ACKNOWLEDGEMENTS

DISCLAIMER

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Summary

This report sets out a proposal for an evaluation framework to assess the implementation and results of Housing Ministers' 10-year Statement of New Directions for Indigenous Housing: '*Building a Better Future: Indigenous Housing to 2010'* (BBF). The proposed evaluation framework has been developed to inform the development of the mid-term review in 2005, and, with appropriate modifications, for the final evaluation due in 2010.

This document sets out a proposed evaluation framework for BBF that provides an overall five-stage process for the evaluation:

1. Development of a statement of requirements;

2. Development of a technical design to meet these requirements through four components, using a mix of existing and additional data, and including a conceptual model for analysing patterns in the data to support appropriate generalisation to other sites, time periods and jurisdictions;

3. Conduct of data collection and analysis according to technical design, adapted if necessary to address emerging issues, and development of report;

4. Use of evaluation report;

5. Processes for managing the evaluation process and products.

The current project, developing an evaluation framework for BBF, ends at the completion of part two, the technical design of the evaluation framework. This is shown shaded in the following diagram.

Overview of the Evaluation Framework

1. Statement of requirements	**5a. Processes for managing the evaluation process and products.**

2. Technical design
 	
  A. Reporting across the breadth of BBF for each jurisdiction.
  B. In depth case studies of particular issues and examples.
  C. Processes for additional input (providing data and raising issues) from those providing or receiving Indigenous housing services and related services.
  D. Cooperative process and conceptual model for interpreting data.	

3. Implementation of data collection, analysis, interpretation and reporting	**5b. Processes for managing the evaluation process and products.**
4. Using evaluation and developing action plans	

Distinguishing between achievements, results and outcomes

The BBF Statement covers four different types of intended effects: principles, objectives, intended outcomes and a vision, all of which are relevant to the evaluation framework. For this reason, we have used the term 'results' to refer to the full range of intended and actual effects of BBF, and 'outcomes' to refer to the intended outcomes of BBF as described in the statement. The evaluation framework focuses on the achievements of BBF in terms of activities (and extent of implementation) and results. It also aims to identify and document learnings from the first 5 years of implementation.

Distinguishing between achievements, results and outcomes

Achievements	Activities	
	Results	Principles
		Objectives
		Outcomes
		Vision

Overview of the framework

The **first** part of the overall evaluation framework, the statement of requirements, briefly sets out the purpose of the mid-term review, the intended audiences, values on which the evaluation will be based, resources and constraints that affect the evaluation, and the key evaluation questions that it will answer.

Key Evaluation Questions

> **Extent of Implementation:**
>
> To what extent has BBF been implemented in each jurisdiction?
>
> **Achievements:**
>
> What have been the results of BBF – intended and unintended?
>
> To what extent has BBF contributed to improved Indigenous housing results as outlined in the document – better housing, better services etc?
>
> What has been achieved in each jurisdiction?
>
> **Future Activities:**
>
> How could BBF strategies be improved to deliver improved housing results for Indigenous Australians?

The **second** part of the overall evaluation framework, the technical design, sets out a four-component process for data collection and analysis to answer these evaluation questions and meet the requirements for the evaluation.

Component A focuses on the breadth of BBF-related activity in each jurisdiction and across all specified intended outcomes. It draws largely on available data, together with some reporting from jurisdictions and about jurisdictions particularly in relation to partnership results.

Component B focuses on particular issues and examples in depth, using strategic case studies. This second component can be expanded or reduced in scope in response to availability of resources for the evaluation (both in terms of funding for an external evaluator and in-kind support from jurisdictions).

Component C provides an opportunity for input into the mid-term review from those who provide or receive Indigenous housing services, in addition to the consultation processes currently in place in each jurisdiction.

Component D involves cooperative analysis between the external evaluators and jurisdictions to interpret the data to identify areas where the implementation of BBF could be improved and develop appropriate recommendations (the fifth evaluation question). This component includes a conceptual framework for analysing data and reporting within and across jurisdictions: under what circumstances have particular activities contributed to particular outcomes? This conceptual framework will facilitate appropriate generalisation of findings from the review to future implementation of BBF at different sites and jurisdictions, and will be particularly relevant in the in-depth case studies.

The **third** part of the evaluation framework, implementation of this plan for data collection and analysis, is expected to take place from September 2005 to June 2006. It is strongly recommended that a staged rollout is used, where the framework is implemented for one or two jurisdictions initially, to develop the implementation detail that is needed, and to test the usefulness of the reports that are developed, before rolling it out to all jurisdictions.

The **fourth** part of the evaluation framework involves processes for using the findings and recommendations from the evaluation, including guiding development of specific policies, strategies, action plans within housing departments, and using them in discussions and negotiations with other government departments, central government agencies, and other relevant organisations.

The **fifth** part of the evaluation framework, the processes required for effective management of the process and products, continues throughout the project. It is expected that SCIH will be the major vehicle for this, together with a smaller evaluation steering or reference committee overseeing the research project that will be the means for conducting the mid-term review.

Overview of this document

This document sets out the proposed evaluation framework in detail, particularly suggested sources of data to answer the key evaluation questions. Appendices provide the full text of the BBF agreement, details of the process used to develop this evaluation framework, and detailed matrices of data sources.

Volume 1 of this document sets out the background and methodology for the research project that developed this proposed evaluation framework.

1 Statement of Requirements

1.0 Overview of the requirements for the evaluation

This section of the framework sets out the requirements for the evaluation, developed as part of the AHURI research project to develop the framework. This statement has been based on consultations, document review, review of previous research and evaluation in Indigenous housing, and feedback on an initial draft of the framing document: The requirements address the following framing questions:

1. What is the purpose of the evaluation?

2. What are the boundaries of what is being evaluated?

3. Who is the audience?

4. What values underpin the evaluation?

5. What are the resources and constraints?

6. What are the key evaluation questions?

7. What are the differences between the mid-term review and the final evaluation?

1.1 What is the purpose of the evaluation?

This framework is intended to guide two evaluations – the mid-term review, due in 2005-2006, and the end-of-term evaluation due in 2011. Both reviews are intended, ultimately, to contribute to improved Indigenous housing, and subsequently to improved health and wellbeing for Indigenous people.

The mid-term review is intended to assist improvements to the implementation of BBF in its second five years, and to lay the groundwork for the final review through:

- Developing a summary statement of progress in relation to stated outcomes, processes and unmet needs to inform decisions about priorities and resource allocation within housing budgets, and to inform discussions and negotiations with other government departments and agencies, including central agencies;

- Identifying and documenting areas where significant progress has been made, and understanding how these have been achieved, to support efforts to maintain and extend this success through appropriate generalisation to other sites and other jurisdictions, including discussions and negotiations with other government departments and agencies, including central agencies;

- Identifying and documenting areas where significant progress has not been made, and understanding the obstacles and difficulties, to inform decisions about changes to implementation in the second five years, including discussions and negotiations with other government departments and agencies;

- Analysing the contextual factors that have contributed to BBF implementation and outcomes in particular sites, organisations and jurisdictions to support appropriate generalisation to other situations;

- Providing a record of the development and implementation of BBF to inform future policy development and implementation;

- Affirming and reinforcing the objectives, intended outcomes, vision and principles of BBF.

1.2 What are the boundaries of what is being evaluated?

BBF is a 10-year intergovernmental commitment involving Australian government, State and Territory Housing Ministers, together with the then Australian government Minister for Reconciliation and Aboriginal and Torres Strait Islander Affairs, that sets out new directions in Indigenous housing policy. A copy of the full BBF statement can be found in Appendix 1.

Unlike most evaluations, what is being evaluated is not a discrete program, policy or project, nor a clearly identifiable funding stream. It is therefore important to include the range of activities that contribute to improvements in Indigenous housing, including:

- Policies of housing and other departments that influence housing outcomes;

- Strategies;

- Programs and Services; and

- Physical infrastructure support.

The evaluation needs to adequately reflect the diversity of these activities across the various jurisdictions, where each has particular issues, priorities and opportunities.

The evaluation also needs to report on outcomes in terms of Indigenous housing, and subsequent outcomes of health and wellbeing, across all forms of tenure:

- social housing, (including Indigenous-specific housing, mainstream housing, government housing and community organisation housing);

- private rental housing;

- home ownership; and

- special needs accommodation.

While much of current BBF reporting understandably focuses on social housing, particularly housing provided by Indigenous Community Housing Organisations, it is important for the review of BBF to include all types of tenures, the activities of the jurisdictions in relation to each of these, and the contributions of other agencies.

1.3 What values underpin the evaluation of BBF?

Values about BBF

The BBF statement sets out the intended results, and processes to achieve these results and these will be used to underpin the evaluation.

The evaluation of the distribution of benefits under BBF should take into account both its universal application – to all Aboriginal and Torres Strait Islander people throughout

Australia, regardless of housing tenure – and the emphasis on addressing households and communities with the greatest unmet needs.

Values about evaluation

The broad values underpinning the mid-term review of BBF, endorsed by SCIH at their meeting of April 2004, are:

- Utility
- Credibility
- Ethics;
- Feasibility.

These different values will need to be balanced in the evaluation. For example, the scale of the evaluation will be influenced by both the need to provide useful and credible information to stakeholders and the need for cost effectiveness. These values will also apply to the final evaluation of BBF in 2011.

The framework is based on the understanding that these values mean that the evaluation needs:

- To involve stakeholders in the planning, conduct and reporting of results to ensuring that the evaluation provides the information needed by intended users;

- To be accurate in its descriptions, using defensible information sources, providing details of the evaluation purpose and procedures, reaching justifiable conclusions and providing impartial reporting;

- To be conducted with due care for the welfare of those involved in the evaluation as well as those who will be affected by the results;

- To be realistic within constraints of time, money, available data and other resources, and be cost effective.

In particular, the evaluation needs to meet obligations (under the Guidelines for Ethical Research in Indigenous Studies (May 2000) developed by the Australian Institute of Aboriginal and Torres Strait Islander Studies, the Agreement on National Indigenous Housing Information, and the AHURI Ethical Principles and Guidelines for Indigenous Research) for Indigenous involvement in, and benefit from, evaluation projects, including capacity building in Indigenous communities and organisations (detailed in Appendix 3). One form that this capacity building could take is the employment of one or more Indigenous researchers to work with the evaluation team across all components of the review. Another form would be the employment of local Indigenous community members on site-specific case studies.

The evaluation should take account of, and meet the requirements for, the Australasian Evaluation Society's Guidelines for the Ethical Conduct of Evaluation (set out in Appendix 4).

1.4   Who is the audience for the evaluation?

The major audiences for the mid-term review and the final evaluation are the parties to the BBF commitment: Australian governments including Housing Ministers, State and Territory administrators/policy makers including central agencies; as well as Indigenous community housing organisations and other housing and housing related agencies. These audiences will primarily be addressed through HMC, HMAC, SCIH and Indigenous community housing peak bodies.

Other parts of government are also important audiences, including other departments and agencies and central agencies, especially in terms of whole-of-government strategies (across levels of government and across different departments within a level of government) and resource allocation across government.

In addition, those who are providing or receiving housing assistance are an audience, including Indigenous community housing organisations, and Indigenous communities and their representatives. In accordance with ethical principles researchers, and Indigenous organisations and individuals participating in case studies, will agree at the planning stage on how findings are to be reported. Several different reports will be needed to address the diverse information needs of these different audiences.

1.5   Resources and constraints

Timelines

This project assumes that the BBF mid-term review is required to be completed by June 2006. The final evaluation of BBF is due in 2011.

Existing data

There are considerable existing data and reporting systems that will be useful for the mid-term review and should be used wherever possible. Appendix 5 sets out the key sources of existing data that will be drawn on.

It is clear that significant work has been done to develop common reporting frameworks and datasets in the area of Indigenous housing, and these are still being developed. There are generally good data available about the quantity and quality of Indigenous housing provided by Indigenous Community Housing Organisations and State Housing Authorities, but little reliable information about housing assistance provided to Indigenous people through mainstream housing and homelessness assistance programs.

Currently, States and Territories are reporting annually against BBF desired outcomes using the quantitative and qualitative indicators in the National Reporting Framework. Data provided by ICHOs and SOMIH is incrementally updating and refining data sourced from the 2001 Census and the Community Housing Infrastructure Needs Survey 2001.

The qualitative reports provided by jurisdictions for the BBF Outcomes Report 2002/03 and BBF Outcomes Report 2003/04 are a rich source of information and an initial

analysis suggests some scope for increasing the standardisation of qualitative data through a level of common reporting.

As part of the NRF there are plans to collect data from Indigenous housing clients about their satisfaction with the location and amenity of their housing as well as satisfaction with the quality of services provided however these indicators will not be reported on in the 2003/04 Outcomes report.

Additional resources for the evaluation

It has been assumed that the resources for the mid-term review will include funding to employ an external evaluation team and in-kind contributions from each jurisdiction to work collaboratively with the evaluation team.

 The evaluation team has been asked to develop three broad options for the framework, with different resourcing implications. Rather than seeing the three options as discrete alternatives, they are best seen as options along a continuum from minimalist to extensive.

Table 2   Evaluation Framework Continuum of Options

Options:	1. Minimalist	2. Hybrid	3. Extensive
Differences in evaluation process	Largely a desk audit re-analysing existing data. Centralised evaluation by an external evaluator	Participation and consultation	Highly consultative and participatory
Differences in data sources	Existing data only	Strategic combination of existing and new data	Substantial additional data collection
Disadvantages	Does not meet guidelines for consultation in Indigenous research. Would not answer all the evaluation questions		Substantial consultation likely to exceed available budget and time allocation

We are recommending the option in the middle of these extremes.

The proposed hybrid option will combine:

- existing data for each jurisdiction in terms of activities and achievements (relating to the vision, objectives, outcomes and principles outlined in BBF);
- some additional data to fill gaps; and
- strategic case studies focusing on particular issues or examples.

The exact operationalisation of the framework will be finalised as part of contract negotiations for the conduct of the mid-term review, including identifying which resources will be met through jurisdictional in-kind resources and which through funding external evaluators.

What are the key evaluation questions

The key evaluation questions to be answered through implementation of the framework are:

Extent of Implementation

To what extent has BBF been implemented in each jurisdiction?

Achievements

What has been achieved in each jurisdiction?

What have been the results of BBF – intended and unintended?

To what extent has BBF contributed to improved Indigenous housing results as outlined in the document – better housing, better services etc?

Future Activities

How could BBF strategies be improved to deliver improved housing results for Indigenous Australians?[1] (Mid-term review)

In the policy context of 2011 how could BBF be improved to realise the commitment of governments to improving the health and wellbeing of Indigenous people through improved housing? (Final evaluation)

1.6 What are the differences between the mid-term review and the final evaluation?

The main differences between the mid-term review in 2005 and the final evaluation of BBF in 2011 relate to:

- stages and extent of development and implementation of strategies;

- availability of time series data;

- purposes – the findings of the mid-term review of BBF will inform the implementation of BBF over the remaining five years of the agreement while the final evaluation will consider the future of BBF as a framework for improving Indigenous housing results;

- level of resourcing available and details of methodology (eg more extensive consultation process, additional data analysis for the final evaluation);

- policy contexts.

The mid-term review will focus on measurable achievements, in terms of the development of policies and strategies, the implementation of activies, and the results achieved where result data are available for strategies that are well progressed in their

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[1] These are the same five evaluation questions set out in the AHURI project brief, reordered into three categories, and with the final question changed from a Yes/No question.

implementation – or to provide a point of comparison for the 2010 final evaluation. Indicators based on the Census and the Community Housing Infrastructure Needs Survey will not be updated in time for the mid-term review, limiting the availability of time series data.

The final evaluation in 2010 will have more emphasis on measuring results achieved, and will benefit from data collected and data collection methods (including case studies) developed in the mid-term review.

2 Technical Design

2.0 Overview of the four components of the technical design

The technical design involves four components.

Component A This component draws largely on available data, together with some reporting from jurisdictions focuses on the breadth of BBF-related activity in each jurisdiction and across all specified intended results. Suggestions for the collection of some additional data are included. The extent of additional data collected at a national level can be adjusted in line with resources. More extensive national, level-time series data will be available for the final evaluation.

Component B focuses on more in-depth case studies of a few strategic issues or examples. In-depth analysis of specific issues can support innovative problem-solving as the dynamics of a system are better understood. Case studies are also useful vehicles for disseminating information about lessons already learnt and encouraging the adoption of new approaches. The case study methodologies will be developed to meet the requirements of specific issues and to ensure that findings inform the future implementation of BBF. Case studies may involve fieldwork that provides benefits to participating ICHOs or Indigenous communities. This second component can be expanded or reduced in scope in response to availability of resources for the evaluation (both in terms of funding for an external evaluator and in-kind support from jurisdictions).

Component C provides an opportunity for input into the mid-term review from those who provide or receive Indigenous housing services, in addition to the consultation processes currently in place in each jurisdiction. This component is important in two different ways:

- providing scope for additional answers to the evaluation questions; and

- providing scope for raising additional evaluation questions.

Consultations with key stakeholders, will be particularly valuable in providing information on the unintended results of BBF, unidentified activities that have contributed to or hindered improved housing results and judgements of the helpfulness (or otherwise) of BBF activities in achieving desired results. This component will also help to answer the 'why' underlying the key evaluation questions.

Component D focuses on the final evaluation question and involves cooperative analysis of the evidence to identify opportunities for improvement. This component draws together the information gathered in components A, B and C.

While these are shown separately and sequentially, iterations and combinations are likely; for example, presenting a summary of reported results to a group of service users as part of inviting both their interpretation and additional data or suggestions about additional data to be included.

Table 3   Relationship between components of the evaluation framework and key evaluation questions.

Key Evaluation Questions	A Reporting across all jurisdictions	B Strategic Case Studies	C Additional input	D Review and interpretation of results
Q1. To what extent has BBF been implemented in each jurisdiction?	Major source Reporting against BBF strategies		Additional source – especially for identifying why	
Q2. What has been achieved in each jurisdiction?	Major Source Reporting across all activities	Analysing a particular highlighted examples in each jurisdiction	Additional source – especially for identifying why	
Q3. What have been the results of BBF - intended and unintended?	Major source	Additional source	Additional source – especially for unintended results	
Q4. To what extent has BBF contributed to improved Indigenous housing results	Major source at the macro level	Major source for understanding causal contribution in specific cases	Possible additional source	
Q5. How could BBF strategies be improved to deliver improved housing results for Indigenous Australians?			Additional source	Major source

2.1 Program Logic Matrix

Overview

The BBF Program Logic Matrix presented in Appendix 6 (a separate document in A3 format) is a central part of the evaluation framework. It is based on Funnell's Program Logic Matrix (1997, 2000)[2]. The vision, desired outcomes, principles, objectives, and strategies articulated in the BBF statement are summarised in the matrix, organised into 7 result areas.

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[2] Funnell, S. (1997), 'Program Logic: An Adaptable Tool for Designing and Evaluating Programs', *Evaluation News and Comment*, Vol.6, No.1, July 1997, pp. 5-7.
Funnell, S. (2000). Developing and using a program theory matrix for program evaluation and performance monitoring. In P. Rogers, T. Hacsi, A. Petrosino, & T. Huebner (Eds.), Program Theory in Evaluation: Challenges and Opportunities, New Directions for Evaluation, 87, 91-101. San Francisco, CA: Jossey-Bass Publishers.

The columns describing results areas and what success looks incorporate the vision, outcomes, principles, objectives and some strategies. Most strategies are included in the description of activities.

Relationship to results identified in BBF statement

In addition to the BBF statement, Appendix 6 has been informed by the work plans and quarterly reports of the Standing Committee on Indigenous Housing's working groups and the National Project Officer for the National Skills Development Strategy, and other BBF documentation. The results areas in the BBF Program Logic Matrix are based on the desired results articulated in the BBF statement and have been informed by the frameworks used in the 'Overcoming Indigenous Disadvantage' report and CSHA reporting.

While all desired results from BBF are included, the organisation of results areas in the Program Logic Matrix varies from the BBF results in the following ways:

- Coordination of services is included under improved partnerships between and with governments rather than as a separate results area. Improved coordination of housing and related services at service provision level is included under improved partnerships between housing providers and relevant services (6.4);

- Additional partnerships have been explicitly identified in addition to improved partnerships between Indigenous people and Government;

- Improved performance linked to accountability is included under the results area of Improved Effectiveness and Efficiency.

Overview of results areas

The first results area reflects the overall aim of BBF: improved health and wellbeing of Indigenous people and communities. The Overcoming Indigenous Disadvantage report (2004) identifies the following performance indicators in the strategic action area of Effective Environmental Health Systems:

- rates of disease associated with poor environmental health (including water and food borne diseases, trachoma, tuberculosis and rheumatic heart disease);

- access to clean water and functional sewerage; and

- overcrowding in housing.

Housing results interact with a range of non-housing factors to influence health and wellbeing. In this framework rates of disease associated with poor environmental health have been chosen as health and wellbeing indicators that are likely to be directly influenced by improved housing. Overcrowding and access to water and sewerage are included in results area 3 as indicators of better housing. Appendix 7 shows how overcrowding is understood to influence health and wellbeing.

Self-assessed health status is a robust indicator of overall health that is also likely to be influenced by improved housing, responsiveness to local needs and greater opportunities for participation in housing planning, management and evaluation.

Results area 2, Indigenous self-determination and economic independence of Indigenous communities, is also influenced by non-housing activities. The indicators in the BBF program logic matrix assess the contributions BBF has made to self-determination and economic independence.

Results area 3, Better housing includes the indicators of improved environmental health identified in the OID report: connections to water and functional sewerage systems. Affordability is also considered. Other indicators of better housing such as security of tenure, tenant perspectives on amenity, location, and quality have not been included because of the lack of available data.

Results area 4, Better housing services, identifies different performance indicators for mainstream and Indigenous housing providers. Performance indicators for mainstream services focus on improving appropriateness of services. The priority for ICHOs is evidence of improved effectiveness and efficiency.

Results area 5, More housing, is concerned with increases in the supply of Indigenous specific housing and improvements in access for Indigenous people to the range of mainstream housing options.

Results area 6 groups together the range of partnerships that need to be fostered to realise the vision of BBF.

Results area 7 focuses on the improved effectiveness and efficiency through action at the national level. Measures of the effectiveness and efficiency of Indigenous housing providers are included in result area 4, better housing services as indicators of the sustainability and accountability of ICHOS.

Contents of the matrix

The matrix maps the following details for each of the intended results areas:

- activities undertaken under the umbrella of BBF,

- evidence available to measure the implementation of activities,

- an assessment of factors influencing the achievement of desired results (both eternal to and under the influence of BBF),

- what success looks like, and

- how achievements can be measured.

Data that will inform both the mid-term review and end-of-term evaluation of BBF are included in the matrix, data that will not be updated in time for mid-term is indicated by a lighter font.

The columns detailing evidence about activities and other factors that influence results will, along with data collected during consultations and case studies, inform an assessment of the implementation of BBF that considers:

- Which aspects of BBF have been fully implemented and where?

- What has supported implementation?

- Which aspects of BBF require further implementation and where?

- What barriers have limited implementation of BBF?

Using the matrix to guide decisions about data collection and retrieval

The information provided by the data sources in the matrix will be supplemented by information gathered from case studies and consultations with stakeholders. Italics indicate that information will be supplied by jurisdictions, in some cases sourced from Indigenous Community Housing Organisations. The content, structure, data definitions, collection methods when relevant, and timelines for the provision of reports will be negotiated with jurisdictions to ensure consistency.

The extent of additional data collection or collation across all jurisdictions can be adjusted in line with the availability of resources. Potential additional data identified in Appendix six could be picked up as in case studies in the mid-term review rather than being implemented across all jurisdictions. The area of partnerships is outlined below as an example of different options for data collection.

Information about the level of contact between government departments and ICHOs (or Governments and Indigenous communities) can be collected through a document review of: formal processes for consultation and negotiation; attendance records at meetings; records of correspondence; involvement in joint projects etc. Consulting ICHOs and Governments about their level of satisfaction with working in partnership would provide additional data. A high level of satisfaction and attendance at meetings would validate existing processes while low levels of satisfaction would indicate a need to review the functioning of the partnership.

An alternative approach, informed by research demonstrating that high levels of trust underpin successful partnerships, could include a formal assessment of the quality of the partnership based on tools such as the Vic Health Partnership Analysis Tool. A low level of trust would indicate a need to commit resources to partnership development (eg agreeing on common goals and shared incentives, negotiating differences of opinion) as a pre-requisite to improved implementation of BBF strategies.

Choices about what additional information to collect on a national basis will be influenced by the costs incurred in collecting the data and its value in informing future priorities. Differences in IT systems and scale of Indigenous housing mean that jurisdictions are best placed to estimate the cost of additional data collection to both departmental staff and staff of ICHOs.

A comprehensive database of both qualitative and quantitative data collected from jurisdictions will be developed in this component of the framework. The database will be a resource for the final evaluation. As the mid-term review progresses additional activities will be identified through reviews of documentation held by jurisdictions and through consultations. The refined program logic matrix that will be developed through the mid-term review will provide a summary record of activities that, along with the

database, will facilitate planning and implementation of the final evaluation of BBF in 2011.

2.2 Reporting across all of BBF for each jurisdiction (Component A)

Component A will build on the considerable work that has already been undertaken in terms of the development of indicators, data collection and reporting systems that relate to the strategies and results of BBF. Appendix 5 sets out the major available data sources. Table 5.1 is a summary list of data sources showing the availability of data at 2001, 2005 and 2010. Table 5.2 provides details of information available from each source and notes data limitations.

For each jurisdiction, data will be retrieved from existing data sets and reporting to produce an overall assessment of the extent of implementation of BBF and the results that have been achieved.

Additional data will be retrieved or generated to cover some gaps in the current data, in particular:

- The addition of data about Indigenous housing results in terms of Indigenous hostel accommodation and Indigenous home ownership schemes, to ensure all types of tenure are covered;

- Data gathering about a broader range of partnership activities and achievements in fostering results than is currently undertaken;

- Relevant strategies, reviews and project evaluations held by jurisdictions.

Working with each jurisdiction to retrieve relevant data, the evaluation will produce a description for each jurisdiction that reports on progress in terms of implementation and results, together with an explanatory statement from the jurisdiction.

The evaluation will also combine these descriptions to provide a total picture for Australia, and to describe the differences between jurisdictions.

Please note that in jurisdictions where there are only one or a few indigenous housing organisations agreement should be reached about exemptions from collecting and/or reporting data if anonymity is required for information not publicly available. (For example if surveying levels of trust between ICHOs and government departments.)

Gathering together these documents could also assist in fulfilling the BBF commitment to developing a clearing-house of research in Indigenous housing.

2.3 Strategic in-depth case studies (Component B)

For component B, each jurisdiction will nominate a small number of cases to be highlighted through in-depth case studies, including particular projects, sites and strategies, and particular issues. It is envisaged that each jurisdiction would nominate at least two case studies, and at least one of these would be undertaken in each jurisdiction. The final selection of case studies will be made in consultation with all jurisdictions to ensure coverage of all major issues and to match with resource availability. Case studies will document and seek to understand both the achievements under BBF (and what contributed to these achievements) and the difficulties that have been faced, including those that still impede progress.

Each case study will aim to both document and understand the particular case, and to explore implications for appropriate generalisation to other sites, times, and jurisdictions.

Data collection and analysis for each case study will be developed to meet the particular needs of the case study. In some cases it could focus on documentation review and interviews with key informants; for some other cases, data could be collected through site visits, interviews with community members, stories, and photographs of housing stock and infrastructure.

The following conceptual framework will underpin the case studies.

Under what circumstances ...	Do particular activities...	Contribute to particular results?
For example:	For example:	For example:
Context in terms of households and communities – type of tenure, size, age, urban/regional/rural/remote	Policies	Quality of housing, including fitting needs
	Strategies	Reduction in homelessness and overcrowding
	Direct service delivery	
Context in terms of dwellings – size, age, climate, urban/regional/rural/remote	Funding of service delivery by other agencies	Sustainable Indigenous Community Housing Organisations
	Building of physical infrastructure	
Context in terms of policy environment, activities of other agencies	Training and other human capital capacity development	Health and wellbeing
	Networking and service delivery	

For example, a case study may focus on locations where social housing is available for purchase by tenants and consider how home ownership contributes to the quality and affordability of housing, and sense of wellbeing in different locations and for different household types.

Evidence for each of these will be a combination of qualitative and quantitative data, drawing on detailed analysis of available documentation, together with additional data

collection, including site visits where necessary. These case studies provide an opportunity to fill gaps in available data, especially relating to consumer perspectives on housing services, the quality of housing, housing preferences, and service co-ordination at the local level.

The sites and methods will be developed in consultation with housing departments and Indigenous housing providers.

Options for case study topics and methods can be considered in terms of:

- Documenting exemplary practice;

- Exploring in detail known barriers to implementation;

- Evaluating in more depth the implementation and results of BBF strategies that are well advanced eg NSDS;

- Exploring causal relationships between activities and achievements;

- For example, what has been the relationship between increases in housing supply, reductions in overcrowding, and improved health and wellbeing, taking into account other influencing factors (see Appendix 7 for a possible causal map).

- Following up the analysis of existing data;

For example, if policies to improve the cultural appropriateness of mainstream social housing services resulted in an increase in use of services by Indigenous people in some services and not in others a case study could explore the circumstances that contribute to differences in the effectiveness of different strategies.

Some possible topics for case studies, based on feedback during development and revision of the framework are outlined in Appendix 8.

The implementation of this component will need to accord with principles of ethical research and evaluation. For example, processes should be developed to foster active participation of those most closely involved with the case studies, as well as ensuring the processes are non-intrusive and where possible foster capacity building. This could involve employing Indigenous people on the site as co-researchers or group facilitators. It could also ensure that processes are developed that provide benefits to the communities or groups participating, and that ensure Indigenous communities have effective control of the processes and techniques.

Other jurisdictions will be involved in reviewing initial drafts of these case studies and advising on revisions to ensure they provide useful information for the future development of BBF.

The choice of case studies should be informed by:

- Capacity of findings to inform future implementation and fill gaps in existing knowledge;

- Opportunities to develop specific benchmarks based on available data, against which to assess the success of the implementation of BBF strategies and results achieved in 2011;

- Interest in trialing methods and/or developing tools that can be more broadly implemented in the final evaluation of BBF;

- Opportunities for community participation and capacity building.

2.4 Additional input (Component C)

Component C provides an opportunity for additional input. Given the broad scope of BBF, it is important to develop a process for additional input from a range of stakeholders including those receiving or providing Indigenous housing services about achievements, difficulties and issues. This is particularly relevant for identifying unintended results of BBF that may not be apparent to those implementing BBF strategies.

Input will be sought from identified stakeholders, including service providers and service users in two components.

The first component will focus on **service providers**, particularly key departments involved in providing housing and housing-related services, ensuring that a whole-of-government approach is incorporated. This component will use traditional consultation approaches and will target senior government personnel. Some of this has already been undertaken in the development of the evaluation framework, and the summary report of this consultation will be available to inform the mid-term review.

The second component will focus on **other stakeholders**, identified through the first component, and through review of documentation. These stakeholders include:

- Indigenous community housing providers;

- A selection of Indigenous non-housing providers;

- Mainstream organisations that offer services to Indigenous clients;

- Indigenous housing and housing service consumers – including those on waiting lists.

- Targeted individuals – researchers, users, providers, trainers, builders, social commentators who are recommended during consultations for their capacity to provide informed, critical comment.

In order to keep this component cost-effective and timely, and to comply with ethical guidelines for Indigenous research, realistic opportunities need to be created for participation. This could include a range of techniques including:

- Formal interviews with a limited sample of Indigenous community housing providers (identified and facilitated by each jurisdiction).

- Telephone interviews with a selection of Indigenous service providers.

- Mailed or emailed survey of mainstream organisations providing services to Indigenous clients.

- Focus groups or other techniques for face-to-face consultation with a purposive sample of Indigenous communities covering a range of locations and tender types, facilitated by Indigenous co-researchers who speak local languages where relevant. This may require funding for travel and time costs of participants. A training component for Indigenous researchers could be developed as a capacity building strategy as part of the mid-term review.

- A publicity campaign with tailored information resources to facilitate the participation of Indigenous communities and individuals.

- Distribution of postcards to a range of mainstream and Indigenous service providers for placing in accessible locations. These would include space for written comments (with a freepost address) as well as a 1800 number linked to a telephone answering service to record verbal feedback on Indigenous housing issues.

- Employing senior Indigenous community members to publicise the evaluation and encourage participation by Indigenous communities and organisations.

The processes for this component of the technical design will be further developed in consultation with jurisdictions and Indigenous Advisory Groups

2.5 Review and interpretation of results (Component D)

To answer the final key evaluation question, about potential improvements to BBF implementation, requires review and interpretation of the range of results obtained in components A, B and C. This will be undertaken by the evaluation team working with key stakeholders in each jurisdiction and finally with a nominated national group of key stakeholders to develop an agreed report.

Consultation with Indigenous communities and organisations (involvement in decision-making about the evaluation, and interpretation of results, as distinct from data-gathering) will be achieved in two main ways. The evaluation will work through existing consultative processes in each jurisdiction as appropriate. In addition, for individual case studies, the evaluation will develop particular consultation processes as necessary.

Participatory process to develop shared knowledge or stories about the meaning of the data, and the implications of this knowledge, will support the further development of partnerships that are part of the vision of BBF as well as being consistent with Ethical guidelines. Processes that acknowledge, respect and work with differences in values will be employed to develop shared understandings of the results and how to move forward.

The conceptual framework underpinning the case studies (under what circumstances do particular activities contribute to particular results) will also be used in the overall review and interpretation of results.

At the end of the process for reaching agreement on the interpretation of findings the evaluation team will seek feedback on the processes and findings of components A to D of the mid-term review to inform planning for the final evaluation of BBF in 2011.

3 Implementing Data Collection/Retrieval and Analysis

This report assumes that the mid-term review will be undertaken from September 2005 to June 2006.

It is strongly recommended that data collection be implemented through a staged rollout, and that a process for reviewing and refining data collection processes be agreed upon to address issues emerging during this staged rollout. The accessibility and usability of data held by jurisdictions needs to be further assessed and trialled, particularly in terms of the resources required to gather data into a consistent format.

One or two jurisdictions would be initially selected to develop the first component (description across the breadth of BBF activity) in order to develop efficient data processing methods and to ensure the resultant report was going to be in a useful form. Similarly, one or two strategic case studies would be undertaken very early to develop appropriate reporting formats.

4 Using the Evaluation

The final stage of the process, considering and responding to findings, is expected to be undertaken over a four month period from the end of the review. The external evaluation team may play a role in briefing jurisdictions on the results from the mid-term review and their possible implications.

5 Managing

It has been assumed that the overall management of the mid-term review and final evaluation will be done by SCIH, in conjunction with an evaluation steering committee or reference group developed to oversee the mid-term review.

An Indigenous Advisory Group is proposed in each jurisdiction to advise on consultation process undertaken in all components of the evaluation. It is proposed that the composition of the advisory groups would be negotiated with jurisdictions and where appropriate existing Indigenous advisory structures would be utilised.

Indigenous Coordination Centres (ICCs) are being established to work with Indigenous Communities, and states and territories, to maximise the impact of coordinated service delivery strategies and will initially cover the Community Housing and Infrastructure Program (CHIP) as well as community development and employment, broadcasting, culture and heritage. ICCs will be mapping arrangements for stakeholder engagement and may be appropriate structures for coordinating advice on consultation processes with Indigenous people during the evaluation of BBF.

The external evaluator will be responsible for the management of the four components of the technical design.

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Appendix 1: The BBF statement

Building a Better Future: Indigenous Housing to 2010

The Vision

> *A VISION FOR BETTER INDIGENOUS HOUSING*
> *Aboriginal and Torres Strait Islander peoples throughout Australia will have:*
>
> - *access to affordable and appropriate housing which contributes to their health and wellbeing;*
>
> - *access to housing which is safe, well-designed and appropriately maintained.*
>
> *There will be a vigorous and sustainable Indigenous community housing sector, operating in partnership with the Commonwealth and State, Territory and Local Governments.*
>
> *Indigenous housing policies and programs will be developed and administered in consultation and cooperation with Indigenous communities and with respect for Aboriginal and Torres Strait Islander cultures.*

The Challenge

As the new century begins, Aboriginal and Torres Strait Islander people still typically endure much lower standards of housing than other Australians. Redressing this unacceptable situation will be one of the important challenges for public policy over the next decade. It will require a sustained and concerted effort by governments in close partnership with Indigenous people.

Commonwealth, State and Territory Housing Ministers, together with the Commonwealth Minister for Reconciliation and Aboriginal and Torres Strait Islander Affairs, affirm their commitment to a national effort to make a real difference in housing and environmental health outcomes for Indigenous Australians.

This document outlines the new directions for improving Indigenous housing over the next ten years.

Indigenous community housing organisations have played an important role in providing housing in all parts of Australia, and under the new directions their role will be further strengthened. Indigenous control and management of housing enables communities to make or influence decisions about their future. It also facilitates community ownership of housing resources, contributing to the economic independence of communities.

Desired outcomes

The new directions for Indigenous housing aim to achieve the following outcomes:

- **better housing:** housing that meets agreed standards, is appropriate to the needs of Aboriginal and Torres Strait Islander people, and contributes to their health and wellbeing;

- **better housing services:** services that are well managed and sustainable;

- **more housing:** growth in the number of houses to address both the backlog of Indigenous housing need and emerging needs of a growing Indigenous population;

- **improved partnerships:** ensuring that Indigenous people are fully involved in the planning, decision making and delivery of services by governments;

- **greater effectiveness and efficiency:** ensuring that assistance is properly directed to meeting objectives, and that resources are being used to best advantage;

- **improved performance linked to accountability:** program performance reporting based on national data collection systems and good information management; and

- **coordination of services:** a 'whole of government' approach that ensures greater coordination of housing and housing-related services linked to improved health and wellbeing outcomes.

BUILDING A BETTER FUTURE

This part sets out the principles, objectives and implementation strategies for achieving substantial and enduring improvement in Indigenous housing outcomes over the next decade.

Principles

The guiding principles for achieving the vision for better Indigenous housing are:

1. Governments and the Indigenous community will work collaboratively in policy development, planning, service delivery and evaluation.

2. The Indigenous community housing sector is recognised as a vital partner in Indigenous housing provision and will be involved in all aspects of service planning and delivery.

3. Best practice will be encouraged in service coordination, housing provision and asset management.

4. Adequate resources will be provided to support the vision.

5. Policy will promote an environment that builds and strengthens community capacity and involvement and is responsive to local needs and initiatives.

6. Self-management and socio-economic independence will be advanced through employment, training and enterprise development opportunities for Indigenous people in housing and infrastructure construction, maintenance and management.

7. Responsibility for achieving sustainable housing will be shared by those who provide housing and those who use housing.

8. All stakeholders will be accountable for outcomes and for the proper use of public funds.

Objectives and Strategies

The Governments of Australia in developing the new directions are committed to achieving the following objectives through the implementation strategies outlined.

Objectives

There are four objectives for achieving the vision for Indigenous housing:

1. Identify and address unmet housing needs of Indigenous people.

2. Improve the capacity of Indigenous community housing organisations and involve Indigenous people in planning and service delivery.

3. Achieve safe, healthy and sustainable housing.

4. Coordinate program administration.

Each objective has a number of implementation strategies.

Implementation strategies

1. Identify and address unmet housing needs of Indigenous people

1.1 Develop and use a multi-measure approach to quantifying Indigenous housing need, and to assist in informing resource allocation at national, State, Territory and regional levels.

1.2 Develop an effective balance between new housing provision, upgrading and maintenance, and housing management.

1.3 Ensure policies, plans and service provision take account of the needs and aspirations of Indigenous people and communities with regard to:
- o the mix of housing type, tenure and location;
- o the desire for home ownership;
- o cultural, social and environmental factors; and
- o people's life stages and special needs.

1.4 Continue to improve Indigenous access to mainstream public and community housing programs.

1.5 Implement the *Agreement on National Indigenous Housing Information*, including data collection to support national performance indicators, a national minimum data set and reporting systems that will facilitate performance appraisal at the national, State, Territory, regional and local levels.

1.6 Maintain a national Indigenous housing research program and clearing-house.

1.7 Encourage development of improved technologies for housing and infrastructure in remote

areas, and dissemination of information on developments.

2. Improve the capacity of Indigenous community housing organisations and involve Indigenous people in planning and service delivery.

2.1 Implement the *National Skills Development Strategy for Indigenous Community Housing Management*.

2.2 Link training opportunities with the Indigenous community housing sector's need for skilled employees in housing and project management and administration.

2.3 Maximise opportunities for Indigenous people to be involved in housing construction and maintenance, including:
- investigating a tender preference system and building incentives into the tender process; and
- voluntary registers of Indigenous companies and tradespeople, and companies that employ Indigenous people.

2.4 Develop principles and standards for service delivery by Indigenous community housing organisations, and ensure Indigenous people are fully consulted about, and involved in, planning and delivery of housing and related services.

2.5 Encourage streamlining of the sector and provide incentives to organisations to achieve effective and efficient management practices.

2.6 Support organisations to develop housing management plans containing:
- objectives for housing assistance delivery;
- an asset management plan, including a cyclical maintenance program;
- a tenancy management plan, including client consultation and feedback mechanisms, and appropriate information and training for tenants to ensure tenants' responsibilities are understood and their rights protected;
- rent collection policies and systems; and
- financial practices and reporting systems that link resources to outcomes.

2.7 Outsource tenancy management and support services, where practicable, to Indigenous organisations to foster enterprise development and employment opportunities.

2.8 Foster the capacity of the Indigenous housing sector to represent and advocate its own interests.

2.9 Investigate recurrent funding options for Indigenous community housing organisations that are linked to effective asset management and recognise regional differences.

3. Achieve safe, healthy and sustainable housing

3.1 Target resources to reduce the backlog of maintenance and upgrades in order to improve health and safety.

3.2 Implement the *National Framework for the Design, Construction and Maintenance of Indigenous Housing*.

3.3 Implement the *National Strategic Asset Management Best Practice Principles*.

4. Coordinate program administration

4.1 Finalise and implement Indigenous housing agreements between the Commonwealth, State/Territory housing agencies, ATSIC and the Torres Strait Regional Authority (where appropriate).

4.2 Maximise outcomes by coordinating planning and delivery across governments, ATSIC, the Torres Strait Regional Authority (where appropriate) and communities with respect to:
- o infrastructure programs;
- o primary and environmental health programs;
- o mainstream public and community housing;
- o the income support system;
- o community services programs;
- o Community Development Employment Projects (CDEP);
- o education, training and employment programs; and
- o communication technology.

4.3 Establish Indigenous employment policies in State, Territory and Commonwealth housing agencies.

Evaluation and Review

In order to monitor the progress of the implementation of the new directions and make appropriate program delivery decisions, it is agreed that:

- o All jurisdictions will work to improve availability of good quality data through the *Agreement on National Indigenous Housing Information*.

- o All jurisdictions will develop and implement reporting systems that will facilitate performance appraisal at the national, State/Territory, regional and local levels.

- o All jurisdictions will implement a regular program of evaluations of all aspects of the strategy that will assist in ensuring that problems are promptly addressed, assistance is properly directed and resources are used efficiently.

- o All jurisdictions will report annually to Housing Ministers and the Minister for Reconciliation and Aboriginal and Torres Strait Islander Affairs against the desired outcomes defined in this strategy, and make recommendations for action to address any shortfalls in performance.

- o Ministers will ensure that a full-scale review of the new directions is undertaken in 2005. The review process will provide for consultation with key stakeholders, including the Indigenous community.

Appendix 2: Process for developing the framework

This evaluation framework proposal has been developed through funding from AHURI (Australian Housing and Urban Research Institute) Indigenous research brief 0235.

The purpose of the research was the identification and construction of a proposal for an evaluation framework to assess the outcomes and implementation process of Housing Ministers' 10-year Statement of New Directions for Indigenous Housing: *Building a Better Future Indigenous Housing to 2010.*

However, as noted in the disclaimer to this paper, the proposed evaluation framework represents the views of the research team and not that of Australian, State and territory governments.

Sub-elements of the research were to:

- detail realistic evaluation questions and approaches for a mid point review in 2005 and the end of the strategy in 2010; and

- develop a framework proposal to guide the development of an evaluation strategy for a mid point review in 2005 and the end of the strategy in 2010.

The proposed framework has been developed in consultation with a range of stakeholder agencies responsible for the implementation, reporting and evaluation of the strategy, including government and non-government as well as Indigenous and mainstream agencies across all States and Territories, and the Housing Ministers' Advisory Committee (HMAC), its subcommittee, the Standing Committee on Indigenous Housing (SCIH), and the Policy Research Working Group.

An interdisciplinary team from RMIT, comprising researchers in Indigenous housing and researchers in evaluation, has developed the framework proposal through a process of firstly framing the requirements for evaluation – scope, purpose, audience, timing, specific evaluation questions – then designing methods for collecting, analysing, reporting and using information.

The framework proposal has been developed on the basis of a review of current documentation of BBF, a review of relevant literature in Indigenous housing and the evaluation of Indigenous services, consultations with each jurisdiction and key informants, and feedback from SCIH.

Appendix 3: Policy and commitments regarding ethical issues in Indigenous research

The Agreement on National Indigenous Housing Information, and the AHURI Ethical Principles and Guidelines for Indigenous Research make commitments to applying the principles of recommendation 51 of the Royal Commission into Aboriginal Deaths in Custody as agreed by all Australian governments.

Recommendation 51 states:

"That research funding bodies reviewing proposals for further research on programs and policies affecting Aboriginal people adopt as principle criteria for the funding of those programs:

- The extent to which the problem or processes being investigated have been defined by Aboriginal people from the relevant community or group;

- The extent to which Aboriginal people from the relevant community or group have substantial control over the conduct of the research;

- That Aboriginal people from the relevant community or group receive the results of the research delivered in a form which can be understood by them; and

- The requirement that the research includes the formulation of proposals for further action by the Aboriginal community and local Aboriginal organisations.

AHURI also endorses an additional principle:

That the research should support education and training to increase the capacity of Indigenous researchers, communities and organisations.

The Building Better Futures document (2001) states that the review process in 2005 'will provide for consultation with key stakeholders, including the Indigenous community'. When consulting with communities, one jurisdiction firmly believes something needs to be given in return.

The Guidelines for Ethical Research in Indigenous Studies (May 2000) developed by the Australian Institute of Aboriginal and Torres Strait Islander Studies are explicit in stating that: "A researched community should benefit from, and not be disadvantaged by, the research project" and "The negotiation of outcomes should include results specific to the needs of the researched community".

Appendix 4: Australasian Evaluation Society's Guidelines for the Ethical Conduct of Evaluations

A COMMISSIONING AND PREPARING FOR AN EVALUATION

PRINCIPLE   All parties involved in commissioning and conducting an evaluation should be fully informed about what is expected to be delivered and what can reasonably be delivered so that they can weigh up the ethical risks before entering an agreement.

PRINCIPLE   All persons who might be affected by whether or how an evaluation proceeds should have an opportunity to identify ways in which any risks might be reduced.

GUIDELINES

Briefing document

1. Those commissioning an evaluation should prepare a briefing document or terms of reference that states the rationale, purpose and scope of the evaluation, the key questions to be addressed, any preferred approaches, issues to be taken into account, and the intended audiences for reports of the evaluation. The commissioners have an obligation to identify all stakeholders in the evaluation and to assess the potential effects and implications of the evaluation on them, both positive and negative.

Identify limitations, different interests

2. In responding to an evaluation brief, evaluators should explore the shortcomings and strengths of the brief. They should identify any likely methodological or ethical limitations of the proposed evaluation, and their possible effect upon the conduct and results of the evaluation. They should make distinctions between the interests of the commissioner and other stakeholders in the evaluation, and highlight the possible impacts of the evaluation on other stakeholders.

Contractual arrangement

3. An evaluation should have an agreed contractual arrangement between those commissioning the evaluation and the evaluators. It should specify conditions of engagement, resources available, services to be rendered, any fees to be paid, time frame for completing the evaluation, ownership of materials and intellectual properties, protection of privileged communication, storage and disposal of all information collected, procedures for dealing with disputes, any editorial role of the commissioner, the publication and release of evaluation report(s), and any subsequent use of evaluation materials.

Advise changing circumstances

4. Both parties have the right to expect that contractual arrangements will be followed. However, each party has the responsibility to advise the other about changing or unforeseen conditions or circumstances, and should be prepared to renegotiate accordingly.

Look for potential risks or harms

5. The decision to undertake an evaluation or specific procedures within an evaluation should be carefully considered in the light of potential risks or harms to the clients, target groups or staff of the program. As far as possible, these issues should be anticipated and discussed during the initial negotiation of the evaluation.

Practise within competence

6. The evaluator or evaluation team should possess the knowledge, abilities, skills and experience appropriate to undertake the tasks proposed in the evaluation. Evaluators should fairly represent their competence, and should not practice beyond it.

Disclose potential conflict of interest

7. In responding to a brief, evaluators should disclose any of their roles or relationships that may create potential conflict of interest in the conduct of the evaluation. Any such conflict should also be identified in the evaluation documents including the final report.

Compete honourably

8. When evaluators compete for an evaluation contract, they should conduct themselves in a professional and honourable manner.

Deal openly and fairly

9. Those commissioning an evaluation and/or selecting an evaluator should deal with all proposals openly and fairly, including respecting ownership of materials, intellectual property and commercial confidence.

B CONDUCTING AN EVALUATION

PRINCIPLE   An evaluation should be designed, conducted and reported in a manner that respects the rights, privacy, dignity and entitlements of those affected by and contributing to the evaluation.

PRINCIPLE   An evaluation should be conducted in ways that ensure that the judgements that are made as a result of the evaluation and any related actions are based on sound and complete information. This principle is particularly important for those

evaluations that have the capacity to change the total quantum and/or distribution of program benefits or costs to stakeholders in the program.

GUIDELINES

Consider implications of differences and inequalities

10. Account should be taken of the potential effects of differences and inequalities in society related to race, age, gender, sexual orientation, physical or intellectual ability, religion, socio-economic or ethnic background in the design conduct and reporting of evaluations. Particular regard should be given to any rights, protocols, treaties or legal guidelines which apply.

Identify purpose and commissioners

11. Evaluators should identify themselves to potential informants or respondents and advise them of the purpose of the evaluation and the identity of the commissioners of the evaluation.

Obtain informed consent

12. The informed consent of those directly providing information should be obtained, preferably in writing. They should be advised as to what information will be sought, how the information will be recorded and used, and the likely risks and benefits arising from their participation in the evaluation. In the case of minors and other dependents, informed consent should also be sought from parents or guardians.

Be sufficiently rigorous

13. The evaluation should be rigorous in design, data collection and analysis to the extent required by the intended use of the evaluation.

Declare limitations

14. Where the evaluator or evaluation team is faced with circumstances beyond their competence, they should declare their limitations to the commissioner of the evaluation.

Maintain confidentiality

15. During the course of the evaluation, the results and other findings should be held as confidential until released by the commissioner, and in accordance with any consent arrangements agreed with contributors. Confidentiality arrangements should extend to the storage and disposal of all information collected. Consent arrangements may include provision for release of information for purposes of formative evaluation and for purposes of validation of evaluation findings.

Report significant problems

16. If the evaluator discovers evidence of an unexpected and significant problem with the program under evaluation or related matters, they should report this as soon as possible to the commissioner of the evaluation, unless this constitutes a breach of rights for those concerned.

Anticipate serious wrong doing

17. Where evaluators discover evidence of criminal activity or potential activity or other serious harm or wrong doing (for example, alleged child sexual abuse), they have ethical and legal responsibilities including:

    - to avoid or reduce any further harm to victims of the wrongdoing;
    - to fulfil obligations under law or their professional codes of conduct, which may include reporting the discovery to the appropriate authority ;
    - to maintain any agreements made with informants regarding confidentiality.

    These responsibilities may conflict, and also go beyond the evaluator's competence. For a particular evaluation, evaluators should anticipate the risk of such discoveries, and develop protocols for identifying and reporting them, and refer to the protocols when obtaining informed consent from people providing information (Guideline 12).

C REPORTING THE RESULTS OF AN EVALUATION

PRINCIPLE   The evaluation should be reported in such a way that audiences are provided with a fair and balanced response to the terms of reference for the evaluation.

GUIDELINES

Report clearly and simply

18. The results of the evaluation should be presented as clearly and simply as accuracy allows so that clients and other stakeholders can easily understand the evaluation process and results. Communications that are tailored to a given stakeholder should include all important results.

Report fairly and comprehensively

19. Oral and written evaluation reports should be direct, comprehensive and honest in the disclosure of findings and the limitations of the evaluation. Reports should interpret and present evidence and

conclusions in a fair manner, and include sufficient details of their methodology and findings to substantiate their conclusions.

Identify sources and make acknowledgments

20. The source of evaluative judgements (whether evaluator or other stakeholder) should be clearly identified. Acknowledgment should be given to those who contributed significantly to the evaluation, unless anonymity is requested, including appropriate reference to any published or unpublished documents.

Fully reflect evaluator's findings

21. The final report(s) of the evaluation should reflect fully the findings and conclusions determined by the evaluator, and these should not be amended without the evaluator's consent.

Do not breach integrity of the reports

22. In releasing information based on the reports of the evaluation, the commissioners have a responsibility not to breach the integrity of the reports.

Appendix 5: Main existing data sources for evaluation of BBF

Table 5.1   Summary of Data sources and availability

(Shaded boxes indicate that data is available at 2001, 2005 and 2010, italic dates are the data collection date.)

Data	Source	2001	2005	2010
Census	**ABS**	*2001*		*2006*
Community Housing Infrastructure Needs Survey[3]	**ABS**	*2001*		*2006*
National Aboriginal and Torres Strait Islander Social Survey	**ABS**		*2002*	*2008*
National Indigenous Housing Reporting Framework – Reported in BBF Outcome report	**Jurisdictions AIHW**	*Some 2001 baseline data avail.[4]*	*2002/3 2003/4 2004/5*	*Annual to 2009/10*
Commonwealth State Housing Agreement program administrative data[5]	**Jurisdictions AIHW**	*2001/2*	*Annual to 2004/5*	*Annual to 2009/10*
Indigenous Housing Agreements (bi or tri lateral CSHA agreements)	**Jurisdictions.**	*2001/2*	*Annual to 2004/5*	*Annual to 2009/10*
Housing Management Plans	**ICHOs**	*2001/2*	*Annual to 2004/5*	*Annual to 2009/10*
Commonwealth Rent Assistance administrative data	**FaCS (Centrelink)**	*2001/2*	*Annual to 2004/5*	*Annual to 2009/10*
Supported Accommodation Assistance Program (SAAP) administrative data[6]	**Jurisdictions**	*2001*	*Annual to 2004/5*	*Annual to 2009/10*
Aboriginal Hostels Limited Annual Report	**Aboriginal Hostels Limited**	*2001/2*	*Annual to 2004/5*	*Annual to 2009/10*
ATSIC Annual Report[7]	**ATSIC**	*2001/2*	*Annual to 2003/4*	
		2001	2005	2010

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[3] Annual Administrative data expected to be available from ICHOs and SOMIH by 2010 for some items covered by CHINS

[4] Base line data on affordability, homelessness, overcrowding and consultation processes from the Commonwealth State Working Group on Indigenous Housing report to the 2001 Housing Minster's Conference

[5] The quality of CSHA data on numbers of Indigenous households using mainstream services is expected to improve over time. Assumes that the current CSHA is renegotiated.

[6] The quality of SAAP data on numbers of Indigenous households using mainstream services is expected to improve over time.

[7] Reporting on programs managed by ATSIC until 2004 will transfer to relevant Australian Government department

Hospitalisation Rates	National Hospital Morbidity Database (AIHW)	2001/2	Annual to 2004/5	Annual to 2009/10
National Aboriginal Health Strategy delivery of Housing and Infrastructure to Aboriginal and Torres Strait Islander Communities Follow-up Audit 2003/04	Australian National Audit Office		2003/4	
Homelessness strategies and implementation reports	Jurisdictions		varied	varied
Affordable housing strategies and implementation reports	Jurisdictions		varied	varied
Indigenous health strategies and implementation reports	Jurisdictions		varied	varied
Reports on community capacity building activities and social capital in relevant areas of government including health, justice, education and Indigenous affairs.	Jurisdictions		varied	varied
SCIH work group quarterly reports and meeting papers	SCIH		2003/4 2004/5	Annual to 2010/11
Report on Government Services	Productivity Commission	2001/2	2003/4 2004/5	Annual to 2009/10
Overcoming Indigenous Disadvantage Key Indicators 2003	Productivity Commission		2003	2005 then bi-annually
National Summary of the 2001 & 2002 Jurisdictional Reports against the ATSI Health Performance Indicators	AIHW		2001/2	

It is anticipated that the following AHURI research projects will provide additional data in time for the mid-term review:
- Best practice models for effective communication towards improving built environment outcomes for remote Indigenous communities
- The effects of New Living on Indigenous community wellbeing: a case study on urban regeneration
- Indigenous access to mainstream public and community housing
- Research on improving the identification of Indigenous people by mainstream housing providers
- Indigenous mobility in discrete and rural settlements
- Indigenous housing and governance: lessons from case studies of remote communities in Western Australia and the Northern Territory
- Sustainable tenancy for Indigenous families: what services and policy supports are needed?

Table 5.2   Data sources, data limitations, coverage and frequency, Information available

Data Source	Coverage and frequency	Information
Census Limitations Estimating the size and demographic structure of the Indigenous population is problematic. The ABS has implemented a range of strategies to improve the collection of data from Indigenous people in census collections over time.	National All tenures *Data collected every five years, last census in 2001* *Data from 2006 Census available for final BBF evaluation*	Population Household type, income and housing expenditure Housing type Tenure type Overcrowding Affordability Employment Household and personal income Education Number of moves in the last 12 months and 5 years
Community Housing Infrastructure Needs Survey Description Survey of all discrete Indigenous communities and Indigenous Community Housing Organisations. Limitations CHINS data doesn't provide information on the profile of individual dwellings so if 10 dwellings need power and 10 dwellings need sewerage it is impossible to know whether the same 10 houses have neither power nor sewerage or if 20 houses have either no power or no sewerage.	All ICHOs and discrete Indigenous communities *Data collections in 1999 and 2001* *Anticipate that CHINS will be repeated in conjunction with the 2006 Census and that data will be available to inform the final evaluation of BBF* Some data items can be compared with caution to the 1992 Housing and Community	*Profile of Aboriginal and Torres Strait Islander Housing Organisations that covers:* Number of ICHOs, whether Urban or discrete Numbers of permanent dwellings and unoccupied permanent dwellings managed by the ICHO Source of income, housing grants received and average weekly rent per property Types of running costs, total maintenance expenditure ICHO funds for housing improvements Profile of Discrete Aboriginal and Torres Strait Islander Communities covers: Number, remoteness, usual population, and population increase of communities Permanent and occupied temporary dwellings and number of people living in temporary dwellings Condition of permanent dwellings Source of water, restrictions and reasons for water restrictions, water testing Source of electricity, interruptions and reasons for interruptions to supply Main type of sewerage system, dwellings affected by sewerage overflow or leakage, reasons for problem Frequency of ponding and rubbish collection

Data Source	Coverage and *frequency*	Information
Key informant methodology used collect data – accuracy depends on the knowledge of those informants. Shorter questionnaire used for communities of less than 50 people limits data items available for small communities.	Infrastructure Needs Survey	Number of times community inaccessible by road and types of broadcasts received Distance to nearest school and access to sporting facilities Distance to health services, health professionals working in communities and health promotion programs
2002 National Aboriginal and Torres Strait Islander Social Survey **(ABS)** Sample size of 12,000 people aged 15 and over from across Australia, including remote area Limitations Nature of national survey limits availability of local level data.	National All housing tenures *Data collected in 2002* *Next collection due in 2008*	Housing data: Tenure and Landlord type Rent/mortgage payments Household facilities Number of bedrooms Major structural problems Repairs and maintenance in the last 12 months Demographic data including: Number and age of people in household Relationship in household State/Territory of usual residence Number of dwellings lived in during last 12 months Main reason for last move Culture and Language data includes: Identification with clan, tribal or language group Difficulty communicating with service providers Recognition of homelands/traditional country Family and Community data includes Neighbourhood and community problems Health data including self assessed health status and health risks Transport data Information Technology data Education data includes relevance of training to employment Employment data including employment sector Income, personal and household and financial stress data Crime and Justice data
National Reporting Framework	National	Quantitative data provided by ATSIS and Jurisdictions in 2003/4 Proportion of dwellings needing major repairs and replacement

Data Source	Coverage and *frequency*	Information
Reported in BBF Outcomes Reports **(SCIH report to Housing Ministers)** Quantitative and Qualitative data reported by jurisdictions against BBF outcomes using the National Reporting Framework indicators The report presents primary administrative data provided by Jurisdictions and ATSIC as well as secondary data from the following sources where data not provided by Jurisdictions and ATSIS: Australian Institute of Health and Welfare (AIHW) Community Housing and Infrastructure Needs Survey (CHINS) Indigenous Social Survey (ISS) Census 2001 (ABS) Overtime secondary data sources in the NRF are being replaced by administrative data.	Mainly Indigenous community housing and state owned and managed Indigenous housing. Includes some information from mainstream social housing. Annual Report	Proportion of new houses and upgrades that meet state and territory minimum standards Proportion of dwellings not connected to – a) water, b) sewerage c) electricity Average weekly rent collected, Rent collected as a percentage of total rent charged (rent arrears) Total and average amount spent on maintenance each year No. of SOMIH dwellings Maintenance expenditure as a proportion of rent collected and Total SOMIH rent collected Recurrent to capital expenditure ratio and Average cost for providing assistance per dwelling Occupancy rates, Turnaround time Total and average number of additional bedrooms required and the proportion of Indigenous households that are overcrowded. Number of Indigenous Community Housing Organisations Proportion of organisations that have a housing management plan Proportion of Indigenous employees in ICHOs who have completed accredited training in housing management and related areas Proportion of Indigenous employees in ICHOs who are undertaking accredited training in housing management and related areas Proportion of people employed in housing management who are Indigenous *Qualitative data provided by ATSIS and Jurisdictions in 2003/4* Allocation of resources on the basis of need What jurisdictions are doing to assist ICHOs in developing and implementing housing management plans Strategies and outcomes to increase Indigenous employment in housing services Mechanisms for Indigenous input to planning, decision making and delivery of services Co-ordination of housing and other services that seek to improve the health and wellbeing of Indigenous people NRF Indicators not provided by ATSIS or Jurisdictions for 03/04 *Total number of dwellings targeted to Indigenous people* *Proportion of improvised dwellings* *Proportion of communities not connected to a) water b) sewerage, c) electricity*

Data Source	Coverage and *frequency*	Information
		Proportion of dwellings meeting the nine FHBH healthy living standards *Proportion of Indigenous households housed by different tenure type* *Proportion of households accessing mainstream housing services that are Indigenous* *Proportion of Indigenous people who are homeless* *Proportion of households paying less than 25% of income in rent* *Proportion of clients satisfied with a) amenity b) location of their dwelling* *Proportion of clients satisfied with quality of the service provided* *Proportion of indicators (not Census or CHINS) that jurisdictions could report on* *Proportion of organisations using rent deduction schemes*
Commonwealth State Housing Agreement Reporting **Australian Institute of Health and Welfare** CSHA data provided by Jurisdictions is collected and analysed by the AIHW. Limitations Variable quality of data on Indigenous households assisted through mainstream social housing programs.	Public Housing and Community Housing administrative data. (Performance information for ICHOs and SOMIH from CSHA data is included in the National Reporting Framework.) Assistance provided to private rental tenants and home purchasers through State and Territory Government Schemes such as bond assistance schemes, shared home ownership and sweat equity home ownership schemes Annual report	CSHA data informs the following indicators of the performance of mainstream public and community housing: Profile of households assisted (includes Indigenous status) Gross cost per unit and Net cost per output unit Occupancy rates and turnaround times Rent arrears Numbers of low income and special needs households Priority access to those in greatest need Amenity and location Affordability Match of dwelling to household size Customer satisfaction Expenditure and numbers assisted through CSHA private rental assistance schemes, eg Bond schemes and Expenditure and numbers assisted though home purchase schemes
Indigenous Housing Agreements a CSHA requirement	All Jurisdictions Annual	Annual Indigenous Housing Plan Outline of housing assistance to be provided and outcomes to be achieved and performance measures Level and nature of housing need and the environment in which housing assistance is provided including social, economic and market pressures

Data Source	Coverage and *frequency*	Information
		Outcomes and performance measures in the areas of attracting investment form outside the Social Housing system and reducing workforce disincentives for Social Housing tenants Linkages with Australian Government and State programs outside the CSHA which impact on housing outcomes Specific reporting requirements
Housing Management Plans	ICHOs *Annual* (?)	Objectives for housing assistance delivery; Asset management plan, including a cyclical maintenance program; Tenancy management plan, including client consultation and feedback mechanisms, and appropriate information and training for tenants to ensure tenants' responsibilities are understood and their rights protected; Rent collection policies and systems; and Financial practices and reporting systems that link resources to outcomes.
Commonwealth Rent Assistance Administrative data	Private rental and some community housing *Data available for requested period*	Number of Commonwealth Rent Assistance recipients Affordability of rental for Commonwealth Rent Assistance recipients Number of Indigenous and mainstream housing organisations registered for the Centrelink rent deduction scheme
Supported Accommodation Assistance Program (SAAP) administrative data **Limitations** Accuracy of identification of Indigenous households	National Mainstream crisis and transitional accommodation Client data (MDS) Unmet demand survey Annual report	Number of people assisted Profile of households assisted Service sought and provided and referrals to other services Proportion of valid requests for service that are not met Existence of a support plan Housing situation by tenure type before and after SAAP services Indicators of capacity to live independently include: income, housing status and workforce status and whether clients return to a SAAP service within six months
Aboriginal Hostels Limited Annual Report	National Indigenous crisis and transitional accommodation ***Annual report***	Governance information, financial details, Number, seniority and qualifications of Indigenous and non Indigenous staff Training undertaken by staff Report on key outcomes using a 'Balanced Scorecard' - the three dimensions of the scorecard are: Meet the needs of our clients Achieve a cooperative and highly productive working environment Maintain business management at a high standard

Data Source	Coverage and *frequency*	Information
		Data includes the supply of temporary accommodation that meets needs of different groups: Aged care, Transient, Secondary education, Tertiary education and training, Homeless, Substance use rehabilitation and Medical transient Resident satisfaction survey covering; overall services, room comfort, food, staff service, tariffs and cultural environment Proportions of staff attending training Average occupancy rates Financial performance information such as rent charged, rents collected, maintenance and upgrade costs, audit reports and Fraud control plan. Every 3 years each Hostel is evaluated to assess effectiveness and efficiency and identify changing needs. Research into accommodation needs of specific groups, eg review of accommodation provided for substance use rehabilitation Information about collaborative work and formal agreements with Governments and other organisations.
ATSIC Annual Report 2002<3	ICHOs SOMIH CHIP Home Ownership Scheme Municipal Services Annual Report	Report on interactions with other agencies in relation to housing and essential services Expenditure of CHIP funding by output areas that includes the number of new and upgraded houses and the number of Indigenous people housed in new or upgraded houses, number of houses managed by organisations supported by ATSIC Report on ATSIC funding contributions to State Indigenous Housing programs Report on improvements to community infrastructure including funded capital works, water audits, solar power upgrades, Town Reserve Regularisation program and town planning and the number of communities with new/upgraded power, water, sewerage and internal roads etc. Reports on National Aboriginal Health Strategy (NAHS) expenditure and activities including spending by type of infrastructure between 1995/6 and 2003/4, allocation of housing and infrastructure funding by state and territory and training provided as part of NAHS projects Report on the ATSIC-Army Community Assistance program funding levels and activities Report on Municipal Services including expenditure by output, discussion of issues and outline of strategic approaches Number of infrastructure facilities maintained Number of Indigenous people provided with adequate municipal services Number of home loan enquiries, new loans approved and the value of new loans

Data Source	Coverage and *frequency*	Information
		approved Number of people housed through home loans Total number of loans and total loan balance Number of eligible applicants on the waiting list Average time taken from receipt of loan application to approval advice
Hospitalisation Rates Hospital separations include discharges, transfers, deaths or changes in type of episode of care. **Limitations** Data reported per separation – not per person. Definitions may vary among data providers and from one year to another. Admission practices and scope of data collected vary among jurisdictions Accuracy of identification of Indigenous status of patients.	*National Hospital Morbidity Database (AIHW)*	Hospital separations by diagnosis in all Jurisdictions
National Aboriginal Health Strategy delivery of Housing and Infrastructure to Aboriginal and Torres Strait Islander Communities Follow-up Audit 2003/04 **Australian National Audit Office**	National Aboriginal Health Strategy Program (a subset of the Community Housing Infrastructure Program)	Assessment of program monitoring and reporting Assessment of program management benchmarking Assessment of relationships between stakeholders Assessment of performance targets for employment and training Assessment of improvement in reporting program performance
National Summary of the 2001 & 2002 Jurisdictional Reports against the ATSI Health Performance Indicators (AIHW)	Australian and State and Territory Governments	Strategies used by the Australian and state and territory governments to develop community capacity in health planning, management and evaluation. For example, developing partnerships with peak organisations, community capacity building, improved coordination of government activities, structures for consulting with communities and organisations.

Data Source	Coverage and *frequency*	Information
		Structures and mechanisms available to assist ATSI people who want to make a complaint about a hospital Jurisdictional reports on the development of governance capacity in health Jurisdictional reports on Aboriginal and Torres Strait Islander representation on health/hospital boards. Jurisdictional reports on the reporting of complaints in hospitals.
Homelessness strategies and implementation reports	Varied	Strategies targeting Indigenous people who are homeless
Affordable housing strategies and implementation reports	Varied	Strategies to improve the affordability of housing for Indigenous households
Indigenous health strategies and implementation reports	Varied	Strategies to improve the health of Indigenous communities.
Reports on **community capacity building** and **social capital** in relevant areas of government including: health, justice, education and Indigenous Affairs.	Varied	Strategies to develop social capital and community capacity for participation in housing related activities.
SCIH work group quarterly reports and meeting papers	SCIH	Reports on progress against BBF objectives and strategies
Productivity Commission Report on Government Services 2004	National Public housing Community Housing State Owned and Managed Indigenous Housing Commonwealth Rent Assistance Annual Report	Profile of housing and housing assistance programs Performance Indicator frameworks and key performance indicator results for mainstream and Indigenous public and community housing Indicators of the efficiency of SOMIH are: Gross cost per unit Occupancy rate Turnaround time Rent arrears Performance indicators for SOMIH outcomes are: Proportion of new households where a) incomes of all members are at or below maximum pension rates and b) household income enable them to receive income support benefits below the maximum pension rate Proportion of new allocations to households where a household member has a disability or the principle tenant is aged under 24 or over 50 (special needs) Proportion of allocations to those in greatest need, time for allocation

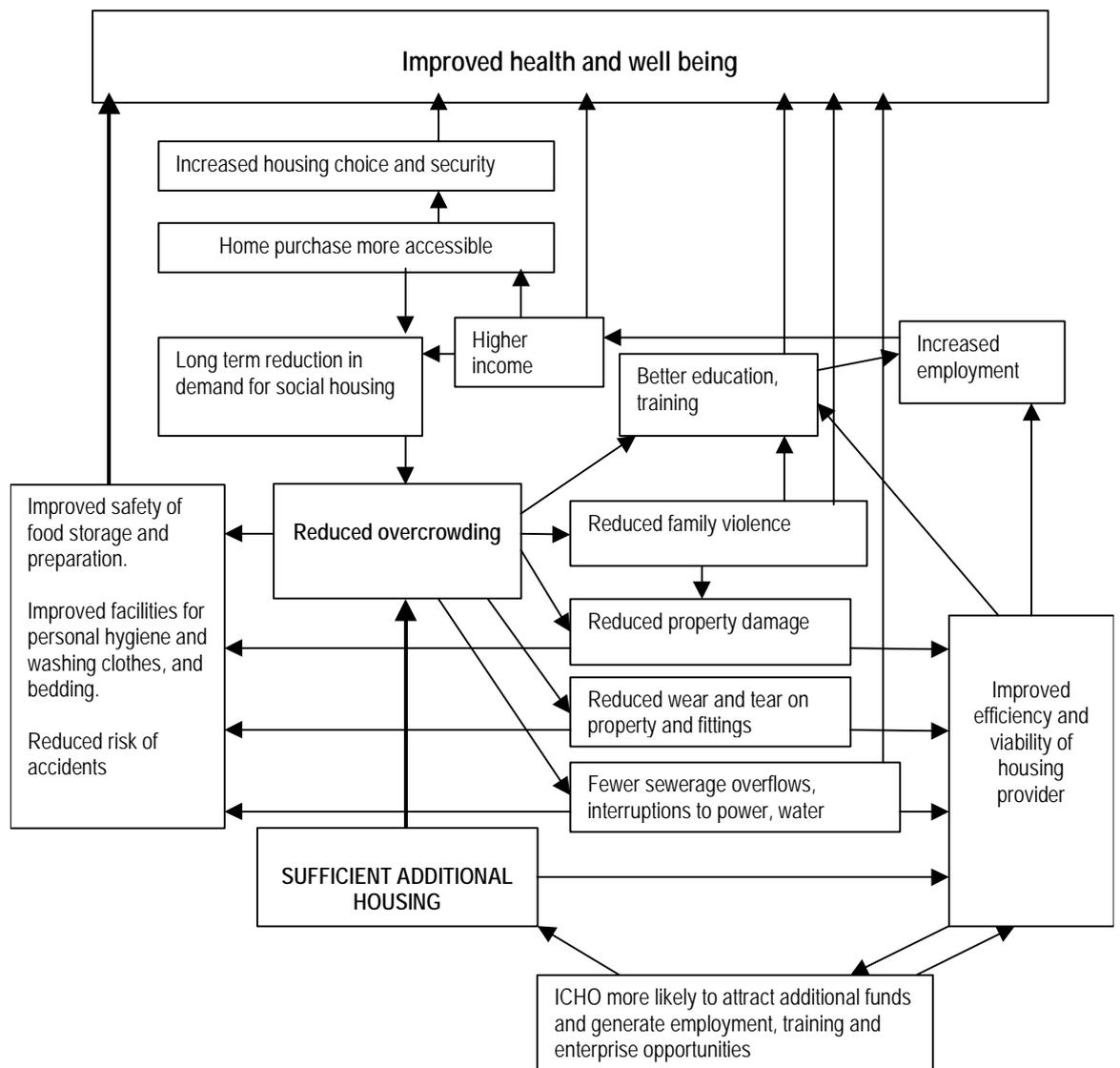| Data Source	Coverage and *frequency*	Information
		Affordability - rent charged as a proportion of market rent Overcrowding Includes information on the eligibility, waiting list management and security of tenure policies of State owned and managed Indigenous housing Vacancy rates and median rents of private rental in capital cities Number of Indigenous people receiving Commonwealth Rent Assistance by geographic location Benefit type of Indigenous people receiving CRA Affordability – Proportion of recipients spending more than 30 % and 50% of their income on rent with and without CRA by Indigenous and rural and remote status
Overcoming Indigenous Disadvantage Key Indicators 2003	National All areas of Government services to Indigenous people	**Headline indicators:** Life expectancy at birth Rates of disability and/or core activity restriction Years 10 and 12 retention and attainment Post secondary education – participation and attainment Labour force participation and unemployment Household and individual income Home ownership Suicide and self harm Substantiated child protection notifications Deaths from homicide and hospitalizations for assault Victim rates for crime Imprisonment and juvenile detention rates Strategic Areas for Action- performance indicators in the following areas: Early child development and growth (eg Infectious diseases, hearing impediments) Early school engagement and performance (eg Yr 3 literacy/numeracy, school attendance) Positive childhood and transition to adulthood (eg school retention rates, participating in sport) Substance use and misuse (eg alcohol and tobacco consumption) Functional and resilient families and communities (eg access to health services, children in care) Effective environmental health systems (overcrowding, clean water and functional sewerage, diseases caused by poor environmental health Economic participation and development (eg CDEP participation, self employment)

Data Source	Coverage and *frequency*	Information
National Summary of the 2001 & 2002 Jurisdictional Reports against the ATSI Health Performance Indicators (AIHW)	Australian and State and Territory Governments	**Determinants of Health – social equity** Life expectancy at birth (ABS Deaths, Australia, 2002) Infant mortality rate (AIHW National Mortality Database) Income poverty (ABS Census, 2001 Completed secondary school education (ABS Census, 2001 Employment statistics (ABS Census, 2001 Housing with utilities (ABS CHINS, 2001) People in prison custody (ABS Prisoners in Australia 2002)

Appendix 7: Example of possible case study investigating causal relationships

Potential impact of providing sufficient additional housing to reduce overcrowding.

Overcrowding, and the often resulting poor quality water and sanitation, directly cause ill health through respiratory diseases, urinary tract infections, kidney stones, intestinal worms, trachoma and infectious diarrhoea. The Productivity Commission, in consultations to develop the reporting framework used in the Overcoming Indigenous Disadvantage report were informed that overcrowding also significantly contributes to poor educational outcomes and family violence.

This diagram illustrates potential causal pathways linking a reduction in overcrowding to improved health and well being.