there would be no oversight over focus areas and coordination would fall on individual researchers and catchment groups. Recent consultation with catchment groups (by Landcare Trust and OCC) has been undertaken to understand where there are gaps in knowledge and to direct research focus. A key theme that emerged from this is that there is a lack of baseline information on water quality, biodiversity, the impact of pest species on indigenous species, and the impact of contaminants on land and water. It is not clear to us whether this is a perceived or real lack of baseline data, or whether other factors are also at play, such as a lack of clear interpretation and communication (including implications) of monitoring data. This may also be heightened by the high degree of change to policies affecting the rural sector over recent years (including increased regulatory requirements), as this may change the focus of monitoring or the need/desire for more data.

This lack of baseline data (or lack of clear communication of data) makes it difficult for landowners/catchment groups to know what to focus their energy on and means they don't know what impact their actions are achieving. There is a lack of clarity about what actions to take, and which on the ground actions to prioritise.

There is a need for community education around how an environment might respond to actions, otherwise people may think there is no progress being made, when the environment may need time to reset. For example, nitrates in groundwater from historic or current land uses will be present for many years, and this should be acknowledged with water quality reporting.

Accurate and clear scientific information can support trust and buy-in by catchment groups and can assist with community understanding.

Based on factors such as these, expert scientific input into the ICM process was seen as critical.

[12] http://www.catchmentsotago.org/

5.5. Key topics from agency/interest group Interviews

Individual responses from interviewees across a number of topics have been combined below, to provide a level of anonymity to those that took part, and to enable key themes in responses to be identified. This approach allowed for a freer, franker discussion with participants.

5.5.1. Relationship with ORC

Participants described variable relationships with the ORC – with the relationship being described as 'rudimentary', 'pretty good', 'could always be better', and 'not good'. One participant said it felt like they were currently being 'ghosted' by the ORC, as they were being excluded from policy development. Overall, the ORC was seen as having a lot of work to do develop a 'trusted relationship' with community and stakeholders.

One respondent noted that the relationship with ORC was not good, even though there is a MOU in place. Communication was poor and they often found out about projects relevant to their work in the media. This contrasted significantly with their relationship with Environment Southland, who proactively sought to involve them. The ORC was described as very ad hoc in its work and its relationship with them. This was similar to the perspective of another participant who noted the extremely short timeframes provided by the ORC for a response, and that engagement with their group seemed like a tick box exercise or an afterthought.

Several respondents indicated that had positive experiences working at an operational level with ORC staff, although a number of organisational representatives thought there were significant opportunities to streamline their engagement with the ORC. This might involve sitting down together to see where there are gaps or opportunities for alignment with their respective work programs each year. The ICM program might act as vehicle for this.

A number of interest groups had no engagement with the ORC generally, with interactions primarily relating to compliance or consent-based issues. Another noted that the ORC is very hard to work with as it is so mired in policy processes such as the review of the LWRP that it is unable to provide science support for community actions. ORC had appeared to devolve its support of catchment groups to OCC (which it provides funding to), which was seen as a mistake, as OCC still only had very limited resources. The employment of catchment advisors was a positive step, but the advisors needed far more support from across council.

One perspective was that the ORC could play a greater role in engaging with landowners and would ideally be having difficult conversations with challenging landowners. This echoed the perspective of

catchment groups, who felt like they weren't being backed up by the ORC when education and behaviour change was necessary.

Both high staff turnover and internal silos within the ORC were noted as having a negative impact on relationships with external stakeholders and work.

5.5.2. Connections to mana whenua

Some agencies or interest groups felt they had a reasonable connection with local Rūnaka or Kāi Tahu, with some having direct involvement from Rūnaka or Kāi Tahu representatives in their projects. There was a strong desire to foster and honour these relationships and ensure the perspective of Kāi Tahu was acknowledged in their work.

Participants expressed an awareness of the stress placed on the resources of mana whenua to be involved in environmental issues, and the limitations of these resources, and that these limitations meant it could make it more difficult to develop a relationship with mana whenua.

5.5.3. Spatial Scale of CAPs

Almost all participants were concerned about the scale of the CAP process, with FMUs considered to be too big, as the focus needs to be relevant to people. Several participants thought CAPs should be focused on the sub-catchment level, while others thought they should at least be aligned with Rohe.[13] Another suggestion was to work with existing catchment groups, as they are focusing on issues that are relevant to them. Outcomes set at a smaller scale could then be combined to build up to overall outcomes for the FMU.

In particular, the Clutha/Mata-au FMU was seen as too large a scale to develop a CAP. One participant questioned how it would be possible to get people to focus on issues that aren't relevant to them, and also noted that there would be too many people in the room.

Participants also noted that even in the smaller FMUs there are likely to be very different issues – for example, in the Dunedin Coast FMU there were very different issues affecting urban streams compared to those affecting the Tokomairiro catchment.

[13] Note that at the time of interviewing, questions were predicated on the basis that the CAPs were proposed to be developed at the FMU scale only, rather than at the Rohe scale where there is a Rohe. This is anticipated to address some of the concern expressed in relation to scale in the Clutha/Mata-Au FMU, however concern about scale was also raised in relation to all other FMUs.

A less commonly held alternative perspective was that working at the FMU scale could be fine if issues and goals are clearly stated and can be addressed at the catchment scale, as this allows the whole system to be understood, and appropriate prioritisation of issues and actions. This approach could be effective if the process started by focusing on a key issue (such as sedimentation, if this was a critical issue in a catchment), with other issues being addressed later. It might also be possible to work at different scales and retain flexibility by keeping people involved and informed in different ways.

5.5.4. Limitations/constraints to being involved

As with catchment groups, time and capacity to be involved were seen as key constraints. Organisations with paid staff still had significant capacity constraints, with these staff often spread very thin and some having very limited budgets available to undertake work. Organisations reliant on volunteers also expressed concern about the level of time that might be required to be involved.

The need for sufficient time to respond to the process was also commonly expressed, whether it be to reset priorities, develop resources, or build actions into work programs.

5.5.5. What is required to support success

One group saw the ICM programme as a massive undertaking if it was going to be done properly, with many respondents noting that it needed significant commitment and resources. Many made comments that there was a clear need for the process to have multi-stakeholder buy-in, with one person noting that the process would benefit from respected community leaders involved to increase buy-in by local communities.

As with catchment group representatives, there was a strong emphasis on the need for clarity with the process including:

- why the process is being run
- what will be accomplished
- why should groups participate – how it will help them achieve their goals
- simple, clear and obvious milestones
- setting timeframes to achieve change/goals, otherwise it had the potential to become 'too woolly'

To support success, it might be necessary to stagger the rollout of the process FMU by FMU, with rolling reviews of CAPs, including evaluation to see whether targets and actions had been integrated at the farm planning level. This approach would allow for improvements in the ICM process along the way.

There was general agreement that a shared learning model would be necessary to support success, and that there should be effective use of science (including citizen science) and the establishment of monitoring to see whether actions have been effective. The process should provide clear direction on what actions will support improvements, and monitoring will be a critical component of this – this kind of monitoring information is currently lacking.

One approach suggested for the shared learning model was to work through the following steps as a group:

1. Identifying values, including common values
2. Agree on science together – potentially by building a model together
3. Then look at how to address issues together.

Two tools or approaches suggested to assist with the process was a Transition approach (see for example Transition Engineering[14]) and Holistic Management.[15] Training in these approaches could be provided as part of involvement in a CAP committee or group and might even be an entry requirement for involvement. The WAI Wānaka Community Catchment Plan utilised a multi-criteria analysis to support decision making and this was considered a valuable tool including for acknowledging different values and weighing up priorities.

One participant noted that the CAP process has the potential to be useful, however it needs to result in action, otherwise it has the potential to be just another process –the Southeast Marine Forum was provided as an example of this, as the extensive collaborative process used for this had not resulted in any change in management of the marine environment.

Another participant thought the process would need to include recognition by participants that it will impact some sectors/groups more than others in terms of where the cost associated with actions might fall.

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[14] See for example https://www.transitionengineering.org/about_us which states that the mission of Transition Engineers is to 'create innovations that disrupt the business as usual course, effectively manage the risks of un-sustainable resource use and destructive environmental impacts by carrying out shift projects for existing engineered systems and existing businesses and organizations.'

[15] See https://savory.global/what-is-holistic-management/ - a decision-making process to help ensure that the actions taken to restore land and livelihoods are ecologically, socially and economically sound based on the broader ecological context

5.5.6. Format of process

When asked about the kind of format that might support an effective process there were mixed perspectives. Some interest groups who relied on volunteers thought it would be good to have drop-in sessions or open forums for groups that are interested and want to be informed but haven't got the capacity to be involved.

A number of participants thought that on-line sessions would be good, but that in-person sessions were still essential for building relationships. Mini-field days were also suggested as playing a valuable role in a shared learning journey and building of trust.

Others were clear that there was a need for

- effective communications
- independent facilitator/s
- technical experts coming in when required to provide support
- scheduling that took account of seasons and work on farm

Other suggestions included the joint development of a catchment model to support a shared learning journey and common understanding of science.

A tiered approach to the process was also suggested as one way to provide oversight and direction for the process. This could include an Otago wide ICM committee which managed the overarching approach and focus of the work, with a committee for each FMU sitting at the next tier down.

Another version of a tiered approach suggested was to bring together leaders from key stakeholder groups across Otago to provide oversight over the ICM programme. Leads for each FMU could also come together once or twice a year to provide 'whole of catchment' or regional oversight, with groups involved at a Rohe level coming together more frequently to develop objectives, targets and actions at the Rohe scale.

5.5.7. Who needs to be involved?

There was general agreement that the process needed to be multi-stakeholder process. One participant noted it would be good to allow for all interested and affected stakeholders to be involved in the process, rather than just those with vested interests. Interested stakeholders could include those from outside the region who have a strong interest or connection with a waterway or place, including kayakers or campers.

In contrast, others were concerned that if the process was too open there would be a real risk of failure as non-invested stakeholders could drive targets/actions, but then wouldn't have to fund these changes, undertake actions or be directly impacted by the consequences of change.

Another view was that there was potential for vested interests to take over the process, as those with vested interests potentially held the most power.

It was also thought to be important to have people who are on the ground and in the community involved so that people in the community feel more connected to the process and any resulting targets and actions. Additionally, it was seen as important by a couple of participants to have people with mana in the community to be involved in the process – as this would be more likely to result in buy-in by the wider community.

5.5.8. Key themes from community and stakeholder interviews

A number of key themes and conclusions can be identified from the interviews with catchment groups, forestry companies, environmental or interest groups, educators, statutory bodies and government department.

Overall, the discussions with catchment groups, forestry companies, environmental or interest groups, educators, statutory bodies, and government department have highlighted the complexity of the stakeholder landscape. These groups are dynamic in terms of their level of activity, their focus, membership and engagement or relationships with others. Some catchment groups are barely active while others are very well established with strong networks and buy-in. The majority of catchment groups in Otago have a strong rural farming focus.

Of note at present is the number of groups or collectives of groups that have received Jobs for Nature funding – this is likely to amplify the activity of groups significantly over the next few years but creates a risk of a 'crash' in capacity and activity once this funding finishes. This could jeopardise the CAP process – if stakeholder capacity or focus suddenly shifts because of an end to funding.

There is a complex network relationships between stakeholders, including with the ORC. Several groups include other potential stakeholders within their membership due to overlapping areas of focus.

Membership does not always equate to the ability to represent, as some membership structures are loose. Nor does membership equate to agreement on all issues – some catchment groups include representatives from other agencies or groups as members, and there can be divergent views between the different groups represented on the catchment group.

The is a strong sense amongst catchment groups that the ORC has lost their trust, and an investment in trust and relationship building on the ground will need to be made for this to be regained. This will be important to enable a successful ICM programme.

Careful consideration will be required to understand how any catchment groups involved in a CAP process might then support change or actions by their members, as there may be a reluctance to 'sell' the outputs from a CAP and/or issues with buy-in to the catchment group itself by the local community. This may however be counter-balanced by the strong desire amongst catchment groups for clear directions on priority actions to be undertaken – a CAP process would ideally provide this, based on robust information and a shared understanding of issues.

There is a high degree of fatigue amongst many stakeholders, regardless of whether representatives are paid or voluntary. Everyone is feeling stretched. This underscores the need for a high degree of clarity for the process. If stakeholders see a benefit to being involved, this may help reduce feelings of fatigue. Perceptions of benefits may vary from group to group depending on their focus and drivers. Benefits may include the streamlining of processes and work programs, the potential to support transformational change, incentives for actions, increasing social licence or the provision of clear prioritised actions based on robust scientific information.

Participants generally didn't have strong views on the type of format that might be most effective. Many suggested on-line meetings and workshops, but also acknowledged the critical importance of relationship building through kanohi ki te kanohi interactions. In contrast, there was a strong response that working at the FMU scale could make it difficult to obtain buy-in, as there would be a perceived lack of relevance for catchment groups or local communities.

Key themes and conclusions from the interviews are summarised below:

Group Dynamics

- Catchment groups are dynamic and vary widely - their level of activity and focus can change including due to funding or the challenges they are facing.
- Just because there is a catchment group doesn't mean there is significant buy-in to that catchment group
- Catchment groups would like clear direction on the key actions they can focus on to achieve results

- There is fatigue and a lack of time and capacity for involvement in collaborative processes for all groups and stakeholders spoken to.
- There needs to be a clear benefit, incentive, or purpose in being involved.

Relationships between groups/agencies

- There has been a significant loss of trust in relationships with the ORC, and relationships at the organisational level could be improved or streamlined.
- There is a strong desire for meaningful engagement with mana whenua and clear recognition of the resourcing limits faced by Kāi Tahu representatives.
- There is conflict and lack of trust between some groups.

What is needed for Success?

- There needs to be a clear benefit, incentive, or purpose in being involved
- The process needs to be a multi-stakeholder process, with the right people at the table, and participants who are willing to engage in meaningful dialogue and learn together
- Clarity is a key component including:
    - the purpose and focus of the process
    - the ORC's role
- ORC needs to commit significant resources and have the right staff at the table.
- Resourcing of CAP will need to include 'management' of the plan itself, including implementation, monitoring, evaluation, and review.
- Need for geographic scale to be focused enough so that the process and its outputs are relevant to communities.
- There needs to be a focus on the process used, not just the format
- The process would benefit from being a shared learning journey, with consideration of tools and approaches that might support this including:
    - Independent facilitation
    - Expert input and clear science
    - Shared creation of a catchment model
    - Understanding assumptions and values of others
    - Establishing monitoring which can help support evaluation

6. Framework for collaboration

6.1. Format for collaboration

Key features of the ICM programme that need to be considered in selecting a format or platform for collaboration include:

- Successful implementation will require actions to be undertaken by multiple actors
- Low level of trust or confidence in the ORC
- Low levels of trust or presence of some conflict between some stakeholder groups
- Information is often complex and often uncertain

The first point above is perhaps the most critical as it means that those participating in the process will need to have a high level of buy-in and strong sense of ownership in the process.

Factors that a collaborative format should be able to provide for include:

- Integration and consideration of a range of knowledge including mātauranga Maori and local knowledge
- Scheduling and resourcing that recognises the needs and limitations of key stakeholders
- Robust assessment of information and robust and transparent decision making
- Use of a range of tools to support an effective process and incentivise involvement

These factors, along with the analysis of stakeholders and community context and key themes from literature were taken into account in considering a range of collaborative formats for the CAP process. Those considered to be potentially appropriate for this process are outlined and assessed in Table 3 below.

Table 3. Collaborative formats and their potential suitability (source: New Zealand Government, Oct 2020; and State of Queensland, 2017)

Format	Overview	Suitability*
Community Reference Group	Structured group of community / stakeholder reps that meet regularly and operate under a terms of reference. Members may act as a conduit between the broader community and the organisation.	Benefits: • Allows trust and relationships to develop • Enables consideration of complex information • Supports buy-in and sense of ownership for actions • Can accommodate a wide range of tools to support a robust process. • Allows for consideration of complex information • Allows value to be placed on different forms of knowledge

Format	Overview	Suitability*
		Downsides: • Can take time to make decisions. • Can be resource hungry depending on what tools/ approaches are used it the group. • Still need to get buy-in from others who are not part of the group
Community conferences or summits	An event, typically held over one or two days, that brings together many participants to explore and discuss an issue. Include a range of interactive, collaborative and deliberative tools and techniques. Participants can either be selected or self-nominate, depending on approach. Versions include: • Future Search – 3 day, vision focused. • Open Space – topic focused but no formal agenda, participants determine this. • Charette - Participants work in small groups, each containing a technical expert	Benefits: • Focused process which delivers results. • Brings all parties together. Downsides: • May not enable widespread buy-in for any actions required. • Does not allow time for relationship development. • May be difficult to get all necessary participants to commit to a multi-day summit/conference for, particularly as some stakeholders may want to be involved in multiple CAP processes. • May not allow sufficient time for consideration of complex information • Resource intensive in the lead up to the event
Citizen Jury	A representative sample of citizens are randomly selected to form a citizen's jury which deliberates on a problem or opportunity. Hear evidence from expert witnesses.	Benefits: • Can consider complex information • Can involve representatives from across community, not just those with vested interests/power. Downsides: • Not suited for generating support for actions • Does not necessarily involve community leaders, those required to gain buy-in of wider community. • Does not allow for development of relationships • Not suited to large groups
Citizen's panel/	Selection of a large number of people as representative of the population (citizen panel)	Benefits: • Can consider complex information

Format	Overview	Suitability*
Engagement Panel	or opt in (engagement panel) deliberate on a range of issues over a set period of time, with input from surveys.	• Can involve representatives from across community, not just those with vested interests/power. • Can involve larger numbers of people Downsides: • Not suited for generating support for actions • Not suited to consideration of complex information • Does not necessarily involve community leaders, those required to gain buy-in of wider community. • Does not allow for development of relationships
Steering groups	A steering group is usually made up of high-level stakeholders or experts who provide guidance on key issues. Usually not representative of the broader demographic, a steering group is more a panel of experts who guide decision-making.	Benefits: • Can consider complex information Downsides: • Not suited for generating support for actions • Does not allow all stakeholders to be part of shared learning journey with complex information. • Does not necessarily involve community leaders, those required to gain buy-in of wider community. • Does not allow for development of relationships

**Note: this assessment is specifically focused on a collaborative process for development of CAPs and would differ for another context.*

6.1.1. Preferred option

Based on the factors involved with the ICM programme, the preferred option for collaborating with the community is the use of a community reference group – with a reference group established for each CAP (i.e. nine in total, including Rohe and FMUs). If run effectively, this group approach would allow for relationships of trust and common understanding to develop, and of all the formats considered above, is considered best suited to supporting buy-in for actions.

As noted by a catchment group representative, there will still be a need for decisions of the group to be 'sold' to landowners/managers, to gain maximum buy-in and increase the likelihood that actions will be undertaken, and targets will be achieved. It will be important to provide effective support to stakeholder representatives, so that they are not left feeling entirely responsible for 'selling' decisions to the community or their groups. This support can include clear communication of the assessment and decision made by the group, as well as opportunities for other stakeholders or the community to be

involved in the CAP process, without being part of the reference group. This is discussed further in Section 7 below.

The reference group format also enables the consideration of complex information and allows value to be given to different forms of knowledge including mātauranga Māori or local understanding. All of the other formats for collaboration might include different forms of knowledge, however without careful introduction, there is a risk that some participants may not ascribe value to this knowledge.

It may be desirable to refer to the group as something other than a community reference group, given the recent use of this term for a group providing advice specifically focused on regulatory freshwater water limit setting in the Manuherekia in Otago. Other names could utilise terms such as catchment committee, catchment panel, catchment collective, or integrated catchment group or roopu, or a name developed with guidance by mana whenua. To avoid confusion this report continues to refer to the community reference group as a 'reference group' or 'group'.

Key recommendations:

- The recommended format for collaboration is a community reference group
- Consider alternative names for this group: community collective or catchment roopu
- Ensure group members are well supported in sharing messages with the wider community

6.1.2. Terms of reference

The terms of reference for the group need to clearly set out the purpose and scope of the group and should also include the status of the group and its ability to make decisions or make recommendations. This includes a clear indication of how the ORC will respond to decisions or recommendations of the group, and how it will provide support and resourcing to the group. It should also include membership criteria and eligibility, the term of group members participation and their roles and responsibilities.

A draft terms of reference can be formulated by the ORC and Kāi Tahu governance group for the ICM programme so that stakeholders have something to consider. It is important though that this is presented to stakeholders for discussion and refinement, as this enables a shared understanding of the purpose and scope of the group, and a sense of shared ownership over the process.

The terms of reference for Environment Southland's Regional Forum are a useful example and can be referred to for guidance during the establishment of reference groups for the ICM programme group, although it should be noted that this forum is an advisory forum only.[16]

6.1.3. Membership

Due to the widespread lack of capacity identified by stakeholder representatives, there is likely to be a relatively low risk that stakeholders will seek to be involved when they have little to contribute or have low interest in the process. This factor, combined with a need for CAPs to have a high level of buy-in, supports taking an inclusive approach to membership in any collaborative forum or group for the ICM programme. Conversely, it is also important to ensure that the group is not so large that it becomes unwieldly, and that the right people are part of the group. An upper limit from membership could be set at 20 members – while this is considered on the large side, it would allow for broad representation and would draw in capacity (knowledge and expertise) from a range of groups.

With respect to community representatives the 'right people' are likely to be those who are respected leaders within their own communities – as these people are well connected, most likely to achieve buy-in for actions and are well versed with the challenges faced by the community. In terms of organisational representatives, the 'right person' is someone with sufficient standing in their own organisation to make community representatives feel that the process is being taken seriously by these organisations, and so that their time is not being wasted. Ideally it also includes someone with the ability to achieve buy-in from their own organisation.

Initially invitations for interest in membership are recommended to be via an open public process to avoid any groups being inadvertently left out and feeling excluded. The invitation would need to be supported (or preceded) by clear information on what the ICM programme is, how it is anticipated to work, what might be required of participants, and what benefits may result from involvement.

[16] The Regional Forum is a panel of Southlanders whose purpose is to consider and advise the Regional Council and Te Ao Marama Board representatives on regulatory and non-regulatory methods to achieve the community's values and objectives for freshwater. The TOR for the forum can be found at: https://waterandland.es.govt.nz/repository/libraries/id:1tkqd22dp17q9stkk8gh/hierarchy/PWL%20documents/Regional%20Forum%20documents/Regional%20Forum%20terms%20of%20reference%20Dec%202018.pdf

Simple expressions of interest or applications to be part of the group should be requested to enable interest in the CAP process to be gauged, and to ensure effective representation of community, sectors and organisations, as well as diversity of representation across age and gender.

The Terms of Reference for the group should set out the goal for the makeup of the group, the criteria for selecting or approving participants, and the expectations of involvement. The Terms of Reference for Environment Southland's Regional Forum provide a useful example of the kinds of factors that could be considered for membership.

Mana whenua representation

In addition to the governance and project management role of Kāi Tahu with the ORC in the ICM programme, mana whenua interest in representation on the group should also be canvased, based on discussion with appropriate Kāi Tahu representatives, including whether Rūnaka representatives may wish to be members of any reference group that is active in FMU's or Rohe of significance to them.

Key recommendations:

- Inclusive approach to stakeholder participation via open invitation.
- Supported by an application process for membership, with criteria for selection set out in a Terms of Reference, including effective representation and diversity.

6.1.4. Governance and decision making

The terms of reference should clearly set out both the governance arrangement and decision-making ability of the group. If possible, the governance structure should utilise existing structures where possible, to reduce the time and work required to create and support the structure.

It is important to clearly identify and understand the different decision-making capabilities and contexts of stakeholders – organisations and government departments will have formal processes which can include legislative responsibilities, budget approvals and a range of delegations, while community groups will have constitutions or deeds that they will need to abide by. If delegations are possible then these should be clearly identified and formalised, otherwise limitations on decision making should be clearly identified by members.

Timeframes and communications should factor in the decision-making requirements of member organisations/groups. This includes considering what information and reporting will be required to support representatives in obtaining buy-in and decisions from their organisation or group.

6.1.5. Resourcing of the group

It is important that the group is adequately resourced to enable it to run effectively – this includes a wide variety of resources including:

- administrative support, including scheduling of meetings, minutes, distribution of materials, record keeping.
- communication material both for stakeholders who are not directly involved in the reference group, but also to reference group members' own organisations or groups. This communication material is incredibly important for supporting buy-in to actions amongst the wider community.
- tools supporting the process (outlined in the following section)
- the offer of payment for membership on the reference group – this recognises how time poor and stretched community members are.

Resource limitations, along with timeframes, will inevitably influence the final design of the collaborative process – recommendations in this report such as the use of models, GIS tools, independent facilitation and expert input (refer to Section 6.2) will need to be considered against any resource limits, and may need to be discussed with participants.

6.1.6. Scheduling

Scheduling of meetings for the reference group will need to consider the needs of Kāi Tahu and different stakeholder groups. Sufficient lead time is necessary for Kāi Tahu agencies such as Aukaha to prepare materials to share with the group. Scheduling of meetings will need to account for the farming/growing calendar, with some seasons being very challenging for additional commitments e.g. vintage or harvest for grape growers or orchardists, or during lambing for farmers. Scheduling also needs to take account of the internal processes (and timeframes associated with these) of the groups or organisations represented on the reference group.

Other groups such as Enviroschools would also benefit for sufficient lead in time so that resources can be prepared that enable students to consider issues and provide meaningful input into CAP development (refer to Section 5.4.2).

6.1.7. Scale

A common theme from interviews with stakeholders was the need to keep the scale of CAPs relevant for stakeholders. Working at the Rohe scale rather than at the FMU scale in the Clutha/Mata-au FMU will assist with this. Developing CAPs at a smaller scale than this creates its own issues for a collaborative process, including duplication of efforts, running multiple processes effectively and the potential for

some stakeholders (who operate regionally or nationally) to be involved in a large number of CAP processes. We understand that the ORC is proposing to aid with sub-catchment scale planning, including templates for sub-catchment planning that would fit within, or be consistent the ICM programme. These plans may then be used to inform the higher-level CAP plan - with targets and actions in the smaller scale plans acting almost as part as puzzle pieces for the CAP - building up to and contributing to the targets and actions developed at the broader FMU or Rohe scale, and set out in the CAP. This approach has the potential to keep the process relevant to groups operating at different scales.

6.2. Approach and tools to support collaboration

As noted in Section 3, the process and approach used to collaborate – not just the format used - is critical to success.

As much as possible the process and approach should allow for co-design by stakeholders, after first recognising the partnership between ORC and Kāi Tahu. Co-design will support a shared understanding of the purpose and scope of the process and will support a shared sense of ownership. Early preparation and planning can be undertaken by ORC and Kāi Tahu, however ideally there would be substantive opportunity for the reference group to be involved in co-design. Clarity should be provided by ORC and Kāi Tahu about what is not negotiable (e.g. governance arrangements) and why.

Co-design early in the process is recommended to include:

a) Input into and refinement of terms of reference
b) Setting of ground rules – in terms of guiding principles, conduct, communication
c) Agreement as to purpose and scope and ensuring there is a high degree of clarity around purpose and scope
d) Stakeholder identification and analysis. Undertaking this process with stakeholders will assist with
    - identifying whether stakeholders are missing from the process
    - understanding relationships including direction of influence or linkages
    - identifying commonly held values
    - identifying hidden areas of conflict
    - rationalisation of membership
    - checking for diversity, representativeness

Spending time on stakeholder analysis will help inform the focus and design of the process – if there are relatively high levels of trust and positive relationships, then less time may need to be spent on training and support for effective dialogue (see below).

Due to the complex and frequently uncertain information associated with environmental management, a shared learning journey, based on the concept of the collaborative learning model referred to in Section 3 is recommended for the collaborative framework for the ICM programme.

A shared or collaborative learning journey enables a range of approaches and techniques to be utilised as appropriate throughout the process, and can assist with effective dialogue, the development (or identification of existing) shared values and understanding of issues, as well as valuing and integrating different forms of knowledge such as mātauranga Māori.

Elements that would support an effective shared learning journey and support the development of trust include:

- Dialogue – training in dialogue/participatory communication - this includes a focus on meanings that might be constructed
- Development of shared understanding of information and issues via joint development of:
    - catchment models (building a model with participants rather than for them), with the focus of the model depending on the key issues in a catchment e.g. nutrient management, erosion.
    - spatial tools that become available for use – including informing -sub-catchment planning
- Decision making tools such as deliberative multi-criteria analysis (see for example 1000minds https://www.1000minds.com/)

A range of other tools and approaches can be utilised within the reference group format and the shared learning journey – including expert panels which can be questioned by reference group members, or joint papers and presentations by experts, as well as field trips. Different tools may be suitable at different times throughout the process – for example joint catchment modelling will help with the development of a shared understanding of issues, while deliberative multi-criteria analysis will be useful for making decisions e.g. setting targets. The selection of tools needs to take into resource limitations and potential timeframes – for example, the development of a catchment model may be too time consuming and resource intensive, depending on the complexity of the issue or characteristic being modelled.

Facilitation by impartial, skilled facilitators will support an effective process. Ideally each reference group would have several facilitators, each with their own skill sets including training in areas such as dispute resolution, experiential learning, dialogue, evaluation, or scientific expertise. Suitably skilled ORC staff may be able to be part of this facilitation team, particularly if led by an impartial facilitator.

Consideration should also be given to what tools might be developed or utilised as part of the ICM reference group process that could be beneficial to participants and so which might encourage and support their involvement. Interviews with catchment group representatives highlighted the need for effective spatial tools, clear provision of information (including water quality monitoring), and guidance on actions which best result in environmental improvements. Tools which respond to these needs may support higher levels of community buy-in.

From an agency or organisational perspective, the ICM programme offers an opportunity for streamlining of activities or representation – rather than having to sit on multiple forums relating to interlinked issues (such as biodiversity and biosecurity). Involvement in the ICM reference group could rationalise these activities, reducing duplication of efforts and offering the potential for synergies in work programs and priorities. Effective stakeholder mapping and analysis with stakeholders (including alignment of priorities, how work programs might interlink, what forums already exist) will assist with this rationalisation.

Key recommendations:

- The process and approach should allow for co-design by stakeholders, after first recognising the partnership between ORC and Kāi Tahu.
- Provide a high degree of clarity around purpose and scope
- Carry out further stakeholder mapping and analysis with stakeholders as part of co-design and to check that no other stakeholders have been missed.
- Use a shared or collaborative learning journey which incorporates:
  - dialogue,
  - shared development of catchment model
  - spatial tools
  - decision making tools such as deliberative multi-criteria analysis

7. Involving and informing

As indicted by the considerations outlined in Section 5.1, not all stakeholders need to be engaged with in the same manner – those that are less willing, have very limited capacity, very localised interests, or are indirectly interested in the programme may wish to be part of the process in some way, but not necessarily involved in an in-depth manner. These stakeholders may however still wish to be involved in the programme in some way, or at least be kept well informed.

Involving and informing the broader network of stakeholders is also critical to ensure reference group members feel well supported – so that they don't have to develop communication material, and they feel less of a burden in sharing information and obtaining buy-in – particularly for representatives of community groups.

Opportunities for involvement can take many forms including briefings, online blogs (both of which can include opportunities for discussion and the provision of feedback), interactive online tools, surveys, storytelling, online panels, open days, or field days. It will be important for reference group members to be part of the selection of tools for involvement, in consultation with other stakeholders, to ensure that the tools are suited to the purpose of engagement and stakeholder needs.

The frequency of any formats to provide involvement opportunities will depend on the pace of work by a reference group, and the value of obtaining input into key decision points or providing information. Any input obtained during this process would ideally be collated by staff so that it can be considered by the reference group.

Relevant activities of broader stakeholder agencies or organisations (that are not represented on the community reference group) but can support the implementation of CAPs by the landowners/managers should be identified through open discussion with stakeholder groups. Examples might include predator control work or restoration planting by local environmental groups, threatened species protection work by groups that builds on DOC's work programme, supplier agreements with primary producer processors (such as Fonterra or Silver Fern Farms) and farm planning or environmental guidance from industry groups such as Beef and Lamb New Zealand or Horticulture New Zealand.

With regards to farm planning, ideally, any targets and actions identified at the FMU or Rohe scale through the CAP process will be known about and understood by farm advisors or industry groups working with farmers at a group or individual scale – for example, the provision of assistance to develop farm environmental plans. This might require specific briefings to industry groups, or training and support to farm advisors as to how to integrate information or targets and actions from CAPs into farm

scale planning. The availability of spatial tools developed through a CAP process will be particularly helpful in supporting this.

A communication and engagement plan should be developed with the reference group to ensure that the wider community or indirect stakeholders can be kept well informed. As noted above this will assist representatives on the reference group to obtain buy-in from their own groups, communities, or organisations and will also ensure consistent messaging.

8. Preparation and inception

There are number of preparatory and planning tasks that the ORC can undertake to support an effective process, in support of the recommendations above. Many of these are underway already – further work to establish clear understanding, support and integration within ORC will assist with successful implementation of this project. This includes:

- Ensure clarity around the process – develop a clear purpose statement and scope. The importance of clarity is emphasised in the literature and through interviews for this project.
- Gain support and a clear understanding of the programme internally with relevant ORC teams.
- Establishing clear linkages and opportunities for integrating ORC projects into the ICM programme e.g. natural hazards, Otago Lakes management.
- Consider the opportunities and risks created by the Land and Water Regional Plan process, including disagreements on science, timing of work, information opportunities, stakeholder identification.
- Investigate opportunities for integration with the work programmes of other government departments or district councils.
- Identify whether any decisions will have to stay with the ORC, and which decisions are within the scope of a reference group.
- Establish an internal governance and project management structure with Kāi Tahu.
- Clarity around decision making - how the process influences decisions, who makes decisions.
- Identify key constraints including resourcing and timeframes.

Once the initial set up has occurred and been agreed upon between ORC and Kāi Tahu, co-design with key stakeholders is recommended to occur early in the process to support a greater sense of ownership of the project. To facilitate this the project could be introduced via a series of meetings with groups of stakeholders as early as possible in the development of the ICM programme. This will also assist with increasing clarity around the purpose, process and scope anticipated for the ICM programme, as interviews with stakeholders highlighted a strong desire for this. It will also provide further useful feedback about the level of support from key stakeholders, and tools which might act as incentives for involvement.

9. Risks and mitigations

There are a number of potential risks or challenges to an effective collaborative process for the ICM programme that should be considered prior to inception of reference groups, to address or reduce these risks.

These risks can be revisited by the reference group throughout the process – new risks and mitigations are likely to emerge as the process unfolds.

Table 4. Potential risks for an effective collaborative process for the development of CAPs in Otago and possible mitigations

Risk	Mitigation
Large scale means CAP does not feel relevant	• Variety of meeting locations/workshops • Provide clarity on how sub-catchment plans can build up and be linked together to form overarching CAP • Provide support for sub-catchment action plans
Lack of trust/confidence with ORC	• Allow sufficient time for trust to develop • Formal agreements in place (written terms of reference for the process) • Openness about constraints • Alignment of ORC work programmes and staff understanding of programmes • Independent lead facilitator • Supported by external experts • Training/learning opportunities through the process (including ORC staff)
Vested interests (power imbalance)	• Co-design • Ground rules can include an agreement to let others know if they intend to pursue their interests in other forums • Independent facilitators • Independent experts • Use of structured decision-making tools
Differences in values, interests, culture and perspective leading to polarisation of views	• Focus on relationship building and communication (dialogue) first • Allow sufficient time for trust/relationship to develop • Generate multiple options • Use of structured decision-making tools
Lack of capacity	• Incentives or support provided to key stakeholder groups if necessary to support their involvement • Identify opportunities to streamline work – including priorities, work programmes, and streamlining various forums into ICM

Risk	Mitigation
	• Utilise tools that provide support to community groups e.g. GIS and provide information about key actions to undertake (this may also act as an incentive for involvement).
Scientific uncertainty	• Focus on improvement • Utilise MOU with Catchments Otago • Use of structured decision-making tools • Value placed on a range of forms of knowledge including mātauranga Māori
Heavy reliance on science / getting bogged down in science	• Focus on improvement • Use of structured decision-making tools • Value placed on a range of forms of knowledge including mātauranga Māori • Adaptative management as an integral part of process

10. Monitoring and evaluation

Monitoring and evaluation of projects is critical to enable identification and understanding of successes and failures, to enable improvements. This is particularly relevant to the ICM programme on the basis that it is untested within the Otago context and unfamiliar to this community. It will also be an iterative process - in that it will be rolled out in one FMU first before being undertaken in other Rohe or FMU, and CAPs are anticipated to be reviewed periodically, with amendments based on monitoring and evaluation.

Evaluation is frequently split into two types:

- Formative evaluation – focuses on potential improvements that can be made to an ongoing activity or project – to learn and modify as the project progresses
- Summative evaluation: seeks to identify successes and failures of a project or event; normally at the completion of the activity or project.

Monitoring and evaluation of projects are often summative in that reporting is focused primarily on the outcomes of a project e.g. measuring progress towards, or achievement of, targets and catchment goals.

Monitoring and evaluation of environmental outcomes from the ICM programme are anticipated to occur, along with adaptive management - however the focus here is on monitoring and evaluation of the collaborative process itself. Formative evaluation of the process of collaboration itself is considered important as this will support a sense of ownership and satisfaction with the process. If participants feel like they have been heard, information and knowledge of importance to them has been fairly considered and decision making has been made in a transparent way, then acceptance of targets and related actions is likely to be increased.

To develop appropriate monitoring and evaluation of the collaborative process it will be necessary to consider the following questions:

- What are the goals of the collaborative process, so that these can be measured, and the process can be improved?
- Is the evaluation primarily focused on the experience of the key participants in the process i.e. members of the reference group, and supporting staff e.g. how participants best collaborate for mutual benefit?

- Whether broader community perspectives on the process want to be understood i.e. whether they feel the process has led to better outcomes, or they have had meaningful opportunities to provide input?
- What (if any) external reporting is required e.g. council reports about the collaborative process rather than outcomes from ICM programme?

The goals of the collaborative process should be co-designed with members of the reference group, after initial drafting of goals by the ORC and Kāi Tahu. Possible goals of collaboration, and associated criteria for monitoring and evaluation of these goals may include factors such as those outlined in Table 5 below. These are ordered and based on Kusters (2018) looking forwards and looking inwards approach, with further assessment against the goals once the process has been underway for some time (looking back) to assess the extent to which the collaborative process has met the goals. They also address considerations of quality, legitimacy and capacity (National Research Council, 2008). Once goals are agreed upon, then criteria to enable monitoring of progress towards them can be developed.

Final versions of objectives or goals developed for the collaborative process would benefit from being SMART objectives – i.e. specific, measurable, achievable, relevant and time bound.

Table 5. Goals and associated criteria for monitoring and evaluating the collaborative process (adapted based on Kusters 2018, and National Research Council 2008).

Concepts that may be captured in goals	**Concepts that could be addressed in monitoring criteria**
Looking forwards	
Achieving strong, shared ownership of targets and actions for CAPs	• Stakeholders have adopted shared long-term goals • The assessment or decision was widely accepted, even among non-participants • Participants went outside the process to overturn its results, for example, with legal challenges or attempts to influence legislation (a negative indicator)
Streamlining work by working together and improving understanding of each other's work and focus.	• Stakeholders are working together to align priorities and work programs • Stakeholders use information from other stakeholder to make decisions • New partnerships, alignments or joint activities are occurring

Concepts that may be captured in goals	Concepts that could be addressed in monitoring criteria
Improved monitoring that informs on the ground actions	• Joint monitoring is occurring • Stakeholders feel confident that actions are based on robust monitoring • Actions are informed by mātauranga Māori
Looking Inwards	
Building stronger relationships – including mutual trust and confidence	• Mistrust among participants, including government agencies, was reduced • Participants feel welcome, informed and encouraged to contribute • Participants feel comfortable sharing information • Participants feel that they are listened to, and their values are taken into account by others. • Participants are committed to the process, discussions and the agreements • Participants are open to compromises, including focusing on improvements
Legitimacy of the process - transparent, fair process and equitable process	• The group is representative of majority of key stakeholders within the FMU/Rohe • Participants accept the process and criteria used for identification of stakeholders and selection of membership • All members participate and feel heard in discussions • All participants can influence decision making • Information and decision making is transparent • Multiple forms of information and knowledge is valued in the process and utilised to inform decisions
A process which is appropriately supported by the right expertise, tools, and resources	• The group is adequately supported by appropriately skilled staff and expert information • Participants have access to diverse sources of information and are supported via appropriate tools and expertise to consider this information • Participants accept and have confidence in the facilitators of the process • Participants are run effectively, information is shared widely • The process and approach used by the group can change based on periodic evaluation of its functioning

Concepts that may be captured in goals	Concepts that could be addressed in monitoring criteria
	• Participants feel they are able to address complaints/suggestions/conflicts within the process • Participants feel appropriately supported to attend and be involved, including through scheduling of meetings, timing of information provision.
Quality of decision making or outcomes	• Outputs reflected a broad view of the situation that addressed all issues considered important by participants • Conclusions were based on and consistent with the best available evidence and knowledge • Innovative ideas were generated for solving problems • Concerns expressed in broader engagement were fairly considered and addressed through the process. • Understanding and analysis of different perspective and information (including complex and uncertain information) was improved • Participants accepted the analysis or decision process followed a robust and legitimate process, even if they did not fully agree with the final assessment or decision
The process builds capacity amongst participants	• Participants gain a better understanding of each other's perspectives and catchment systems • Support staff gain skill in supporting a collaborative process including joint assessment and decision-making processes • Members gain skill in collaborative assessments and decision making • Scientists/experts gain a better understanding of community perspectives • Participants and experts gain a better understanding and place value on different forms of knowledge, particularly mātauranga Māori.

Many of the criteria can be assessed using a Likert scale, with time set aside periodically throughout the process to respond to these questions, and then discuss and reflect on the results (with support from an external evaluator or an experienced facilitator) and identify any changes that might be made to address issues. This could be supplemented by less frequent interviews and participant observation and

document analysis by an external evaluator. The latter two can provide an important balance to ensure that evaluation is not entirely based on participant perspectives (which can result in bias to the evaluation).

Additionally, more quantifiable assessments could be made drawing on questions such as:

- How many sessions occurred?
- How many sessions were attended by all members / high percentage of members?
- What new synergies/alignments have resulted from the process?
- What decisions were reached?
- What level of consensus was there for these decisions?
- What tools or models were developed?

Evaluation of broader engagement should also be considered, to ensure that stakeholders feel that they have had meaningful opportunities to provide input and feel like their input has been heard and taken into consideration, as well as whether broader stakeholders feel well informed. Consideration could also be given to evaluation of the wider community's perspective on the effectiveness of the ICM programme itself – including whether a collaborative process has led to improved environmental outcomes.

11. Summary of recommendations

This report confirms the appropriateness of a collaborative approach for the development of CAPs as part of the ICM programme due to the complexity of the issues and challenges faced with integrated catchment management, and the need for actions to be undertaken by multiple stakeholders to achieve change. There can also be significant controversy around some aspects of integrated catchment management, particularly as it relates to freshwater management, due to competing values and uses – for example where private land use impacts on water quality. The potential for controversy also indicates the use of a collaborative process.

Key features or factors influencing the framework for collaboration include:

- Successful implementation will require actions to be undertaken by multiple actors
- Low levels of trust and some conflict exists between some stakeholders, including with the ORC
- A high degree of clarity around the scope and purpose of the collaboration and ICM programme is required
- Information is viewed as complex and often uncertain

- Integration and consideration of a range of knowledge including mātauranga Māori and local knowledge is needed
- Scheduling and resourcing should seek to recognise the needs and limitations of key stakeholders
- Processes should support a robust and transparent assessment of information and decision making
- A range of tools and approaches should be used to support an effective process and incentivise involvement.

Taking these into account the preferred option for a collaborative format or platform is a community reference group - with one reference group established for each CAP that is developed, with representatives of community and stakeholder groups meeting regularly under a clear terms of reference.

The process and methods used to run and support the reference group are critically important to ensure a robust process resulting in high levels of buy-in and ownership. As much as possible the process and approach should allow for co-design by stakeholders, after first recognising the partnership between ORC and Kāi Tahu. Co-design will support a shared understanding of the purpose and scope of the process.

A process that supports a shared or collaborative learning journey is also recommended, to assist with effective dialogue, the development (or identification of existing) shared values and understanding of issues, as well as valuing and integrating different forms of knowledge such as mātauranga Māori.

There will be some stakeholders who are not part of the community reference group (out of choice, or due to other reasons such as limited capacity or because they have a narrow focus), but who should be provided with opportunities for involvement, or be kept informed.

Formative evaluation carried out during the process of collaboration, based on goals identified for the collaboration by stakeholders, would enable improvements to the process while it is underway. Assessment of criteria against goals should be undertaken periodically throughout the process to enable any adaptations to the process, to better meet goals.

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Appendix One: Indicative questions used a guide for interviews

Nature of Group/Agency

1. Please could you describe the key focus of your group?
2. What is your membership/representation?
3. What scale do you work at/focus on?

Working with others

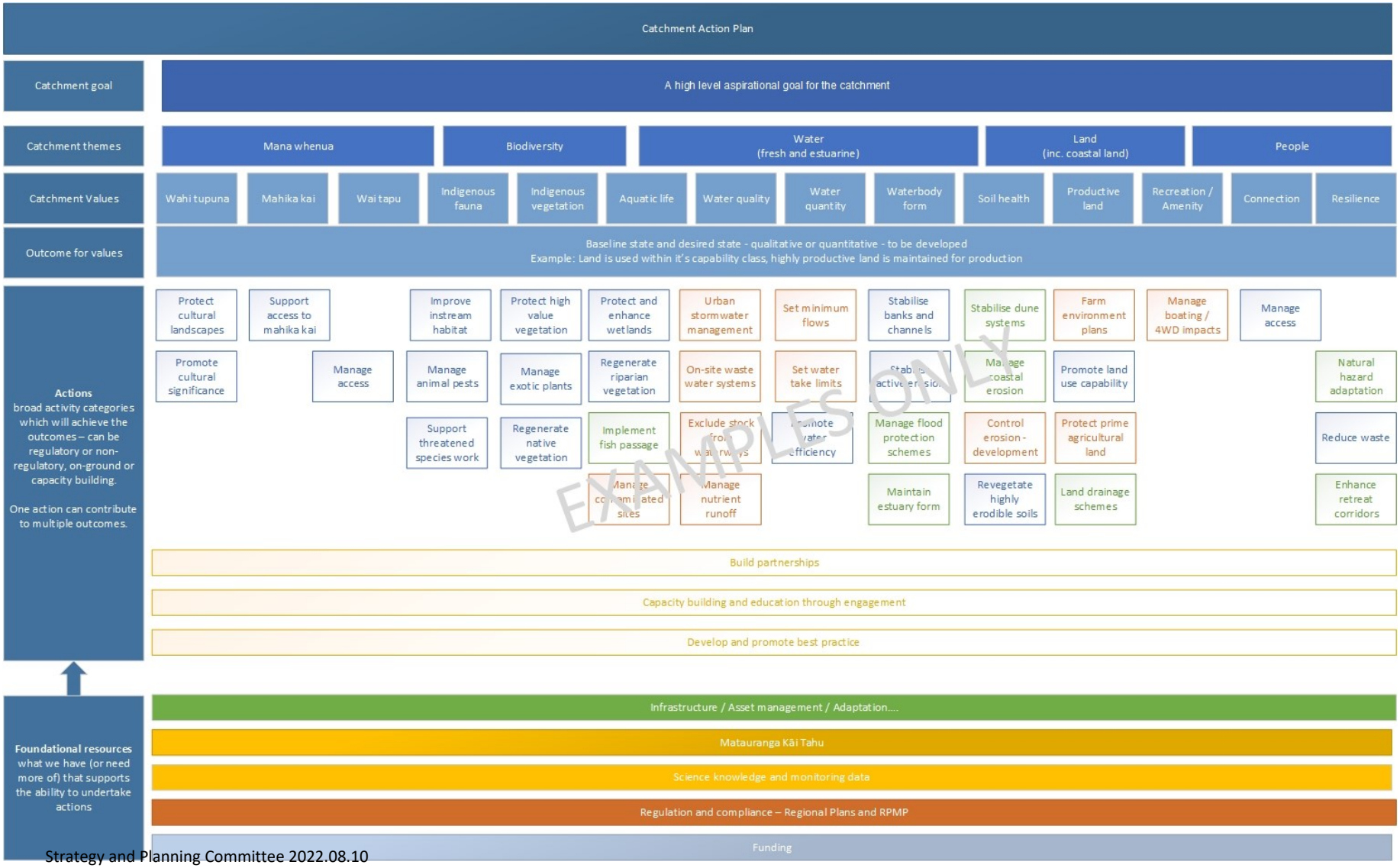
4. What is your relationship like with the ORC?
5. How has the ORC engaged with you previously?
6. How have you connected/engaged with mana whenua to date?
7. Who else needs to be in the mix to make CAPs successful/ to solve the issues you are facing?

Scope

8. How have you been working with other stakeholders on your areas of interest (ORC, industry bodies, environmental groups etc)?
9. What multi-stakeholder processes do you have underway which this one needs to take account of?
10. How could the ICM /CAP process build on/integrate with the work you are already doing/are keen to do?

Capacity/Constraints/Opportunities

11. What are your limitations/constraints to being involved?
12. What support would you need to enable your involvement?
13. What would your expectations of the ORC be?
14. What kind of format would work?


Catchment Action Plan
Catchment goal
A high level aspirational goal for the catchment
Catchment themes
Mana whenua
Biodiversity
Water (fresh and estuarine)
Land (inc. coastal land)
People
Catchment Values
Wahi tupuna
Mahika kai
Wai tapu
Indigenous fauna
Indigenous vegetation
Aquatic life
Water quality
Water quantity
Waterbody form
Soil health
Productive land
Recreation / Amenity
Connection
Resilience
Outcome for values
Baseline state and desired state - qualitative or quantitative - to be developed
Example: Land is used within it's capability class, highly productive land is maintained for production
Actions
broad activity categories which will achieve the outcomes – can be regulatory or non-regulatory, on-ground or capacity building.
One action can contribute to multiple outcomes.
Protect cultural landscapes
Support access to mahika kai
Improve instream habitat
Protect high value vegetation
Protect and enhance wetlands
Urban stormwater management
Set minimum flows
Stabilise banks and channels
Stabilise dune systems
Farm environment plans
Manage boating / 4WD impacts
Manage access
Promote cultural significance
Manage access
Manage animal pests
Manage exotic plants
Regenerate riparian vegetation
On-site waste water systems
Set water take limits
Manage coastal erosion
Promote land use capability
Natural hazard adaptation
Support threatened species work
Regenerate native vegetation
Implement fish passage
Exclude stock from waterways
Promote water efficiency
Manage flood protection schemes
Control erosion - development
Protect prime agricultural land
Reduce waste
Manage contaminated sites
Manage nutrient runoff
Maintain estuary form
Revegetate highly erodible soils
Land drainage schemes
Enhance retreat corridors
EXAMPLES ONLY
Build partnerships
Capacity building and education through engagement
Develop and promote best practice
Foundational resources
what we have (or need more of) that supports the ability to undertake actions
Infrastructure / Asset management / Adaptation....
Matauranga Kāi Tahu
Science knowledge and monitoring data
Regulation and compliance – Regional Plans and RPMP
Funding

7.3. Recommended Policy Guidance on Outstanding Regionwide Issues

Prepared for:	Strategy and Planning Committee
Report No.	SPS2235
Activity:	Governance Report
Author:	Sam Walton, Policy Analyst, Land and Freshwater Tom De Pelsemaeker, Manager Policy
Endorsed by:	Anita Dawe, General Manager Policy and Science
Date:	10 August 2022

PURPOSE

[1] The purpose of this report is:

a. To provide the Otago Regional Council's (ORC) Strategy and Planning Committee with proposed policy guidance as recommended by ORC staff on outstanding regionwide issues to inform the development of the proposed Land and Water Regional Plan (LWRP), and
b. To seek endorsement from the Strategy and Planning Committee on the proposed policy guidance recommended for these outstanding regionwide issues.

EXECUTIVE SUMMARY

[2] Policy guidance from Councillors and Iwi representatives on management approaches for addressing resource management issues in Otago forms an important input for the development of regionwide provisions in the proposed LWRP.

[3] On 13 July 2022, ORC staff presented a report to the Strategy and Planning Committee which provided a summary of the feedback and policy guidance on regionwide issues obtained from Councillors and Iwi representatives from previous workshops held between 29 September 2021 and 13 April 2022. In the report ORC staff also sought endorsement from the Strategy and Planning Committee on staff recommendations for proposed policy guidance on three outstanding regionwide issues:

a. The management of industrial discharges in the LWRP.
b. Providing for water storage for the purpose of Renewable Energy Generation (REG) in the LWRP.
c. Overall approach to drafting the regionwide provisions of the LWRP – Use of short-term consents versus consent review processes.

[4] During the 13 July 2022 meeting, the Strategy and Planning Committee noted the policy guidance confirmed by Councillors and Iwi representatives on the Strategy and Planning Committee during previous workshops. However, the recommended policy guidance on three outstanding regionwide issues was not adopted. Instead, the Strategy and Planning Committee sought further discussion on the outstanding regionwide issues at the next Strategy and Planning Committee meeting.

[5] This report addresses the Committee's resolution and sets out the policy guidance recommended by ORC's staff for the three outstanding regionwide issues.

RECOMMENDATION

That the Strategy and Planning Committee:

1) ***Notes** this report.*

2) ***Adopts** the recommended policy guidance for:*
   a. *Management of industrial discharges in the proposed Land and Water Regional Plan.*
   b. *Providing for water storage for the purpose of Renewable Energy Generation in the proposed Land and Water Regional Plan.*
   c. *The approach with respect to the use of short-term consents and consent review processes in the proposed Land and Water Regional Plan.*

BACKGROUND

[6] On 13 July 2022, ORC staff presented a report to the Strategy and Planning Committee which provided a summary of the feedback and policy guidance on regionwide issues obtained from Councillors and Iwi representatives from previous workshops held between 9 September 2021 and 13 April 2022. The report included the following three recommendations:

That the Strategy and Planning Committee:

1) *Notes this report.*
2) *Notes the policy guidance confirmed by Councillors and Iwi representatives on the Strategy and Planning Committee during workshops held between 29 September 2021 and 13 April 2022 and appended as Attachment 1.*
3) *Adopts the recommended policy guidance for:*
   a. *Management of industrial discharges in the proposed Land and Water Regional Plan.*
   b. *Providing for water storage for the purpose of Renewable Energy Generation in the proposed Land and Water Regional Plan.*
   c. *The approach with respect to the use of short-term consents and consent review processes in the proposed Land and Water Regional Plan.*

[7] During the 13 July 2022 meeting the Committee deferred the discussion on those outstanding three topics due to time constraints, and asked that the discussion be brought back to the next Strategy and Planning Committee.

[8] This report brings those three topics back to Committee to enable those discussions to occur. It sets out the policy guidance recommended by ORC staff for the outstanding regionwide issues.

DISCUSSION

[9] The discussion section in this report provides proposed policy guidance on the three outstanding regionwide issues in a table format below. The left column contains Councillor and Iwi representative feedback, as recorded by staff, from the 13 April 2022 workshop on the outstanding regionwide issues. The right column contains the recommended policy guidance and further information on management options.

[10] The text in the tables below is broadly similar to the text included in the table included under paragraph [17] of the report that was presented to the Strategy and Planning Committee on 13 July 2022, except for some additional wording added for clarification. The additional wording is shown in <u>underlined</u> text.

Industrial Discharges

What principles should apply to the management of industrial discharges?	
Cr/ Iwi rep feedback	**Recommended policy guidance (staff derived)**
• Where is the policy at with respect to the management of industrial discharges?	It is recommended to apply the same approach for the management of industrial discharges under the proposed LWRP as that proposed for other types of discharges. This approach will be based on the following principles: • A proactive approach • Comprehensive and integrated approach • Preference for discharges to land • Avoidance of unauthorised discharges • Mandatory improvement to discharge practice/ management • Restrictive; tight discharge limits • No consents unless discharges are treated to high standard.

Overall approach to drafting

Issue: Using <u>consent reviews</u>, as opposed to <u>consent duration</u>, to bring freshwater take and use consents into line with LWRP environmental outcomes.	
Cr/ Iwi rep feedback	**Further information**

• Incentivise longer-term consents and provide for easier consent pathways where:
  ○ evidence is provided that the landholder is contributing towards achieving the environmental outcomes in the plan; and
  ○ the activity is undertaken within the context of catchment-wide approach to water management (i.e., catchment group).
• Incentivise/support the development of catchment plans.
• Provide for non-regulatory tools.
• Provide certainty by granting consents while allowing landholders to adapt to changing conditions.
• Preference for consent reviews as opposed to arbitrary short-term duration.
• Make use of both consent review processes and short-term consents as mechanisms to achieve environmental outcomes, rather
	• Maximum consent terms of 35 years are no longer widespread practice across New Zealand.
	• In some instances, using the review process under s128 of the RMA (Resource Management Act) may go some way towards achieving environmental outcomes, but may not be sufficient to fully achieve these for following reasons:
	  ○ Where the effects of an activity are shown to be detrimental, the s128 review process does not provide ORC with the authority to stop an activity until the consent expires.
	  ○ The ability to impose more effective consent conditions to safeguard the health of freshwater is constrained by the requirement to consider the financial viability of the activity under s131 of the RMA.

	Recommended policy guidance (staff derived)
	• Bring the maximum duration for consents granted by ORC in line with planning practice elsewhere in New Zealand (15 to 20 years). • As a general principle, consent terms should be proportionate to: ○ the degree of environmental risk and uncertainty associated with the activity; and

than solely relying on short term consent only.	○ the state of the source water body or receiving environment. • Where environmental degradation (water quality) and overallocation (water quantity) exist consider applying catchment expiry dates to ensure progress is made towards achieving environmental outcomes within the timeframes set by the visions in the (proposed) Regional Policy Statement (RPS). • Depending on the circumstances, consent review processes and short-term consents can be used as a means of achieving the environmental outcomes set in the LWRP and the visions in the (proposed) RPS. For example, consent review processes can be used where the environmental outcomes for the source/receiving waterbody are being achieved and the health of the water body will not be degraded by the (cumulative) effects of the activity. Preference for short term consents should be given where: ○ The target attribute states, limits and environmental outcomes for key values have not been set in the LWRP; or ○ The environmental outcomes for the source/receiving waterbody are not being achieved and the water body is currently degraded. • When making decisions on resource consent applications, consent durations and the need for review conditions, consideration should be given to the degree to which applicant can provide evidence of being able to make a meaningful and positive contribution towards improving environmental health of the source/receiving waterbody and maintaining the environmental outcomes or achieving these within required timeframes. (This evidence can include catchment plans and non-regulatory tools). • <u>Once take and use consents and/or the allocation regime are in line with achieving LWRP environmental outcomes, the plan will provide opportunities and pathways for longer consent durations to provide more certainty for users within clear environmental limits that will achieve healthy water bodies and community/mana whenua aspirations.</u>

Water storage

Should all renewable energy generation (REG) be provided for, or only low impact renewable options?	
Cr/Iwi rep feedback	**Further information**
• Smaller/medium schemes can be encouraged provided the effects on values e.g., biodiversity, biosecurity, and ecosystems, are minimal and/or mitigated. • Would not want to discourage REG. • Encourage resilience. • Encourage water storage. • Preference for low impact schemes, but awareness of Central Government priorities. • Over time, there needs to be a discussion on giving effect to the NPS-FM hierarchy of obligations. • Policy – if allocation available, then preference for non-consumptive takes. Efficiency is key.	**NPS Freshwater Management 2020** Clause 1.3: Te Mana o te Wai *(1) .... refers to the fundamental importance of water and recognises that protecting the health of freshwater protects the health and well-being of the wider environment. ...* *(2) ... relevant to all freshwater management and not just to the specific aspects of freshwater management referred to in this NPS.* Clause 2.1 Objective *(1) ... natural and physical resources are managed in a way that prioritises:* *(a) first, the health and well-being of water bodies and freshwater ecosystems* *(b) second, the health needs of people (such as drinking water)* *(c) third, the ability of people and communities to provide for their social, economic, and cultural well-being, now and in the future.*[1] Clause 2.2 Policy 7: *The loss of river extent and values is avoided to the extent practicable.* **NPS Renewable Energy Generation (NPS-REG) 2011** Objective: *To recognise the national significance of renewable electricity generation activities by providing for the development, operation, maintenance and upgrading of new and existing renewable electricity generation activities, such that the proportion of NZ's electricity generated from renewable energy sources increases to a level that meets or exceeds the NZ Government's national target for renewable electricity generation.* Preamble of the NPS-REG: "*...this national policy statement does not apply to the allocation and prioritisation of freshwater as these are matters for regional councils to address in a catchment or regional context and may be subject to the development of national guidance in the future*."

[1] NPSFM's s32 analysis report p 46 states:
... renewable electricity generation, ... which is important for meeting the health needs of people (clause (b)) as well as enabling communities to provide for their social, cultural and economic well-being, now and into the future (clause (c))

	Recommended policy guidance (staff derived)

	• Not an overall avoid policy, however:
	  ○ Incentivise small and medium hydro schemes where the environmental effects are minimal and/or mitigated
	  ○ Give preference to resilient and low-impact REG schemes.
	  ○ Extend the principle of efficiency in resource use, to the use of water for REG.
	• Ensure consistency with national climate change targets, the direction set in the NPS-REG and the concept of Te Mana o te Wai (TMOTW) in the NPS-FM by
	  ○ Giving effect to the NPS-REG objective.
	  ○ Recognising that the provision of REG is subordinate to the duty to look after the health and well-being of water bodies and freshwater ecosystems as a first priority (TMOTW).
	• Provided allocation of water is available, non-consumptive takes are preferred.

OPTIONS

[11] As discussed in the introduction of this report, ORC staff require clear policy guidance on the three remaining and outstanding topics outlined above to develop regionwide provisions for the proposed LWRP.

[12] ORC staff seek that the Strategy and Planning Committee endorses the recommended policy guidance on outstanding topics as outlined in the tables above.

[13] The other option would be for the recommended policy guidance not to be endorsed, or an alternative policy direction endorsed. The consequences of that would be further work would be required from staff which would impact on the consultation and engagement programme on the region wide provisions, which is set to commence later in 2022.

CONSIDERATIONS

Strategic Framework and Policy Considerations

[14] ORC is responsible for implementing new national direction and regulations, including by notifying new or updated RPSs and regional plans that set out how ORC will give effect to the relevant higher order documents. ORC has committed to a work programme with the Minister for the Environment which includes notifying the proposed LWRP by December 2023.

[15] The policy guidance provided by the Strategy and Planning Committee is an important input in the development of the LWRP and will enable it to be fit for purpose and give effect to the NPS-FM.

[16] The proposed LWRP will contribute to fulfilling Council's objectives under ORC's Strategic Directions of leading environmental management in Otago, in partnership with mana

whenua; promoting collaboration with territorial authorities and others to achieve resilient and sustainable communities; and promoting a healthy and resilient environment whose capacity for sustaining life and ecosystem heath is enhanced and sustained.

Financial Considerations

[17] The Policy Team administers existing budgets for the development of the LWRP. Any expenditures associated with the development of the LWRP are funded from these budgets.

[18] There are no direct financial implications on the existing budget flowing on from the policy guidance on regionwide issues provided by the Strategy and Planning Committee or from adopting the staff recommendations with respect to the policy guidance for any outstanding regionwide issues

Significance and Engagement Considerations

[19] This step in the development of the LWRP does not trigger ORC's He mahi rau rika: ORC Significance, Engagement and Māori Participation Policy. If the policy guidance is confirmed, this policy guidance will be used for targeted consultation and engagement on the region wide provisions. This consultation and engagement is consistent with the requirements in the NPS-FM.

Legislative and Risk Considerations

[20] The development of the proposed LWRP is a requirement of the NPS-FM. The proposed LWRP will be developed in accordance with the process and other requirements prescribed by the NPS-FM and the Resource Management Act 1991 (RMA).

[21] Consideration of policy guidance provided by Councillors and Iwi representatives at the initial stages of the development of the LWRP assists with ensuring that community and mana whenua concerns and expectations are accurately captured and addressed, and reduces the risk of delays in the timely notification of the LWRP.

Climate Change Considerations

[22] Recognition of climate change and its effects on the health and wellbeing of the people and environment of Otago is one of the matters to which the LWRP needs to respond in order to give effect to the NPS-FM, in particular Policy 4: Freshwater is managed as part of New Zealand's integrated response to climate change.

[23] Previous workshops have considered climate change and how it may affect regionwide matters that will be addressed in the LWRP. Councillors have provided feedback and policy guidance particularly with respect to the management of natural hazards.

Communications Considerations

[24] There are no communications implications to be considered for this step in the development of the LWRP.

NEXT STEPS

[25] ORC staff will use the policy guidance obtained from the Strategy and Planning Committee as an input in the development of the regionwide provisions for the proposed LWRP.

ATTACHMENTS
Nil