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Wise City Governing

bridging the sustainability aspiration-action divide

in the New Zealand mid-sized city Authority

A thesis submitted in fulfilment
of the requirements for the degree

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THE UNIVERSITY OF
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abstract

Perhaps expecting a pragmatically emerged local government to embed the concept of sustainability as its guiding principle in 2002, may have been too big-an-ask, yet the modern city complexity demands that a greater shift toward this approach be purposively pursued in Aotearoa/New Zealand (NZ). This study searches below the symptomatic concerns of the mid-sized NZ city context, in order to explore and understand the causal features, conditions, factors and elements that currently appear to be inhibiting local integrated sustainable development success. Through this exploration, this research also strives to identify a ‘wise city governing’ model that may assist in bridging the apparent phenomenon of the sustainability aspiration-action divide. Within the background to this exploration, the study additionally considers whether the Local Government Act 2002 ‘*better local government*’ 2012 reforms may work to resolve this deeper problématique of local governing in NZ.

This research, seated within a whole systems/social constructionist frame, utilises a broad literature review, the five city survey (offering an institutional capital perspective) and a more detailed case study of one selected city (offering a social capital perspective) to explore this context and phenomenon. From the initial literature sweep, it was found that previous research on NZ local government has tended toward seeking out the political, peak body and senior public administrative viewpoints, or been representative of the larger NZ city voices, while the every-day perspectives of mid-sized Cities and their Authorities have been under-researched to date.

The survey findings evidenced that the aspiration-action divide exists across the five surveyed cities, while the presence of serious systemic weaknesses within the case study Authority are also revealed. From a whole system viewpoint, the results of this study find that the current NZ corporatised mid-sized city Authority model is hamstrung in its capacity to wisely transform its governing system. The Authority system therefore remains blind to realising the urgency presented by the critical natural and human ecological cues. Additionally, it continues to be limited

in its ability to authentically engage with its full community in order to co-create flexible, innovative and adaptive solutions to meet the real city demands.

The consequence of perpetuating a tokenistic but essentially unsustainable state, where the fiscal sphere persists in dominating decision-making, is an amplified risk of continuity interruption, failure or ultimate collapse.

The full study results, support the research histories of Stoker's local governing review and through the comparative literature of Naschold, Norton, Scott *et al.* and others, finds that the NZ transformational model is at least 20 years behind its international counterparts. Furthermore, the differences between the approaches of the overseas ecological and New Zealand's corporatised modernisation models are accentuated. Additionally, this research bears out the concerns expressed in the Jacobs/Taylor discourse around the dangers of hybrid government manipulations, and this was found to be even more critical when a low civil engagement within a corporatise-government hybrid is present. This understanding links with Evans *et al.* 2006 DISCUS study, whereby an equally high institutional and social capital capacity was evidenced as being a prerequisite for attaining a greater level of localised sustainable development success – as originally expressed within Agenda 21 and Local Agenda 21.

Overall it is unlikely that the current '*better local government*' legislative changes will produce the contextual shift up the '*wise local govern-ing*' ladder, bridging the sustainability aspiration-action divide in order to deliver 'better' short and long term sustainable development value.

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1.1 Overview

Perhaps expecting a pragmatically emerged local government to embed the concept of sustainability as its guiding principle in 2002, may have been too big-an-ask, yet the modern city complexity demands that a greater shift toward this approach be purposively pursued in Aotearoa/New Zealand (NZ).

Seating this study then within a whole systems/social constructionist lens offers an entry point to explore this dynamic. Furthermore, by selecting to orient the research toward eking out of a collective institutional and social capital perception, this study aims for the research results to reflect the every-day sustainability considerations of people living and working within NZ's mid-sized cityscapes. This frame lends two important features to this research. Firstly, the mid-sized city Authority – as the prime local promoters of the sustainability concept as endorsed by Local Agenda 21 and embedded in the Local Government Act (LGA) 2002 purpose – has to date, been under-researched in NZ. Secondly, it appears that previous local government research has been primarily focused toward the political, peak body or senior public administrative viewpoints, or representative of the larger NZ city voices. The research seeks to search below the symptomatic concerns of selected mid-sized NZ cities, to better understand their Authorities' features, conditions, factors and elements, that currently support or inhibit, integrated sustainable development success. Through this exploration, this study strives to also identify a model for 'wise city governing' that may assist in bridging the apparent sustainability aspiration-action divide phenomenon. Additionally, the study considers the potential ramifications of the LGA 2002 '*better local government*' 2012 reforms on this context and phenomenon.

The concept of wise city governing therefore is a central theme to this research and is explained fully in Chapter Two.

NZ local government has for a long time been recognised as a creature of statute, with the Local Government Act (LGA) 2002, its current amendments, its predecessors and a number of other quasi-constitutional Acts, providing the foundation for its pragmatic existence. Originating within this type of functional statutory system, it may be argued that the lack of a clearly defined, written local government constitution, has historically resulted in a shortfall of purposive institutional design (Chapter Two; Lowndes 2005; Lowndes *et al.* 2006; Lowndes and Wilson 2001), as well as in seeing the continuation of unresolved tensions and imbalanced partner relations with its central government counterpart, (see for example Bush 1995; Cheyne 2008; Hess and Sharpe 1990; Palmer and Palmer 2004; Scott *et al.* 2004). The underpinning of Local Government's more Anglophone tradition (Appendix L) may also be viewed as reinforcing the NZ civil society's pragmatic and laid-back approach to its democratic involvement – especially at the local level. These features suggest local government in NZ, sits rather uncomfortably between a highly centralised legislative control, and a somewhat laissez-faire relationship with its local citizenry, while holding a reasonably high level of autonomy through its fiscal and corporatised arrangements (see for example Cheyne 2008). Within this context then, it seems the NZ local government environment was expected to modernise itself through an intense, two year corporatised amalgamation program via the LGA 1989 changes; then open itself out some thirteen years later to having an integrated sustainable development planning focus, through the LGA 2002 change; only to head back towards a tightening of core functions once more under the requirements for the LGA 2002 Amendment Act 2010 and the '*better local government*' 2012 reforms. These types of pendulous philosophical changes (Appendix L), possess deeply opposing natures, which from a whole systems perspective, would necessitate a complete re-orientation of each local Authority's overarching organising principle, as well as see fundamental changes within their four elements of structure, function, process and practise. It seems that this systemic reorganisation has not taken place and that the highly centralised legislative impositions keep occurring without adequate front end engagement or

the follow through resourcing needed to ensure that intentional integrity is maintained throughout any associated transformational process.

In the background to this NZ government context, the half century (or so) of wider, westernised, sustainability discourse and understanding has gained some ground in its case for building stronger ecological interconnections. This movement continues to advocate for an integrated sustainable development agenda to be embedded as the overarching guiding principle within, between and across the policy-action continuum (Ham and Hill 1984) of all human-constructed systems (Chapter Two). The Agenda 21 (A21) and Rio Declaration (United Nations 1992) agenda, for example, is clearly evident in the LGA 2002 purpose, which sought to move toward a more Northern European typology (Appendix L), through a ‘new community governance’ type of shift (Norton 1994; Stoker 2011). However, the 1989 corporatisation of local government seem to have worked to further embed the more historic westernised, economic capitalist imperative, founded within the conceptual framework of an ever expanding market cycle of production, consumption and waste. This appears to remain then, as the real entrenched guiding principle of local government in NZ, despite the LGA 2002 philosophical change. Within the two diametrically opposed rationales, it is little wonder that a switch to community governing has not produced the improved local government system that the NZ local government peak-body and central policy-makers had hoped for. Furthermore, it appears that the fiscal imperative is about to be further reinforced as the guiding principle, in response to the low and persistent grumblings of community discontent toward many present day local Authority decisions, performances and outcomes. The central government has once again produced a fresh round of legislative reforms that seek to rectify the ‘purpose and power’ imbalances that it has determined to be the primary source of local government’s problems (Appendix B, C; Cheyne 2012). From previous in-situ observational experience of many local Authority’s businesses, it seems unlikely however, that the ‘*better local government*’ 2012 reforms will resolve, what appears to be a much deeper disconnection between a sustainability

aspiration at one end and the reality of a business-as-usual interpreted outcome at the other.

Meanwhile, as the human geography continues to migrate and cluster to sites of greater size and density, the risks of conflict and failure exponentially increase (Bettencourt *et al.* 2007). The market-driven logic has proven to offer little real contribution toward building ‘effective’ and collective socio-political capacity for managing the prime system’s health. The complexity of the modern cities’ places and spaces therefore, requires that the sub-system of governing human demand patterns and instilling improved ‘attentional vigilance’ to the cues of potential continuity conflicts and failures, are more wisely guarded (Clayton and Radcliffe 1996; Rerup 2009). Therefore, it would seem logical that City Authorities, must possess a high level of institutional capital capacity, in order that the local governing system may evolve beyond its traditional guardianship model of ‘government’ (Castells 1996; Evans *et al.* 2006; Jacobs 1992; Scott 1998; Stoker 2011; Taylor 2007). But as the Evans *et al.*’s DISCUS study shows, for example, an equally high level of social capital capacity must also exist, because authentic sustainability-oriented City and City Authority transformation “cannot be secured by governments acting alone” (Evans *et al.* 2006 849). Therefore, as the research history discusses in Chapter Two, this equally high capital capacity, cognitive flexibility, along with innovative and adaptive institutions, are critical system components for any City seeking to move toward greater authentic sustainability (Evans *et al.* 2006; Lowndes 2005; Lowndes *et al.* 2006; Rydin 2011; Rydin and Holman 2004; Stoker 2011). And, if greater sharing of services or regional amalgamations proceed – as the ‘*better local government*’ 2012 reforms make way for – it is critical that the NZ small to medium sized urban governing setting is further explored and more fully understood.

Through an interpretive agenda then, this study seeks to investigate the status of the mid-sized NZ cityscape within its localised whole system context. In particular, the research explores below the symptomatic phenomenon of the sustainability aspiration/action divide and aims to identify the requirements for a successful transitioning toward a wiser city governing model.

1.2 Research Question

Through the literature review (Chapter Two) and by considering the interwoven concepts of social constructionism and whole systems theory, the research question asks:

In what ways might the model of wise city governing, bridge the apparent sustainability aspiration-action divide, within the New Zealand mid-size cityscape?

In achieving the aim of this thesis, four study focus sub-questions have become apparent:

1. *To identify where the NZ local governing modernisation effort sits when compared to the European Union/United Kingdom (EU/UK) experience.*

This focus is to be used to ‘seat’ the NZ local government experience against the EU/UK sustainable development shifts (Stoker 2011 18 Table 1). In this way, the research seeks to identify if NZ’s corporatised modernisation strategy is on par with, in front of, or behind, the ecological modernisation position. Stoker’s 2011 retrospective discourse along with the research contributions as summarised in Appendix L, have been primarily utilised as a basis for this comparative analysis.

2. *To discover what the NZ mid-sized city Authority’s organisational perceptions are, toward their current level of sustainability aspiration-action continuum success, and what, if any barriers to transformational progress are also being experienced.*

The second focus aims to gather feedback from the institutional ‘policy end’ of each participating mid-sized NZ city Authority. This focus strives to present the perceived level of sustainability aspiration-action success across the collective institutional and social capital components of each of the mid-sized cityscapes. Trends of common experiences of successes and barriers toward achieving cohesive institutional sustainable development may then be revealed. A documents/data search and review, along with a participating city

survey will be utilised for this discovery. See Chapter Three–Methodology and Chapter Four – Evaluation and Survey Results.

3. *To identify how and where, the selected city Authority’s attitudes, behaviours and language use, impact on the collective institutional and social capital’s capacity to deliver wise city governing.*

The findings will look to build on the snap-shot, institutional viewpoints secured via the survey portion of the research and will use a case study method for addressing a sub-question that asks; ‘how wise is Hamilton City’s governing?’ The discoveries seek to draw out a richer and deeper level of detail, around the relationship between the City’s key informant group and the city Authority organisation, by lending a social capital perspective to the research results. See Chapter Three–Methodology and Chapter Five – Case Study Results.

4. *To identify what features, conditions, factors and elements underpin a greater shift toward more consistent and cohesive wise governing success in the mid-sized NZ city.*

In this final focus, the case study information along with the survey and literature provides an opportunity to draw together and analyse the features, conditions, factors and elements that underpin integrated sustainable development success. Through this analysis and discussion the study may then draw its conclusions, and offer shared learning toward what is needed to purposefully create a greater move toward a ‘wise city governing’ model. See Chapter Six–Analysis and Discussion.

1.4 Methodological Approach

A wide review of the relevant sustainability and sustainable development literature was undertaken for this study. The broader, cross-disciplinary (ecological, geographical, philosophical, psychological and organisational) approach to this review aimed to reflect the integrative, whole systems nature of the sustainability concept. In doing so, the literature examines a range of theories, concepts and models to find links and alignments in theoretical considerations. It also identifies

successes and problems with this research approach in order to advance the researcher's academic capacity. The literature review was followed by a two-phased research gathering exercise that sought to support, refute or temper the study's proposition and address the research aim. Triangulation of the entire study occurs between i) the initial data source search and subsequent documents review, ii) the five city survey, and iii) the selected city case study. Within the case study itself, triangulation occurred via, i) a documents review, ii) three observational exercises and iii) ten key informant semi-structured interviews.

1.5 Thesis Structure

Chapter Three details the methodology taken for this research, in order to justify the adoption of a mixed qualitative and quantitative approach, as well as to support the survey and case study design decisions. It discusses the need for mid-path research planning and implementation flexibility and reflexivity, and also overviews the limitations and ethical considerations.

The research results can be found in Chapters Four and Five, respectively. Chapter Four is presented in two parts:

- a) the six city public data review and a provisional assessment that informed the city survey,
- b) the city survey lends a comparative 'snap shot' based on the perceptions of the policy area of each of the five participating City Authorities.

Chapter Five presents the selected city case study in order to build on the survey results. It does this, by drawing out a richer and deeper level of participant perceptions, but this time from a social capital viewpoint. These perceptions are focused around the City to City Authority relations, in regard to the concept of sustainability.

Chapter Six, analyses the results presented in Chapter's Four and Five, by way of discussing these back against the literature review theories and concepts and in relation to the prime research question and sub-focuses one to three. In its analysis and discussion the features, conditions, factors and elements that support the

embedding of the concept of sustainability as the guiding principle to organisational transformation, are highlighted.

Chapter Seven provides the concluding commentary to this study. It reviews the research findings in relation to offering a synthesised closing argument for the NZ City Authority organisation's need to urgently build, and be supported in this process of constructing a greater capacity for 'wise city governing'. The collective study also argues that until this transition takes place in its entirety, the move toward achieving on-going, integrated sustainability success within, across and between the NZ cityscapes will be continually thwarted.

Chapter Two offers the theoretical context for this thesis study. It reviews in greater depth the academic literature introduced in Chapter One and sets out the conceptual logic for setting this enquiry from within interwoven, constructionist and system theory approach.

2.1 Overview

In this chapter the theoretical context for this study is established. Firstly, the sustainability debate is overviewed and then considered from an interwoven concept of constructed reality and systems theory. Next the chapter moves to review sustainability within the concept of wise city governing. Lastly, this chapter takes a quick look at the New Zealand local Authority history, its relationship with central government and the current landscape with reference to the earlier concept and theory discussions. The literature review informs the research question and associated sub-focuses of the study, as set out in Chapter One.

2.2 50 Years of Awakening

In 1962 Rachel Carson published her seminal work: *Silent Spring* (Carson 1962). This publication brought together three research disciplines to arrive at the conclusion that, indiscriminate agricultural pesticide use was building to such levels, that links to animal and human health damage could be supported. The publication shattered the common belief that the natural environment had an infinite capacity to absorb pollutants and served to engage a broader audience into the debate. Carson's work is also credited with being a key initiator of the environmental movement and spurring significant changes in many air, land and water management laws within the United States, European and Commonwealth countries. Paul Ehrlich followed Carson's work with his publication: *The Population Bomb* (Ehrlich 1971). His research offered connection between human population, resource exploitation and the natural environment. Exploring the links between food production and population growth, Ehrlich argued that the exploding population placed escalating strains on all aspects of the natural world.

These two influential research publications sat alongside other research initiatives, wider academic discourses and a quickly emerging non-government organisation

(NGO) third sector, to collectively place pressure on governments worldwide to improve protection of the natural and socio-cultural environments. This combined momentum served to stimulate further research and advocacy throughout the 1970's and early 1980's (see Appendix A), led up to the release of the 1987 Brundtland Report on sustainable development. The crucial *Our Common Future* report tied problematic human-natural environment strands together and oriented for the first time, toward the direction of a collective global range of solutions. The report also served to mainstream the concept and term 'sustainable development', and popularised the aspiration for people to build a future that would be more prosperous, just and secure, now and for future generations. It aimed to do so through its seven strategic imperatives and seven preconditions for those imperatives (WCED 1987). While this movement, represented a considerable advancement in global strategic (rather than a nation-state piecemeal) thinking the report is problematic in that it still assumes that economic growth can co-occur or even enhance certain types of natural capital. Furthermore it assumes that developing nations can expand and increase consumption without incurring the costs associated with the economic growth of industrialised countries (WCED 1987, 97). Twenty five years on and experience highlights these shortfalls.

In 1992, however, a pivotal United Nations (UN) Conference on Environment and Development (UNCED) was held in Rio de Janeiro, Brazil. The resulting outcome from this Earth Summit saw the publication of Agenda 21 (A21), the Rio Declaration, as well as three other conventions (United Nations 1992). The UN's 1992 attempt to have the two sustainable development foundational documents – A21 and Rio Declaration – provide a means for cohesive guidance for Nation-state delivery has however, seen mixed results in the intervening years (Stakeholder Forum for a Sustainable Future 2012; iisd.org/; nea.gov.sg/; sustreport.org/ 2012). Certainly, report data from sources such as the Millennium Ecosystem Assessment (WRI 2005), the Stern Review (Stern 2006), the Global Ecological Footprint Analysis (Hails et al. 2008), the World Resources Report (WRI/UN 2010), and the Living Planet Report (WWF 2012), collectively detail ongoing evidence of the continuing challenges that humanity faces around climate

change, ecosystem degradation, resource scarcity, weakening of soil and food qualities, global poverty and urbanisation pressures and impacts, as well as highlighting the urgency to redesign and implement more effective and flexible socio-political sub-systems.

In the lead up to the June 2012 Rio+20 Conference, the UN's Sustainable Development Review on A21 makes the comment that, "...twenty years on and Agenda 21 remains strongly relevant, as offering the most comprehensive UN sustainable development package produced to date ... but results have been piecemeal and far from universally effective." The A21 review goes on to state that, "...in trying to offer a comprehensive and inter-connective framework, the 39 section Agenda and 27 principles of the declaration actually served to divide and separate its components" (Stakeholder Forum for a Sustainable Future 2012). Not with-standing that there has been some outstanding progress made across many local projects, programmes and initiatives world-wide, it appears that the spaces created by this 'divide', have reinforced a mainstreamed business-as-usual interpretation of A21, its local agenda (LA21) and the Declaration's original intent. This interpretation appears to have produced a general public acceptance toward the 'pale-green washing' of policy, business practices and many consumer products. In turn, these actions have been dubiously marketed as sustainable solutions, serving to water-down the understanding and value of the concept of sustainability. Within this fragmented context, it is local governments in many countries, with the support of global associations, like ICLEI (Local Governments for Sustainability), that have been instrumental in moving the sustainable development agenda forward with greater authenticity. Here in NZ, it appears that this role has largely been undertaken, within shoe-string resources, by the 'grassroots' third sector. However, as the UNSD Review (Stakeholder Forum for a Sustainable Future 2012) asserts, it is not the successful or even failed authentic attempts that have perverted the mainstream focus, and reinforced the phenomenon of the sustainability aspiration-action divide.

New Zealand's 17 year old school girl, Brittany Trilford challenges in her opening speaker's slot at the UN Rio+20, June 2012 summit:

I am here to fight for my future ... people at that summit [Rio 1992] knew there had to be change. Our systems were failing, collapsing ... and these people came together to acknowledge these challenges, to work for something better, to commit to something better. They made great promises ... These promises are left not broken – but empty ... as I stand here ... today I wonder, are you here to hedge your bets and see what happens – ‘To Save Face or To Save Us’? (Hunt 2012).

The Rio+20 Conference theme: ‘The Future We Want’, is recorded as concluding with: “a big package of commitments for action and agreement by world leaders [has been made] - more than \$500 billion mobilized with over 700 commitments made...for a sustainable future.” Ban Ki-moon, the UN Secretary-General states further that, “Rio+20, has given us a solid platform to build on...[it] has affirmed fundamental principles, renewed essential commitments and given us new direction” (un.org/ 2012). However, Franklin and Blyton offer that, “this growing knowledge regarding the scale and scope of sustainability challenges, has not been matched by a concomitant [associated] expansion in our thinking about sustainability, as a whole” (Franklin and Blyton 2011 19). It remains to be seen, therefore, whether ‘The Future We Want’ document has any real new direction or whether these 2012 promises will also be left not broken – but empty, 25 years from now. So, what is really holding humanity back from producing and maintaining a greater transition toward a more sustainable way of life? The following section explores this question.

2.3 Constraints of the Human Condition

Certainly at the macro scale, as the UNSD report suggests the sustainable development movement has thus far been a hit and miss affair, and further, the local agenda appears thwarted by an entrenched, economically-focused societal lens.

...our environments [are] deeply rooted in power and privilege, dialectical relationships between humans and the world, and the contradictions born of persistent political economies (Robbins 2012 252).

2.3.1 Constructed Reality and Systems Theory:

To place the relationship between humanity, nature and the capitalist economic construct into a longer term perspective then, the earth is four and half billion years old or thereabouts. It is the only planet in the universe currently known to support life, and life on earth began nearly four billion years ago – so organism life is nearly as old as planetary life. However, the human species is a relatively recent arrival, emerging only about 100,000 years ago to occupy parts of Africa and warmer climate zones of Europe and Asia. From a systems theory view point then, earth and its ecosystems may be considered as the primary system, with all subsequent human systems forming a sub-system or spheres of secondary sub-systems as outlined in Table 2.1.

Table 2.1: Prime and Sub Systems

SYSTEM	CORE SPHERES	HUMAN ECOLOGY - SECONDARY CONCEPTUALISED SPHERES				
PRIME	Earth & its Ecospheres	Human World Construct (accepted cultural behaviours)	Governing Constructs (village / town / city)	Community Constructs (valley / neighbourhood)	Government Construct (Democratic Form)	Authority Organizational Construct (Form / Structure)
SUB	Organism - Human Ecologies	<i>Macro/Micro levels of inter-relations</i> (attitudes/behaviours/values that fold back onto and into the prime and sub-systems)				
	LIFE SUSTAINING					

The earliest unambiguous evidence of Homo Sapiens purposeful cultural behaviours (incl. technology of tools, fire making, weapons, burial practises, fertility worship, painting, sculpture and the first innovation in improved living comfort), dates back to around 40,000 years ago as ‘Modern-man’ spread across Europe, replacing ‘Neanderthal-man’. The first domestication of plants and other animals commenced around 12,000 years ago, with the rise of farming communities around 8,000 years ago and the growth of the ‘villages’ into small cities appearing about 6,000 years ago – see section 2.5.1; NZ settlement was only approximately 800 years ago. All species, irrespective of their evolutionary time frame, share a common concern for survival and reproduction and this has led to

the development of similar structural solutions and co-operative forms of social organisations that are in evidence across a wide range of plant and animal species (Moore *et al.* 1992; Silvertown 1990).

Early humans however, developed the capacity to move beyond a sole reliance on ‘biological cooperative feedback processes’ for ensuring species survival – and this has been managed through the capacity of language and conceptualising the world – see Table 2.1. Lloyd Geering comments that, “through language, storytelling and the [conceptualisation] of the world, the human consciousness has come to pursue its own quest for a unified, meaningful and purposive existence” (Geering 1994 233-234). This ability to name things, share common languages and/or understandings, and to hold the capacity to imagine and innovate, has assisted humanity’s journey from a relatively simple level of co-operative modes of behaviour and cohabitation, to a more complex range of worldviews that, offer both, benefits and disadvantages. It may be argued perhaps, that as these evolving patterns of relationships, functions and purpose have unfolded, intertwined and become increasingly sophisticated, human beings have been deeply conditioned as social beings, to a variety of expectations found within their particular sub-set of socially accepted mores and customs. Through the evolution of the various human social-systems, a profound attachment to each sub-set’s applied symbolism and morality has developed. These positional attachments in turn, act as primary keys for determining ‘value’, and this perception of value underpins the intricate workings of the individual, group and civic society’s accepted way of thinking and acting (Harre 2011; Hartmann 1998; Jensen 2000; Kagan and Lamb 1987). Clayton and Radcliffe summarise this as,

...such group-based customs have been developed and extended over thousands of years into philosophical, moral, legal, governmental and other codes and systems of individual-collective behaviour, as well as conceptions of organised morality in the form of religious or aspirational living proscriptions (Clayton and Radcliffe 1996 3).

Geering also argued in 1994, for example, that the traditional creation stories were replaced by religious forms of beliefs, which in turn were superseded (certainly in many westernised nations) by the ‘economic god’. Interestingly, it appears from

these wider readings, that as human beings moved from ‘hunter/gatherer to producer/harvester to industrialised consumer’, humanity’s awareness swings between being highly connected to, and being highly separate from, the idea of interacting systems and spheres. The following four diagrams summarise this pendulous movement:

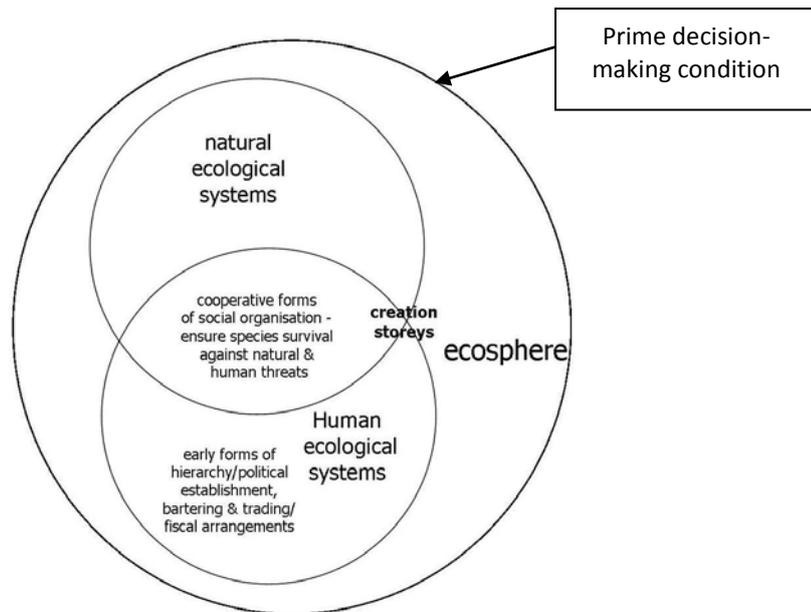


Figure 2.1: Pre-industrialised Thinking

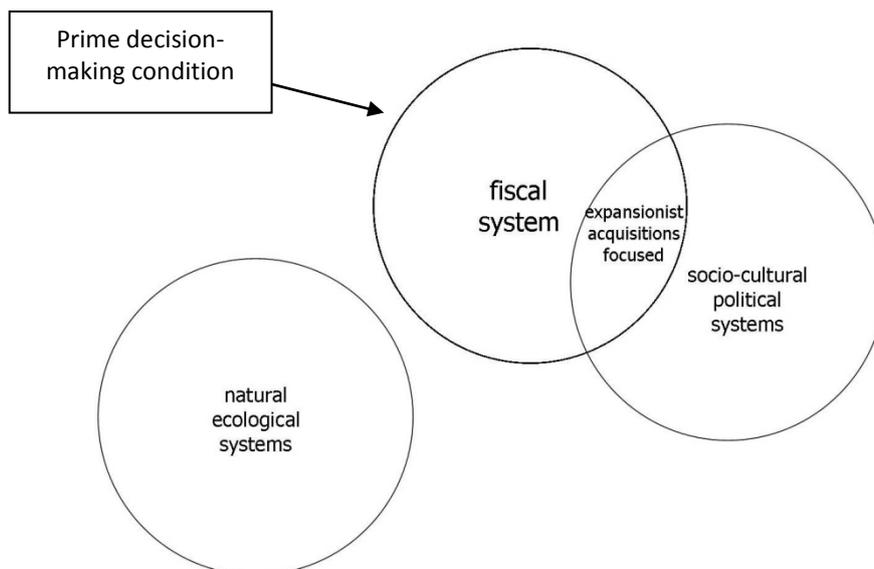


Figure 2.2: Westernised Mainstream Thinking (around the 1800-1900's)

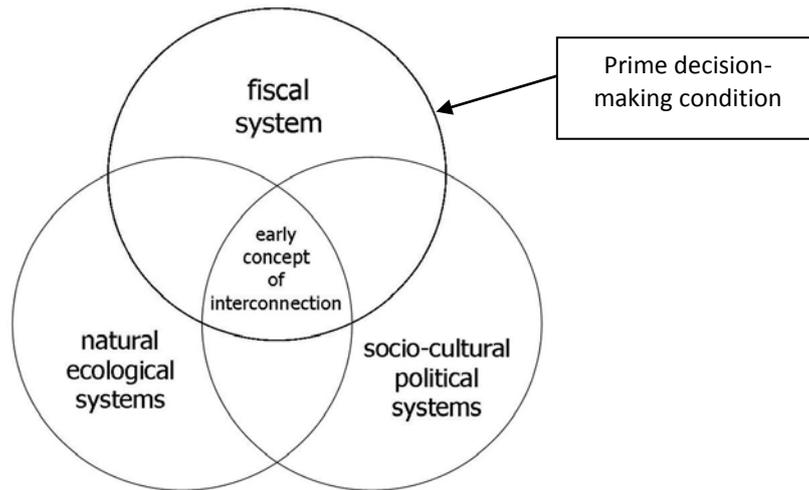


Figure 2.3: Awareness of Interconnection Increases 1950-1960
 Assisted by: Carson, Ehrlich, the emerging third sector, UN research and so forth

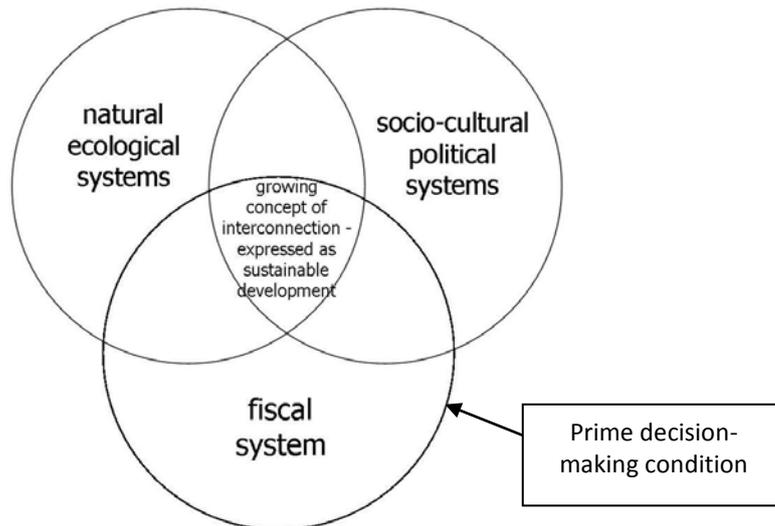


Figure 2.4: Populist Emergence in the Understanding of Interconnection 1970 to present day

Even though recognition of the importance of interconnectivity is widening and deepening, the fiscal system remains the prime driver for the majority of westernised decision-making processes. This highlights the prime divergence between the drive for moving toward a deeper level of sustainable existence and the conflicting logic of capitalist accumulation. The current economic capitalist system is based in a conceptual framework of an ever expanding market cycle of production, consumption, and waste and which exists at a complex globalised scale.

With the form, function, processes and practices of the human conceptualised spheres currently geared to supporting an unrestrained growth and underpinned by a dominating competitive attitude, individual short term gains are, in the main, promoted ahead of more co-operative, whole systems benefits. Within this context, the increased global power of the multi-national corporate elites in particular, have had a dramatic impact on the capacity of many nation states' self-determination (Brown *et al.* 2011; Keil *et al.* 1998; Radjou *et al.* 2012; Robbins 2012; Zimmerer and Bassett 2003). From an Aotearoa bi-cultural lens, the multi-national globalised dominance over the nation-state of NZ could be argued as being the new form of 'colonialism' – albeit of a far more subtle, seductive and insidious variety. Far-reaching trade agreements are hammered out behind closed doors, softening nation-state boundaries and making decisions that will impact directly on how future generations are able to live. It is apparent that the logic of the market and the continued pursuit of growth, dominates most government thinking, but as O'Riordan comments, “markets have recently shown that they offer little guarantee of the long-term sustainability of humanity” (O'Riordan 2009 41), and indeed sustainable development at the national and sub-national levels continues to be viewed as an optional extra or worse, as a threat which needs to be nullified.



Recognising this philosophical divergence, from a whole systems lens, forms the first of three, modern city leadership dimension.

In Figures 2.1-2.4, humanity's awareness appears to be gathering a greater momentum toward recognising the importance of systems connectivity, once more. There also seems to be a growing acknowledgement that the prime and secondary systems exist within a dynamic relationship of perpetual change and therefore, society even at its best, will never achieve a state of 'perfect sustainability'. Any aspiration of attaining a state of perpetually balanced systems and spheres over time is therefore, an unrealistic goal. This does not mean however, that society should throw the sustainability 'baby-out-with-the-bath-water'. Given that the natural world is in this perpetual state of change, with as some argue, humanity having heightened both the pace and intensity of that

change, then communities – rural or urban – would be prudent to invest in a continuum of more sustainably oriented adaptive and re-adaptive systems. In order for this to happen, it would then seem logical that societies/cities will need to undergo a significant shift in value-set, where by the concept of sustainability is seated as the overarching guiding principle for all human decision-making processes moving forward.

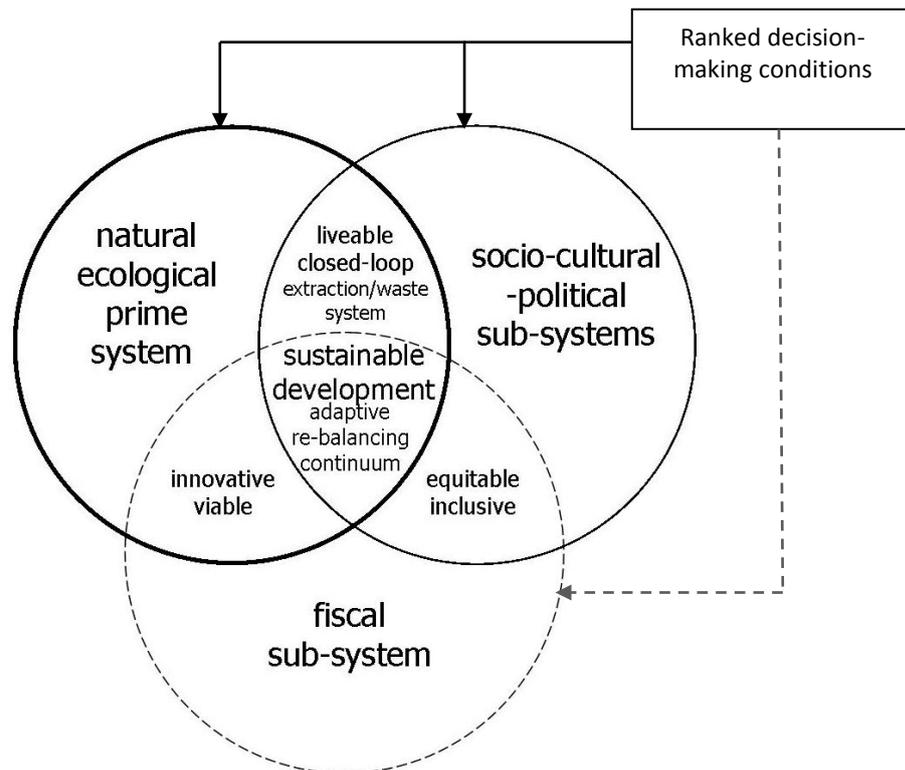


Figure 2.5: Interconnected Model

Figure 2.5 offers an interconnected model where a ranked decision-making process may take place. This sees the maintenance of the natural ecological system as the prime imperative, which is driven by an integrated socio-cultural-political sub-system that enables all basic human needs to be fulfilled, inclusively and equitably. The fiscal sub-system becomes an outcome (not the driver) of this framework orientation and would require significant social changes to the reasons for, and ways of, continuously adapting living and working environments. This shift however, would entail individuals choosing to be more altruistic, as the baseline social condition. This type of choice requires both, self and societal discipline to secure wide spread perceptual acceptance. ‘Gaining the numbers’

who are willing to co-operate is, therefore critical to offsetting the will of the few power elites or those who may be tentative or afraid of change, and who therefore, seek to maintain a status-quo within the known capitalist accumulative framework.

2.3.2 Value Frameworks:

In line with this discourse, each of the prime and sub-systems, while being ‘integrative and linked’, are also ‘diverse and different’. Many societies, view the latter two features of diversity and difference, as ‘bad or unacceptable’. This is demonstrated through attitudes such as racism and sexism, or behaviours associated with consumptive and/or proscriptive extremism (Rees 2002; Rydin 1999). Warren discusses this social construction in terms of an ‘oppressive conceptual framework with the logic of dominance’ – as per the left hand side of Table 2.2 (Warren 1990). It would seem however, that to embed the concept of sustainability, requires an opposing value-set to underpin the guiding principle, and if applying the opposite framework to Warren’s model this, may be seen as an ‘inclusive conceptual framework with a logic of balancing’ – Table 2.2 right side.

Table 2.2: Conceptual Framework Options

Oppressive Conceptual Framework	Inclusive Conceptual Framework
Framework Nature : <i>explains, justifies and maintains relationships of dominance and subordination</i>	Framework Nature: <i>explains, justifies and maintains relationships of inclusiveness and equity</i>
<p>FEATURES:</p> <ol style="list-style-type: none"> Value-Hierarchical Thinking; the up/down thinking that places higher value or status on an element of ‘up’ over ‘down’ and in this framework is usually linked to win-lose. Value Dualism; the disjunctive pairs, where opposites are seen as oppositional and exclusive and where one has a higher value over the other. The good/bad and win-lose of this framework. (For example where ‘mind, reason, male, white’ have higher value than ‘body, emotion, female, colour’) Logic of Domination; the structure of argument that leads to a justification of subordination. 	<p>FEATURES:</p> <ol style="list-style-type: none"> Value- Hierarchical Thinking; the up/down thinking when the overriding value is placed on the ‘up’ being the maintenance of a life sustaining ecosphere. (the win-win of this frame- work being based on the premise of: No Ecosphere, therefore, No Us) Equity Dualism; when disjunctive pairs of opposites are seen as unique, contributory and equal in value. (the added value lens of appreciation of difference) Logic of Balancing; the structure of argument that leads to a justification of interconnectedness and discernment.
Unsustainable View	Sustainable View

2.3.3 Resetting ‘Value’ with Numbers:

However, it appears that the dominant lens through which society and individual lives are structured, remains widely accepted as a resolute framework, lacking any broad collective will for fundamental change of the mainstreamed conceptual logic. Certainly, global and local rhetoric and agreements still appear devoid of any hard questioning or quantum visionary offerings toward what an alternative interconnected world may look like through the next hundred years. It appears therefore, that the key considerations as to whether the current organisational, political and economic constructs are appropriate to and valid for realising any alternative constructs, have been missed or are continually set aside in the ‘too hard’ or ‘no time’ baskets. The follow on question as to what sub-systems require re-designing in the short to medium term for the quest of a more liveable world, is left rudderless and wanting. Uncontested habits of everyday thoughts and actions (at the individual, group and civic levels), continue contributing to unsustainable inter-relationships, producing patchy and/or less than optimum system designs, decisions, outcomes and impacts. With this fundamental lack of collective mainstreamed enquiry, debate and re-design effort, is it any wonder that there exists a perpetuation of the sustainability aspiration/action divide? And, will the current or next generation, be any more likely, than past ones, to undertake the initial commitment needed to bridge this divide?

Games theory analysis may provide at least a greater understanding of the accepted rules of behaviour (Lowndes *et al.* 2006) and its influence on individual/collective ‘co-operation or defection’ process in decision-making. Clayton and Radcliffe provide that, “the repeated studies of the ‘prisoner’s dilemma’ show that it is usually very difficult to persuade people to co-operate rather than defect” (Clayton and Radcliffe 1996 169-170). In general, trust must be built through repeated positive interactions, so that social pressure may be developed to influence thinking towards more sustainably cooperative practises – this is fundamental to the third sector’s nature (see 2.4.2) and this perspective links to humanities intrinsic social conditioning, as discussed earlier in this Chapter. When the majority of the population is committed to cooperation, embedded change

occurs with greater pace and consistency (see for example, Hofstadter 1985). Clayton and Radcliffe, assert however that,

...exhortation [buzz-words] and education may not be sufficient to persuade enough people to change their behaviour and sacrifice [or re-invent] perceived personal benefits for a [greater present or future] communal good ... If this is the case then intervention may be needed to provide incentives for cooperative behaviours and disincentives to discourage defection (Clayton and Radcliffe 1996 171).

As intervention is given ‘teeth’ in a democratic society through legislation, it also means that governments must embrace a richer understanding of the concept of sustainability, to enable environments where sustainable development – the practise of conscious policy-planning-action that moves society toward greater sustainability success – may be achieved. In reference to Figure 2.5, the system logic must therefore, move away from the tail wagging the dog. This requires a form of networked leadership based on genuinely caring for and engaging with others, through an attention to acting consistently and authentically in good faith with appropriate language use and a desire to nurture collective knowledge and capacity across and for the benefit of all. There are many case studies and research examples published through the ICLEI website (iclei.org/), for example, that support these core leadership skill-set needs. In many of these case studies, leaders are acutely aware that they need the support of followers to overcome current system/sphere path dependencies – (see for instance, Lowndes 2005). To create more successful leadership networks, it seems practical that humanity needs to attentively and collectively:

- a) Re-invigorate a greater level of on-going sustainability capacity (through purposive enquiry, debate and knowledge-building) in order to inform more effective levels of analysis and decision-making within, across and between all societal spheres,
- b) Re-create the human sub-systems to embed greater flexibility/innovation into the way people live by offering a more sustainable lifestyle and livelihood (both high and low tech) options and choices,

- c) Re-frame how society determines ‘value’ and its application, from the view point of maintaining continuity of the prime system, now and for future generations.



Understanding these three conditions appears to be the key challenges for leaders and followers in the twenty-first century and forms the second foundation of the modern city leadership dimension.

2.4 Sustainability and Wise City Governing

Traditionally cities have been excluded from debates on addressing environmental problems. In referencing to (Houghton and Hunter 1994; Owens 1992), Bulkeley and Betsill comment that,

This separation can in part be traced through heritage of the conservation ideal which dominated environmental thought between the nineteenth and late twentieth century, and identified ‘the rural’ or ‘wilderness’ as the ‘environment’, which needed to be preserved against the encroachment of the city/culture (Bulkeley and Betsill 2003 21).

The mainstream interpretation of ‘environment’ as being external to the city was challenged by the Brundtland Report, which argued that as the majority of the world’s population continues to move into the urban space, cities should be central to the pursuit of the concept of sustainability and the sustainable development focus (WCED 1987).

2.4.1 Impacts, Crises and Continuity:

Certainly as the world’s cities have grown in size, density and scale (Bulkeley and Betsill 2003), the risk of environmental conflicts and failures have also increased exponentially. History has provided many occasions where cityscapes failed to meet their continuity challenges and have therefore, been severely compromised or simply ceased to exist. There are three broadly framed causes of this (Ponting 1992; unep.org/disastersandconflicts/; Rees 2002):

- i. Natural Disasters: When human settlement comes into conflict with nature’s volcanic, tidal, tornado or earthquake systems, making it impossible to live, or too resource intensive to continue to live, in that setting,

- ii. Warfare: When human to human conflict escalates to invasion and destruction of pre-existing social, cultural and economic sub-systems, increasing migration, fragmentation and heightening mortality rates, and
- iii. Unconstrained Consumption: When the carrying capacity of an area has been exceeded by an unrestrained over-use of the surrounding natural environmental support systems, threatened by desertification, lost biodiversity and rampant urbanisation that in turn increases waste streams into the eco/biospheres.

Clayton and Radcliffe discuss two organisational commonalities to these continuity failures as:

- a) Patterns of demands: The unsustainable thinking and actions based on a limited 'value' assignment (section 2.3.1-2.3.3) that produce a heightened conflict between the primary system's natural rate of change, and the social sub-systems inability to adequately respond to either; i) these changes, and/or; ii) the increased rate of change caused through unconstrained and poorly executed human demands (Clayton and Radcliffe 1996), and
- b) Missed Cues: The critical signals that are missed until it is too late to adequately respond (Clayton and Radcliffe 1996; Rerup 2009).



Holding a capacity to govern these demands and having purposely designed sub-systems that support attention and the timely responses to these critical cues, forms the final foundation of the modern city leadership dimension.

In order to activate these dimensions within the modern city context, it is critical to understand the natures of city/state and commerce.

2.4.2 Nature of City/State and Commerce:

Taylor focused his study around such an enquiry (Taylor 2007). He evaluates the natures of city/state and commerce, via the concept of basic social practises that work to produce and reinforce these constellations (spheres). Taylor takes his lead from Jane Jacobs' less well-known work that begins by her noticing

contradictions of moral behaviours. For instance, the circumstances when loyalty appears as more important than honesty, and so forth. Through a process of wide literature immersion, Jacobs sought out patterns in lists of precepts (rules) that highlight the do and don'ts of westernised behavioural acceptability. She found that the clusters of these rules fell into two separate groups – guardian and commercial, each with its own set of constructed integrity (Jacobs 1992 19-28). Taylor links Jacobs' work with Castell's 'spatial place and flows' discourse and Scott's research on 'designs for social organisation'. Taylor's full conceptual discourse is summarised in Figure 2.6 (Appendix L). However, in Table 2.3, Taylor uses Jacob's ordering and discussion of each syndrome, to provide clusters of related rules.

Table 2.3: Commercial/Guardian Syndrome

Commercial Syndrome (Trading / Makers)		Guardian Syndrome (Protecting / Takers)	
<i>Clusters</i>	Precepts	<i>Clusters</i>	Precepts
<i>Key Virtue</i>	Be Honest	<i>Key Virtue</i>	Be Loyal
<i>Other Basic Cluster</i>	Shun Force Seek Voluntary Agreements	<i>Other Basic Cluster</i>	Shun Trading Adhere to Tradition / Mandate Agreements Be Obedient & Disciplined Respect Hierarchy / Exert Prowess
<i>Operating Cluster</i>	Collaborate with Strangers Compete Respect Contracts Use Initiative Enterprising/Entrepreneurial	<i>Operating Cluster</i>	Deceive (Spin) for the Sake of the Task Maintain own Ground (silo) Take Vengeance Protect Internal Entrepreneur
<i>Progress Cluster</i>	Open to Inventiveness Open to Novelty Be Efficient / Effective Promote Comfort Convenience Dissent for Sake of Task	<i>Life-style Cluster</i>	Make Rich Use of Leisure (9-5 mentality) Be Efficient (doing things well) Be Ostentatious Dispense Largesse Be Exclusive Show Fortitude
<i>Commercial Capital Cluster</i>	Invest in Productive Purpose Be Industrious Be Thrifty Assess Cost/Benefit (fiscal) Manage Risk (medium-high)	<i>Institutional Capital Cluster</i>	Invest in Functional Purpose Be Present Do the Work Assess & Mitigate Risk (low)
<i>Life Cluster</i>	Be Optimistic Treasure New / Acquisition	<i>Life Cluster</i>	Be Fatalistic Treasure Honour
Free Market / Win-Win		Ruler / Win-Lose	

Source: (Taylor 2007 136 Table 1) Reproduced with permission

The prime rules are key virtues, because the two ways of making a living would break-down if these precepts are sufficiently violated. For example: Trading must be sustained by honesty, while tax-taking requires group solidarity/loyalty. The key virtues are backed by sub-sets of rules. For instance, in the guardian

syndrome, trading is shunned, as it may lead to corrupt transactions, while in the commercial syndrome, force is shunned as it may lead to unfair or coerced transactions. After Jacobs delineated the original two syndromes, she focused on how they interacted, arguing as Taylor states,

...the integrity of each moral syndrome must be maintained to prevent corruption: modern development practise whereby States direct economic change (commercial practise) has been cited as just such a corruption - creating a guardian/commercial hybrid (Jacobs 1992 214) as in (Taylor 2007 137).

To the Jacobs/Taylor model, this literature review in conjunction with prior NGO experience indicates that the emerged third sector forms an additional syndrome which is named here as the ‘Networked Syndrome’ (connecting/relaters):

Table 2.4: Networked Syndrome

Networked Syndrome (Connecting / Relaters)	
<i>Clusters</i>	Precepts
<i>Key Virtue</i>	Be Open
<i>Other Basic Cluster</i>	Balance Force & Trade Moderate Be Inclusive Be Enquiring Voluntary Agreements
<i>Operating Cluster</i>	Collaborate with Strangers Engage and Educate All Respect ‘Self & Other’ Harness Collective Initiative Inspire Inventive Entrepreneur
<i>Progress/Life-style Cluster</i>	Open to Inventiveness Dispense Support Show Fortitude Be Effective (adding value) Promote Local Convenience Dissent for Sake of Common Good
<i>Social Capital Cluster</i>	Invest in Support Purpose Be Collectively Industrious Be Thrifty - <i>Consume/Waste Less</i> Assess Cost/Benefit (TBL) Manage Risk (low-medium)
<i>Life Cluster</i>	Be Realistic Treasurer Prime System
Interconnected Market / Win-Win-Win	
Extension of Model (3rd Sector/Global Emergence)	

In pursuing the idea of Local Government/Governance ecological modernisation, as presented by Stoker, it is clear that the notion of City/State has moved beyond the Jacobs/Taylor more austere Guardian Syndrome and associated precepts, to evolve through at least two hybrid permutations. Stoker’s discourse presents a

retrospective look at the transition of local government in the European Union/United Kingdom (EU/UK) has taken from the 1950's through to 2011. He also outlines the four societal roles that local governing systems in the EU/UK undertake through the practice of the evolved networked community governance (NCG) model (Stoker 2011 21-23) and the functions of these can be assessed against the moral syndromes of Jacobs/Taylor (shown in **white**), as follows:

Table 2.5: Four Societal Roles of UK Local Governing Systems

ROLES:		FUNCTIONS:
a)	supporting of political identity ,	Expression of identity to promote a city: Commercial Syndrome
b)	underwriting economic development (ED),	Regulation and by-laws to encourage ED: Guardian Syndrome Provision of direct venture capital or other forms of industrial development: Commercial Syndrome
(falls between ED & social welfare)		Provision of basic infrastructure (water, waste, roading, energy and public transport) to manage health of society and generate taxation/levying opportunities: Guardian Syndrome
c)	facilitating social welfare provisions,	Human capital development through education provisions/links, direct work force training & skills: Guardian Syndrome Provisions of health, housing, welfare and redistribution support: Guardian Syndrome
d)	acting as life-style co-ordinators / place shaping .	Encompasses the broader co-ordinating role in supporting citizen change to develop healthier more sustainable lifestyle choices. Joins up resources and activities with community needs. Uses visionary leadership to influence connective up-down, inward-outward and across agency support: New Networked Syndrome

Sources: Stoker 2011 21-23 and Taylor 2007

It appears from this exercise that modern city governing must possess all three syndromes in order to perform its role. (Stoker 2011 18 Table 1) also, presents the key elements and characteristics of the three transitional eras of local governing in the EU/UK, and the Traditional Public Administration (TPA) phase certainly shows alignment to the Jacobs/Taylor 'guardian moral syndrome/precept cluster' concept.

Table 2.6: Nature-Function Analysis

	TRADITIONAL PUBLIC ADMINISTRATION ‘Taker’ (Taylor, 2007)	NEW PUBLIC MANAGEMENT ‘Taker-Maker’ (Taylor, 2007)	NETWORKED COMMUNITY GOVERNANCE ‘Taker-Maker-Relater’ (Taylor, 2007)
Governing System Key Objectives	<ul style="list-style-type: none"> Manage Inputs Service delivers in National Welfare State context 	<ul style="list-style-type: none"> Manage Inputs & Outputs Ensure economy Ensure customer responsiveness 	<ul style="list-style-type: none"> Overarching goal: Greater effectiveness to tackle problems public care most about
Dominant Ideologies	<ul style="list-style-type: none"> Professionalism Party Partisanship 	<ul style="list-style-type: none"> Managerialism Consumerism 	<ul style="list-style-type: none"> Managerialism Localism
Public Interest Definition	<ul style="list-style-type: none"> Politician/Expert Driven Little Public Input 	<ul style="list-style-type: none"> Individual Preference Aggregation Demonstrated by Customer Choice 	<ul style="list-style-type: none"> Complex Interactive Individual and Public Preferences
Account-Ability Dominant Model	<ul style="list-style-type: none"> Top Down Overhead Democracy – voting in elections, mandated party politicians, tasks achieved through control over bureaucracy 	<ul style="list-style-type: none"> Top Down / Bottom Up Separation of Politics and Management Politics gives direction only Managers manage / hands on control Additional loop of consumer assessment built into the system 	<ul style="list-style-type: none"> Multi-Directional Elected Leaders, Managers and Key Stakeholders involved in search for solutions to community problems and effective delivery mechanisms System in turn subject to challenge through elections, referendums, deliberative forums, scrutiny functions and shifts in public opinion
Preferred Service Delivery System	<ul style="list-style-type: none"> Hierarchical Departmentalised (Silos) Self Regulating Profession 	<ul style="list-style-type: none"> Private Sector Tightly Defined Arms-Length Public Agency 	<ul style="list-style-type: none"> Menu of Alternatives Pragmatically Selected
Public Service Ethos Approach	<ul style="list-style-type: none"> Public Sector Monopoly Service Ethos Consistent across all Public Bodies 	<ul style="list-style-type: none"> Public Service Ethos Scepticism (leads to inefficiency, inequities and empire building) Favours Customer Service 	<ul style="list-style-type: none"> Equity Based – no one sector has monopoly on public service ethos Maintenance of relations through shared values is critical
‘Higher’ Government Tier Relationships	<ul style="list-style-type: none"> Tightly Bound Partner Relations with Central Government over Delivery 	<ul style="list-style-type: none"> Upward through Performance Controls Key Performance Indicators (can be open to misuse/abuse by Managers using as ‘exiting’ mechanism) 	<ul style="list-style-type: none"> Complex Multi-directional Regional, National, European (Asia-Pacific) Negotiated and Flexible
UK/EU Evolution Time Frames	1950-60’s	1970’s	1990’s >

Source: Stoker, G. 2011 18: Table 1 Era of Local Governing (reproduced with permission) and overlaid with Taylor, P. 2007: hybrid moral syndromes (white)

Here again, it is apparent that the function of local governing (government plus governance – see 2.4.3) in the EU/UK has evolved to require a ‘tri-brid’ (taker-maker-relater) nature, requiring all three components of the ‘Commercial, Guardian and Networked’ moral syndromes to be present in local government organisations. This analysis is supported in Stoker’s assertion that “we need to make a conceptual leap forward to enable us to grasp and analyse the emerging world of local government” (Stoker 2011 20). He further states that,

Community governance can be seen as a role that has emerged as a response to changes in people’s lifestyles and the complexity of modern life and its associated challenges. Local Governments have moved from ‘hard-wire’ challenges to a concern with ‘soft-wiring’ society ... so complexity of function, scale, purpose and responsibility are part of the modern condition and community governance is the response because it is only through giving scope for local capacity building and the development of local solutions that we can hope to meet the challenges posed by these complexities (Stoker 2011 23).

So, if, evolution of the local governing sphere has ‘moved on’ from the bounded guardian moral syndrome, discussed by Taylor, to requiring a more ‘*tri-brid*’ nature in order to meet the modern societal and economic sub-system demands, then what checks and balances are in place to avoid the potential for hybrid corruption that originally concerned Jacobs?

2.4.3 The Concept of Governing:

Evans *et al.* DISCUS study paper, offers that,

... the changes required to achieve sustainable development are of such magnitude that they cannot be secured by government acting alone. It will be necessary to mobilise the energies and initiative of citizens, interest organisations and stakeholders – ‘local communities’ – if changes in attitudes, values and behaviour are to be secured [and sustained over the long term]. The governance process is regarded as a key mechanism to involve and incorporate citizens and local organisations into the decision-making process, thereby increasing political engagement and levels of acceptance of what are often difficult decisions (Evans *et al.* 2006 849).

The DISCUS study tested the veracity of the A21 proposition that, ‘good governance is a prerequisite for sustainability success’ and proposed a theoretical

framework for local sustainable development linking the concept of institutional capital, social capital and governance to provide a model for understanding the governing of local sustainability. Research was undertaken between 2001-2004, involving forty European towns and cities in order to comprehend the institutional and social factors and conditions that, may contribute to local sustainable development policy and practice, achievements or failures. The concept of governance was central to this research, but its prime focus was via the process of sustainable development ‘governing’. This encapsulates the two intertwined processes of government and governance. Within the DISCUS study, ‘Government’ was defined as the sphere of local Authority activity – the internal organisation comprising the legal, financial and political processes. This associated knowledge, resources, leadership and learning, that makes local governments effective and dynamic entities, was termed ‘*institutional capital*’. While ‘Governance’ was defined as the sphere of public debate, partnership, interaction, dialogue, conflict and dispute entered into by local citizens, organisations and by local government and this was given the title of ‘*social capital*’. ‘Governing’ is the term that Evans *et al.* used to describe the interaction between the two processes.

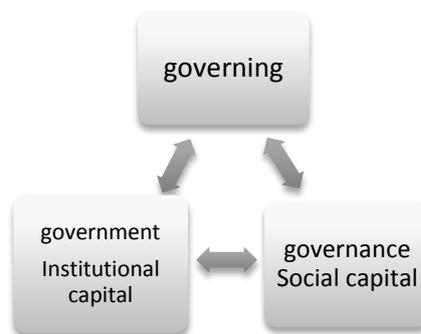


Figure 2.7: 3G Relationship

Source: (Evans *et al.* 2006 851 Figure 1B) Reproduced with permission

The Evans *et al.* study concludes with the establishment of a model that links the relationship between social and institutional capacity, capacity-building measures and sustainable development policy outcomes. The DISCUS model illustrates how the various spheres of governance and government interact to produce four governing categories.

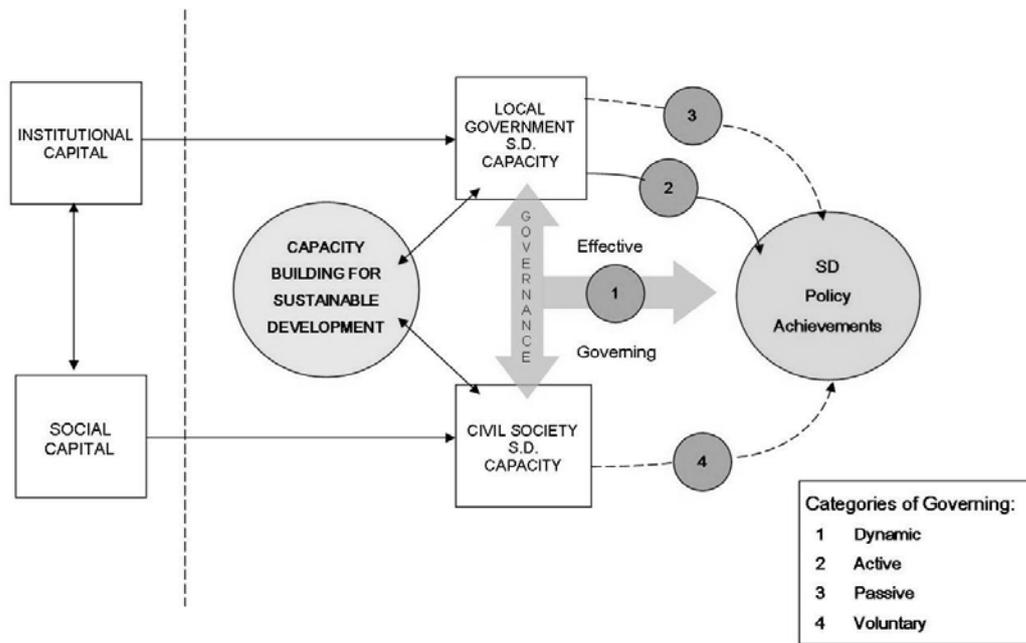


Figure 2.8: DISCUS Model

Source: (Evans *et al.* 2006 858 Figure 3) Reproduced with permission

The DISCUS research findings evidenced that,

... government and governance, institutional capital and social capital can exist in a symbiotic relationship and in the case of sustainable development policy the intensity of tangible policy achievement is almost always linked to a high level of dialogue between local government and civil society...Local governments who show the widest range and greatest intensity of achievement are also those who have recognised their central role in promoting and taking action on sustainable development issues (Evans *et al.* 2006 865-866).

From this European study, it appears that what keeps the evolved ‘tri-brid’ nature of the modern governing system in check against corruption and promoting the mind-set changes needed to cooperate in realigning value toward greater sustainable development success, may be the level of transparent, dynamic and ongoing interaction between the institutional and social capital (the spheres of government and governance) with its associated capacity for embedding ‘effective (wise) local (city) governing’. The Stoker, Taylor and Evans *et al.* concepts and theories will be drawn upon further for the NZ mid-sized city research in Chapters Four and Five.

2.4.4 Organisational Design and Attention:

So given that the worst scenario for humanity is non-existence, then it would seem ‘*wise*’ to move to a more prudent way of creating greater sustainability-oriented lifestyle and livelihood sub-systems.

Box 2.1: Wise

The term ‘*wise*’ in this study utilises the Oxford Dictionary definition:

Adjective:

- having or showing experience, knowledge, and [sound] judgement: *a wise precaution*
- sensible or prudent: *it would be wise to discuss the matter with the citizens*
- having knowledge in a specified subject: *he is wise in the ways of sustainability*
- (**wise to**) *informal* aware of, especially so as to know how to act: *at seven she was already wise to social expectations*

Verb:

- [*no object*] (**wise up**) *informal*: become aware of or informed about something: *‘to wise up to the degradation of the world’s life support systems’.*

As discussed earlier, human beings hold the capacity and capability to choose to wisely evolve their lifestyles and livelihoods toward a more integrated whole-system and richer value-based approach. This relies however, on a mainstreamed collective willingness, in some cases, to delay immediate gratification or to certainly be more vigilant to what may constitute ‘enough’. The 2006 Evans *et al.* study evidenced that local government has a pivotal role to play in mobilising this transition, at the local individual, group and civic levels, but as Taylor and Stoker’s research shows, shifting toward a ‘tri-brid’ nature in response to natural/human ecological needs, leaves central and local governments potentially exposed to a greater risk of creating unwise governing systems, driven by the short term decision-making preset. Furthermore, it appears that if these public organisations have not completed a full transition to a networked community governing or similar model, where-by dynamic social and institutional capital relations can keep the Authority in check, then the urban space runs a high risk of full or partial continuity failure(s).

Thus the proposition for this study is that, if the model of ‘wise city governing’ is achieved through the two equally interactive spheres of government and governance, then any deficiency in one or other of these spheres must have a limiting impact on the collective capacity of the city to innovate and adapt over time and therefore reduce the degree to which cohesive sustainable development

success is achieved. As key local promoters for a more sustainable future, a base line prerequisite for city Authority organisations must be that they have their own sustainability-house in order before wise city governing can be successfully informed, formed and embedded.

Hock wrote,

...we are experiencing a global epidemic of institutional failures that know no bounds. We must seriously question the concepts underlying the current structures of organisation and whether they are suitable to the management of accelerated societal and environmental challenges (Hock 1999 6).

He further argues that it is imperative to correctly identify the core problem(s) of systemic institutional failures, in order to move toward greater sustainable development successes at speed, with confidence and to enable each success to be built on the previous one. In applying this organisational thinking to the city Authority setting, alignment is found with other institutional design and organisational theory discourses (Coles 2004; Coles and Buckle 2004; Comfort *et al.* 2001; Lowndes 2005; Lowndes *et al.* 2006; Perrow 1999; Pirson and Turnbull 2011; Stead and Smallman 1999). Additionally, O’Riordan presents that, “the credit shortage and recession offers a golden opportunity, not to restore the old ways, but to explore and innovate new ones” (O’Riordan 2009 43). This provides links to Brittney Trilford’s Rio+20 challenge, as well as, the discourse on Jugaad Innovation and the need to transition cities from a ‘Smart to Wise’ (Radjou *et al.* 2012; Radjou 2012). In comparing the Radjou *et al.* commentary with Gallopin’s 2003 discourse, four factors of sustainability-oriented governing institutions with associated descriptions can be assembled as per Table 2.7. O’Riordan’s statements also aligns with the work of Rerup on attentional triangulation and learning from organisational rare events (Rerup 2009) and this links back to earlier discussions on the two continuity failures (Clayton and Radcliffe 1996), and in particular to the second parameter of ‘missed cues’ (Appendix B).

These aspects are drawn upon further in the selected city case study (Chapter Five).

Table 2.7: The Four Factors of Sustainability-Oriented Governing Institutions

SD Factors: GAIA <i>(developed from Radjou et al. 2012)</i>	Description of Sustainable Development Requirements: <i>(summarised from Gallopin 2003)</i>
G ood Governing Leadership	<ul style="list-style-type: none"> Identifying and protecting the accumulated foundations of knowledge and experience that are important as a basis upon which to build [and deliver good decision-making];
A daptability and Innovation	<ul style="list-style-type: none"> Stimulating innovation, experimentation and social creativity [to stimulate sustainable QBL ‘wealth’ solutions];
I nterconnection and Diversity	<ul style="list-style-type: none"> Sustaining the social and natural foundations for adaptation and renewal, and; Identifying and enhancing the lost renewal capacity needed [for the next generation];
A gility and Flexibility	<ul style="list-style-type: none"> Removing accumulated rigidities and impediments [to achieve better sustainable development].

2.5 New Zealand Local Authority Landscape

*Whatu ngarongaro he tangata,
toitu he whenua
... Man disappears but the land remains ...*

2.5.1 The Setting:

Aotearoa/New Zealand (NZ) is a relatively young Nation-State. Its primordial landscape was inhabited approximately 800 years ago by Polynesian settlers from the ‘Great Fleet’. The first settlers found a land rich in resources, from sea to forest to mountains, and set within a changing and turbulent geology. By the time of the first European whaler, sealer and early trader’s arrival some 200 years ago (around 1791), it is argued that Māori communities were well established in their socio-cultural constructions, with their Te Ao Māori (world view) grounded toward the pre-industrial model shown in Figure 2.1 (King 2003; nzhistory.net.nz/; teara.govt.nz). By contrast, the years of population growth patterns, competition for space and resources had shaped the Western Continental psyche to a successful ‘win-lose’ survival instinct focused within the socio-political and fiscal sub-systems, as represented in Figure 2.2. Today the NZ nation continues to have this interplay of dynamic tension that exists within and between the two cultural frameworks, with this bicultural duality residing as a key feature of the NZ sub-

systems context. The problematic aspects associated with the intention and interpretation between two languages and two cultures is evident, for example, within the 1840 Treaty agreement and has continued to manifest itself throughout the Nation's history.

Modern NZ, as a country represents 0.063 percent of the total world population and possibly because of its remoteness and natural abundance, uses a disproportionate amount of resources per capita of population – see for instance, NZ Statistics Sept 2011; *Living Planet Report* WWF 2012. Additionally, empirical data indicates that NZ societal attitudes toward consumption and waste continue to be embedded with unsustainable thinking and action that lacks any real urgency of attention, while behaviours around racism and gender bias remain deeply entrenched within and across many individual, group and civic environments (Harre 2012). Local city and town spaces also still appear to be inadequately prepared to comprehensively and collectively address their localised social, ecological and economic issues. For example, local level, disaster and continuity response planning has only recently been given nation-wide attention. How NZ local government has developed to its current position, is discussed in the remainder of this chapter.

2.5.2 Local Government Development:

The early development of local government in NZ was, as Scott *et al.* states, “notable for its lack of a cohesive approach to sub-national forms of governance” (Scott *et al.* 2004 2). Bush also noted that, “early attempts to establish local councils were met with ambivalence from locals and reluctance from the colonial administration” (Bush 1983 12). The Municipal Corporations Ordinance in 1842, however, allowed for the proclamation of boroughs once the population numbered 2000, while the subsequent 1846 Constitution Act envisaged that municipalities would be endowed, as cited in Scott *et al.*, “with as considerable a share in the number and weight of governing functions as they may be capable of sustaining” (Scott *et al.* 2004 3). In 1850, an attempt to rationalise the provinces by central government was proposed, with the six provincial legislators, in 1853, finally

being given powers to make and ordain all laws required for peace, order and good government within their local areas. As Sutch comments,

...these powers included the establishment of town and country authorities and led, in the 1860's, to a more systematic approach to town planning, although clear and consistent policy, across the counties, continued to be elusive (Sutch 1956 18).

2.5.3 Central-Local Government Relations:

The formation of local government in NZ reflected the highly centralised control of the central/local government relationship, with central government swinging between forms of semi-devolution and back to tight reviewing of functions and the erosion of services. The emergent State of the 1800's cited 'concerns with infrastructure, successive local failures and the need for national investment', to shore up its position and implement the now historical division between central and local government functions. Services that mattered to the welfare of all citizens – health, education, policing, fire, housing and welfare – come under central government control. (Scott *et al.* 2004 4-17). Today the central government continues to not only lack the willingness to devolve significant responsibilities to local government, but also retains 'strategic interest' in certain aspects of council's functional and service delivery performance. See, for example, Scott *et al.*'s Table showing the range of statutory/non-statutory local government functions with central government strategic interests, as at the end of the twenty first century (Scott *et al.* 2004 12). It may be considered therefore, that while local government's functions (its powers and purpose) are determined by NZ Parliament, the operating processes (how it applies these powers and purpose) are primarily left to its own devices.

In respect of its statutory determinations, this NZ situation is not usual, but Federal societies tend to have local government powers set constitutionally, and alongside of the powers of the National State. Unlike many city government and municipalities in Europe and America (Appendix L), NZ local government has therefore, not been forged from the more historical drive for 'freedom and autonomy', but has emerged from a more pragmatic and centrally prescriptive 'functionality' (Bush 1980; Norton 1994; Scott *et al.* 2004). More-over, as a

creature of statute, its struggle for form, function, process and practice, has evolved from within a ‘power-laden, hierarchical’ relationship with central government, rather than through the development of a more intense relational understanding with its local civil society – and, this attitude continues today, as demonstrated recently by MP, Maggie Barry’s claim that, “Government does the governing, local authorities deliver the services” (as in Harris 2012). Further-more as has become apparent – certainly over the last two years, as the economy has tightened – decision-making, measurement mechanisms, accountability reporting and administrative/elected representative responsibility for collective errors in judgement, have been found to be woefully lacking within the local government landscape (Appendix B) and this appears highly reflective of its past historical performance.

By the 1980’s, however, more than 780 elected cities, boroughs, counties, boards and authorities had been established and were serving fewer than four million people. The Local Government Reforms Act of 1989 dramatically reduced the units of governance so that today, NZ has 78 local territorial authorities (11 regional councils, 12 metro/city councils, 54 district councils and one super-city Authority) with six of the metro/district authorities also having additional regional powers to act as unitary authorities (dia.govt.nz). The 1989 consolidation, aimed to move local authorities out of its traditional public administrative (TPA) operating mode and towards a more effective and efficient incarnation of the new public management (NPM) system (Stoker 2011 18 Table 1). Scott *et al.* indicate that the contemporary NZ model developed from highly fragmented strands of multi and single purpose local authorities to a more Anglophone typology (see Appendix L) as a result of influences of the latter part of the 20th Century. Scott *et al.* further asserts that,

...since the 1989 local government amalgamation and re-organisation, councils have become comparatively large with functions selected on an instrumental basis and have adjusted to working in a contestable (competitive funding) environment, utilising more market-style instruments and are more willing to subject their functions to policy review (Scott *et al.* 2004 6).

In moving down this path, however, local government in NZ looks to have taken on the form of a ‘corporatised-government’ hybrid (Jacobs 1992; Taylor 2007) which differs from the ecological modernisation efforts of the EU/UK – see for example, the five dimensions of ecological modernisation discussed in the Geoform 31 Editorial (Murphy 2000).

The subsequent NZ LGA 2002 changes, driven by a Labour led government (on the back of the 1992 National led government’s A21 sign-off) reflected an endorsement of moving toward achieving greater integrated sustainable developmental at the local level. This was done by aiming to nudge local government further in the direction of the networked community governance (NCG) model (Stoker 2011). This echoed Chapter 28 of A21 – Local Agenda 21 – where good governance was seen as a pre-requisite for local sustainability. The 2002 widening of purpose, to include provisioning for social, ecological and economic outcomes, aimed to allow Council organisations to take on additional and/or discretionary functions as aligned to their community needs. Reid offers that LGA 2002 intended to, “...reorient Councils from a service ‘delivery’ to the ‘broader’ roles concerned with community well-being, strengthening community leadership and steering the local and regional service providers towards local [sustainability] goals and strategic objectives” (Reid 2010 i). While Cheyne adds that the effect of the LGA 2002 in NZ and the modernisation agenda in the UK has been to, “shift the two systems more toward the North European approach” (Cheyne 2008 43-44; see Appendix L also). It appears from a whole systems perspective however, that while the LGA 2002 reforms aimed to open Council organisations up and out to engage the public into more of a participatory political process, this intention sat firmly at odds to the ‘DNA’ of NZ local government’s historically established nature, which was reinforced by the previous 1989 Amalgamative Act change.

2.6 Summary

This study considers that the prime system is the earth and its ecosphere. All human conceptualised constructs, form spheres of the secondary system because, if the prime system fails, there is no capacity for life. The concept of a City falls

within the secondary system, and as these conceptualised spheres are humanly constructed, they should possess the intrinsic qualities of flexibility, innovation and adaptability. However, as the human constructs have become more complex, following a conceptual logic of capitalist accumulation, the pathway toward a more sustainable, whole systems approach has become increasingly divergent from the accepted mainstream paradigm, with its tightly bound path dependencies. In order therefore, for sustainable development to gain ground and sit as the overarching guiding principle within an alternative societal ‘value frame’, these path dependency positions have to be overcome. Creating this shift in power requires genuine, multi-levelled, sustainability-oriented leadership – a wise leadership, which may inspire the support of followers and gain ‘the numbers’ required for securing change. The modern city construct, requires leaders who possess at least these three core dimensions.

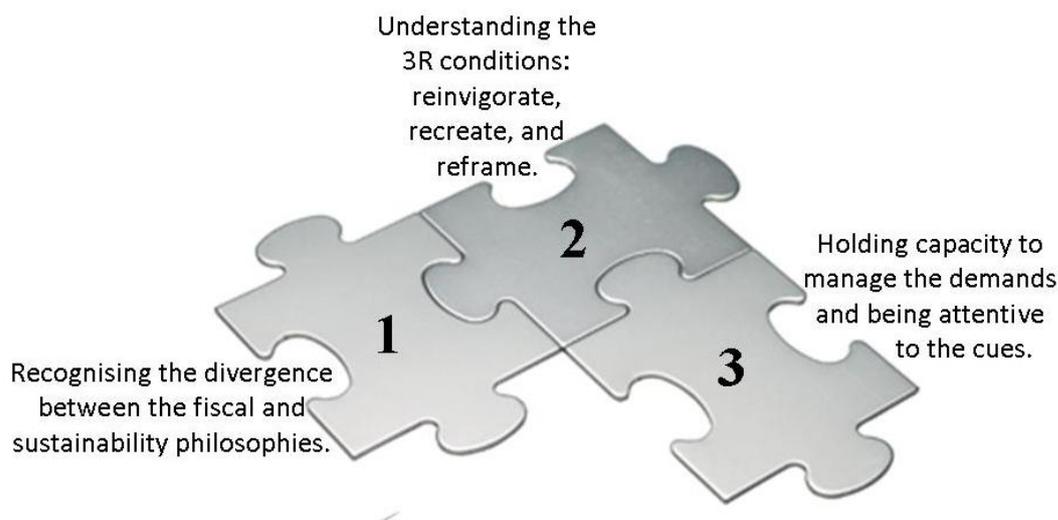


Figure 2.9: Three Core Dimensions of Modern City Leadership

This leadership however, does not reside in a single domain, but rather sits within all spheres of the secondary system, and is underpinned by the urgency for purposive capacity building within, across and between the local institutional and social capital networks. As cities are growing rapidly in size, scale and density with people moving into the urbanised setting, the risks of environmental conflicts and failures have exponentially increased for these places and spaces of modern complexity. This geographic shift, not only places pressure leadership quality but

also on the traditional system of city government so that better local govern-*ing* systems may be evolved, turning the phrase ‘think global, act local’ into ‘act local, think global’.

This re-phrasing creates greater opportunities for innovative solution making, to local problems which, if successful, can then be shared to either, enhance knowledge and capacity building, or scaled-up to national or international markets who may share a similar problem-set. In India, for instance, this is known as Jugaard innovation, and is akin to the ‘kiwi #8 wire’ approach. Jugaard innovation is proving highly successful for the local scale, being replicated at the local level, for example in the United States, but requires a completely different approach at its foundation.

The different institutional approaches with key characteristics can be seen in the Table 2.9.

Table 2.9: Institutional Approaches and Key Characteristics

Structured Approach	Innovative Approach
Business as Usual <i>Traditional Public Administration and New Public Management Models</i>	Sustainable Orientation <i>Networked Community Governance and Integrative Co-governing Models</i>
<ul style="list-style-type: none"> - Rigidity - Insularity - Elitist - Uniformity - Protective/Closed - Slow/Bloated - Conflict Adverse 	<ul style="list-style-type: none"> - Flexibility - Interconnected - Inclusive - Diversity/Uniqueness - Transparent/Open - Agile/Lean - Problem/Solution Focused
<i>(greater potential for spin/cover up behaviours)</i>	<i>(greater potential for ethical and authentic behaviours)</i>

In developing the ‘innovative approach’ further, the associated attributes of sustainability-oriented governing institutions, may also be charted:

Table 2.10: The Eight Characteristics and Attributes of Sustainability-Oriented Governing Institutions

Flexibility	<i>conscious thought & action across team or flexi-team structure (no silos) responsive & proactive problem identifying & solution delivery focused</i>
Interconnection	<i>multi-dimensional perspective embraces & capable of managing complexity and conflict resolutions</i>
Inclusion	<i>participatory and trust building within-across-between ethical decision-making, authentic leadership and professional integrity based actions</i>
Diversity & Uniqueness	<i>embraces ethnic, gender, generational viewpoints in both spheres: externally public-customers/internally staffing</i>
Accountability	<i>open and transparent, robust data system for information retrieval and accurate, real and credible</i>
Agility & Leanness	<i>organisationally leads by example of using less and doing more</i>
Respect	<i>demonstrates consistent good faith through alignment of actions at all levels with policy, statutory and legal requirements</i>
Continual Improvement	<i>outcomes that deliver consistent aligned quality results and are committed to adjustment and continual improvement from feedback systems. ownership of result if targets miss the mark and communication around learning and planned change to do better</i>

The factors, characteristics and attributes described in Tables 2.7, 2.9 and 2.10 have been taken forward to inform the research presented in Chapters Four and Five.

2.7 Research Question

In considering the literature review within the interwoven concept of social constructionism and whole systems theory, the aim of this research asks, in what ways might the model of wise city governing, bridge the apparent sustainability aspiration-action divide, within the New Zealand mid-size cityscape?

From this prime thesis study question and four research sub-focus questions, have unfolded:

1. *To identify where the NZ local governing modernisation effort sits when compared to the European Union/United Kingdom (EU/UK) experience.*
2. *To discover what the NZ mid-sized city Authority's organisational perceptions are toward their current level of sustainability aspiration-action continuum success, and what, if any, barriers to transformational progress are also being experienced.*
3. *To identify how and where, the selected city Authority's attitudes, behaviours and language use, impact on the collective institutional and social capital's capacity to deliver wise city governing.*
4. *To identify what features, conditions, factors and elements underpin a greater shift toward more consistent and cohesive wise governing success in the mid-sized NZ city.*

Chapter Three outlines the research methodology for this thesis.

3.1 Overview

This study has been conducted through an interpretive agenda, so as to investigate the status of the mid-sized NZ cityscape within its localised whole system context. In particular, the research explores below the symptomatic phenomenon of the sustainability aspiration/action divide and aims to identify the requirements for a successful transitioning toward a wiser city governing model.

Singleton *et al.* comment that processes and events must be described before they can have their relationships more clearly understood and explained (Singleton *et al.* 1993). Therefore, the purpose of this research is both explanatory and analytical, and has been undertaken at two levels within this one year research time frame:

- i) an initial New Zealand (NZ) wide five city comparative survey, and
- ii) a more in-depth case study of one selected city.

This research has firstly been undertaken via publicly available data sources of six selected mid-sized NZ city authorities, followed by a five city online survey. Together these sources explore the perceived institutional and social capital's collective capacity for delivering the city's sustainability aspiration within everyday practices. It also highlights where the five cities are currently experiencing common disconnection problems in achieving integrated sustainable development success and establishes a snap-shot of the NZ mid-sized city Authority's transformational position relative to the European Union (EU)/United Kingdom (UK) local governing modernisation efforts. Secondly, the more in-depth case study aimed to identify why the concept of sustainability as an embedded organising principle, appears to have had limited success within the selected case study Authority organisation of, Hamilton City Council (HCC).

3.2 An Interpretive Perspective

During the literature review, it became apparent that an interpretative paradigm would be necessary to ground this study. The idea that reality is internally experienced, and therefore, socially constructed is supported across a variety of literature disciplines (see for instance, Geering 1994; Harre 2011; Hartmann 1998; Merriam 2002; Rees 2002; Sarantakos 1998; Warren 1990). Merriam for instance, describes the interpretative paradigm as learning how individuals experience, interact and then apply meaning to their social world (Merriam 2002). Similarly, Sarantakos states,

...interpretative theorists believe that reality...is internally experienced, socially constructed through interaction and interpreted through the actors...[therefore, reality] is based on the definition people attach to it (Sarantakos 1998 36).

This also follows Geering's thinking around how individual experiences, given meaning through a world of language, influence the collective social framework, continually re-shaping the way human beings think about, relate to and act within their various sub-sets of socially accepted mores and customs. Equally, Harre finds alignment with her discussion of how civic, group and individual morality scales, work to reinforce or reshape accepted, and often unquestioned, social norms (Chapter Two).

As discussed earlier, 'sustainability' in this study is viewed as a constructed concept, where different individuals apply meaning and interpretation to it from their own positional reference points, framed from within their particular sense of the conceptual moral framework (Rees 2002; Taylor 2007; Warren 1990). Human organisations, whether governmental, commercial or non-governmental, play an important role in moderating individual and collective morality through both formalised regulatory and informal voluntary, educative and persuasive mechanisms. Therefore, in order to explore the relationship between the city Authority environment and the concept of sustainability, an interpretative conceptual approach seems to offer a logical and synergistic investigatory framework.

An interpretative approach involves,

...[a] systematic analysis of socially meaningful action through the direct detailed observation [and questioning] of people in [their] settings in order to arrive at understanding and interpretations of how people have created and maintained their social worlds (Davidson and Tolich 2003a; 2003b 26).

In this study, it is necessary to understand,

- a) the relationship within, across and between the Authority organisation and the city's civil society, as well as
- b) how the Authority's language, attitudes and behaviours impact on the institutional capacity to foster a greater level of discourse around the understanding, interpretation and application of cohesive, sustainable city development.

Conclusions may then be drawn as to how to move towards greater integrated sustainability transformation success for the city and the city Authority organisation as the mid-sized NZ city continues to attract, retain and develop its population size and density.

3.3 Qualitative and Quantitative Methodology

A mix of qualitative and quantitative research is required, in order to draw out a wide range of social and institutional perceptual experiences that may then be cross validated or countered, by the harder statistical data.

A qualitative research methodology is characterised by openness and flexibility, and involve the interpretation of richly textual material derived from conversational engagement and observational practices. This approach allows for deeper descriptions of issues relating to the topic of 'wise city governing' to be captured and considered (Chapter Two). Even though the research breadth had to be narrowed to logistically meet the one year study time constraint, by taking a qualitative approach, the respondent's detailed opinions, meanings and interpretations were able to be detailed. In this way, presentation of personal and professional perceptual viewpoints and experiences across the city case study informants, and the five city survey participants have been gathered and analysed.

In interpreting the qualitative findings the research approach has been careful to look to the elements of: credibility, dependability, confirmability and transferability (Appendix E). The use of qualitative methods also allowed for richer reflexivity where new ideas, other view points and wider concepts have challenged the researcher's prior personal positions and opened up expanded thinking around, and a deeper appreciation toward achieving consistency and cohesion within the researcher's own spheres – at the personal, group and civic levels. Having also come to the research from a position of prior local Authority in-situ experience, the researcher has been very aware of the need for identifying possible pre-study preconceptions/biases and applying a continuum of critical thinking throughout the exploration of this topic. As part of applying academic rigour, it was felt that it would be essential to have a quantitative data contribution to support and validate, or challenge and counter, the qualitative information. This research design position is reflected in some academic criticisms of applying a purely qualitative methodology, in that findings may be considered non-specific and weak, opening up the potential for the researcher's representation, reliability and/or objectivity to be called into question (Sarantakos 1998). It is therefore, commonly accepted that research is more robust when it contains both qualitative and quantitative methodologies. Quantitative data was used to determine current attitudes from both phases of research. Numerical values have been obtained through participant and informant responses to a range of questions by way of a simple scale or a simple ranking system. While this information has not allowed for in-depth analysis of values, meanings and perceptions of relational conditions and factors (as per a qualitative research framework), it has provided a statistical basis for analysing, interpreting and concluding the degree to which 'sustainability commonalities and differences' between the institutional and social capital exists, and therefore, the likelihood of sustainable development successes being produced across the five participating cities. As this quantitative data also provided a platform to scrutinise the deeper level of qualitative findings against, the problems associated with one methodological approach, have been compensated, to a large extent, by the strengths of the other.

3.4 Triangulation

Jick describes triangulation as an approach that “uses multiple reference points to locate an object’s exact position” (Jick 1979 602), while Singleton *et al.* comment that triangulation allows the use of multiple approaches to a research focus which can enable the researcher to clarify and validate the answer/information being sought (Singleton *et al.* 1993). However, the process of triangulation should involve more than the validation of findings. It also needs to identify contradictory findings that may point to differences in, or of, perspectives (Valentine 2001). This aspect is particularly important when taking an interpretative approach, as it is the ‘drawing out and analysis of’ viewpoint similarities and differences that lends a depth of understanding and empowerment to correctly problematize situational phenomenon.

Having at least three reference points enables corroboration of data, as well as offering the ability for all angles to be thoroughly explored. Franklin and Blyton set out six common sources of evidence (Franklin and Blyton 2011 59). This study’s selected triangulation methods for the two phased approach, are outlined visually in Figure 31:

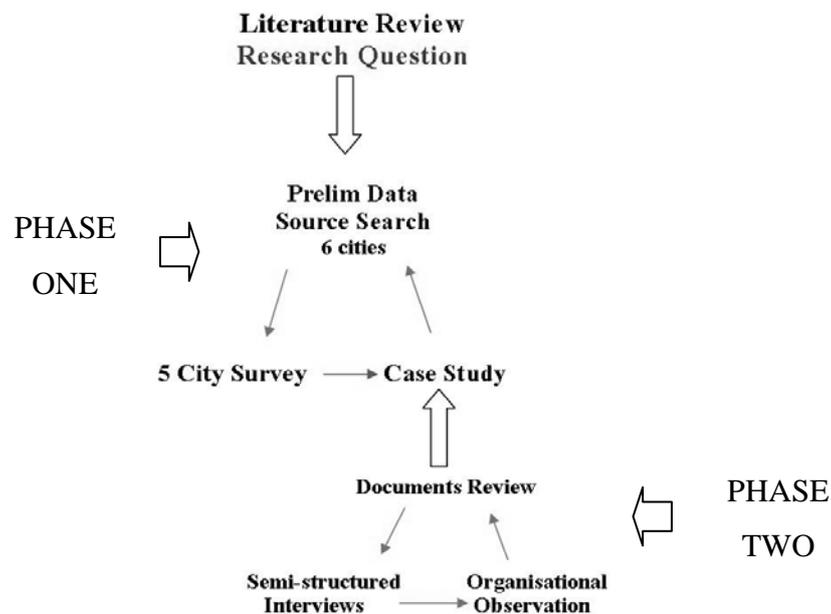


Figure 3.1: Study Triangulation

This two phased approach has been a purposeful research design decision to offer firstly, a means of merging, analysing and cross validating the various data-streams gathered from the primary and secondary research pathways (the publicly available data sourced documents, inclusive of literature review material, the five city survey and the selected city case study information). And secondly, the case study triangulation that occurs through a publicly sourced and privately supplied documentations review, an observational assessment and the semi-structured key informant interviews. Each research sequence informs the next and permits reflection back into prior discovery to enlarge understanding.

3.5 Preliminary Data Source Search

3.5.1 Mid-sized City Selection Rationale:

The Auckland Super-city, Wellington's Capital-status and the Christchurch earthquake situation, added extra complexities to the process of an effective data capture, in that, analysis of the variables within these cities would be too great to draw any solid comparative conclusions, especially within a one year research time frame. These cities were therefore excluded early on in the study design process, but it is acknowledged that each specific contextual phenomenon plays an influential role on NZ local government's future pathway – particularly in terms of contestable funding arrangements. Additionally, with the Local Government Act's re-focus back toward core functions, possible regionalisation, capping of rates increases and reduction of development contributions (Appendix C; Chapters Two, Four and Five), increased pressures are likely to be placed on the mid-sized city – especially those that have borrowed to fund capital developments. Further, competition for contestable funding within the economic climate constraints are highly likely to test many existing Authority's decision-making and engagement processes.

In looking to set the scope for this study then, it appeared the mid-sized NZ city offered the most potential for, i) a manageable comparative research approach relative to democratic scalability, ii) addressing a local need (Appendix B), and iii) recognising that this area of study – mid-sized NZ cities and their Authorities – have been under-researched to date.

3.5.2 Six City Preparatory Analysis (Chapter Four):

The research commenced with the main NZ local government philosophical shifts being identified through the literature review and tabulated to highlight key timeline dates. These were then compared with the EU/UK transformational shifts as presented by Stoker's Table 1: Eras in Local Governing (Stoker 2011 18). The outcome of this exercise provisionally indicated that NZ's local government was running well behind the EU/UK experience in terms of its 'integrated sustainability transformational' efforts. It also highlighted a point of deviation between the EU/UK ecological modernisation avenue and NZ's corporatised pathway and suggested that perhaps the NZ 'eras of local governing' was an institutionally and socially incomplete process. It was decided that this suggested position would be tested via a survey between similar mid-sized cities, in order to address the second focus of the study. In preparation for this city survey, data was drawn from a range of publicly available documents. This data was then tabulated to assess and compare the commonalities and variables across the six selected cities (Tables 4.3 and 4.4). The cities were then evaluated, on this data inclusive of the ease of navigation and sourcing of data, search functionality and active two-way links from each city's website. The totality of this process culminated in comparative scored charts of the 'overall sense' of each city Authority's current capacity for achieving transitional sustainability-oriented success (Table 4.11). In combining this data source analysis with the literature review findings 'key themes' emerged and these formed the framework for the survey design. (Chapter Four and Appendix D)

3.6 Research – City Survey Approach

Time, was a prime restrictor for phase one of this study. The impracticality of surveying across the full hierarchy of each of the participating city authority and their city sectors meant looking to alternative ways of capturing data on critical comparative trends. The resulting survey design approach looked to canvas the 'strategic/environmental sustainability units' from each city Authority. These units form a pivotal intersection between the inner workings of the Authority and its reach, via policy development, to the social capital of the city. In this way, the

study sought an administrative management perspective toward the notion of city sustainability, rather than a political viewpoint. The questions were designed so that the level of cross organisational inclusion for survey responses could be identified. In this way, the explanatory portion of the survey, describes the range of understanding, interpretation and acceptance toward the concept of integrated sustainable development from an institutional perspective. It also identifies, where possible gaps and barriers to transformational processes are currently being experienced within, across and between each of the Authority organisations and their city communities. This collective data enabled a generalised evaluation of the present level of institutional and social capital capacity for each city, which in turn was analysed against Evans *et al.* Figure 3: DISCUS model for effective governing (Evans *et al.* 2006 858) and linked back to the network community governance portion of Stoker's Table 1 - Eras of local governing (Stoker 2011 18).

'SurveyMonkey' (<http://www.surveymonkey.com>) is a web-survey company that provides an effective method for participant response, as well as an efficient data upload, distribution, collection and compilation system. This method is widely used as a surveying tool within New Zealand local government institutions and so 'SurveyMonkey' has an existing familiarity as an 'easy to use' instrument for the participants and the researcher. It was decided to utilise this tool for this portion of the study. Initial contact was made with the Strategic or Environmental/Sustainability Managers of each of the six councils used for the preparatory analysis work. These individuals were known through, either, previous professional contacts or publicly available listings and for the latter, confirmations via individual Council reception enquiry were made. An initial phone call, with a follow up email was then undertaken with the six contact points. All six respondents were supplied a copy of the research 'Information Sheet and Consent Form' (Appendix D). Respondents were asked to read the information sheet and if comfortable with the research parameters, to return the completed consent form via email or post. Once all consent forms had been received, a second email with the 'SurveyMonkey' link was forwarded to each of the respondents. This process netted an initial 100 percent response rate although one council withdrew prior to

the final extended submission close date, with the other five council's successfully completing the survey. All participating respondents requested anonymity and so the survey data has been presented as non-identifiable consolidated responses.

The final survey document comprised of eight sections inclusive of one section on demographic and background information by way of confirming the accuracy of the previous second-hand data collection. The survey contained a minimum of one and a maximum of eight questions per section. Quantitative data questions were supplemented with feedback commentary boxes and the whole survey aimed to take 20-30 minutes to complete. Feedback from the survey respondents indicated that the survey instrument and process was simple to use and the actual survey responses fell within the predicted 'response time' indicated on the study information sheet. However, four of the five city respondents spent additional time discussing responses to certain questions within their own units and across other council units. While this took extra time, all four respondents commented that this was a fruitful exercise in that it stimulated valuable discussion amongst staff around the sustainability-oriented questions.

The survey results have addressed the first two research focuses. All respondents offered statements of recognition that their organisations needed further work around embedding sustainability-oriented policy into the every-day institutional practices. See Chapter Four for pre-evaluation and survey results.

3.7 Research – A Case Study Approach

While the survey provided a 'snap-shot' of the comparative positions of the mid-sized cities, it did not offer deeper specifics of what factors and conditions may underpin this position or what obstacles are at work to block an Authority in transitioning toward greater sustainability success. The survey results therefore reinforced the earlier decision to undertake a two phased research approach, by following up these initial findings with a more in depth case study of one selected city.

Yin describes case study research as,

...an empirical inquiry that investigates a contemporary phenomenon within its real-life context when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used (Yin 2003 23).

In referencing to Yin's statement, the phenomenon being explored is the current divide that exists between the aspiration for greater sustainability-oriented success and the actions and outcomes that are being produced. The context is the mid-sized City and its Authority within the wider context of New Zealand. The boundary that is being unpicked is how the concept of wise city governing may assist to close this divide. This case study then, aims to inform the main research discussion by using a related but specific case study question; 'How wise is Hamilton City governing?' In investigating this sub-question, the third focus may be addressed: *To identify how and where, the selected city Authority's attitudes, behaviours and language use, impact on the collective institutional and social capital's capacity to deliver wise city governing.*

As discussed earlier, multiple sources of evidence are an integral part of this study in order that data may be cross referenced and verified or discounted. But more importantly, it is the boundaries between the 'phenomenon and context' that are important to unwrap here, in order that analysis, understanding and therefore shared learning may be offered. With this focus in mind, an initial case study design was formed around obtaining the Hamilton City Council's (HCC) full and open participation toward an 'internally focused' research framework. The proposal aimed at achieving a target mix of 'hierarchical up-down and across unit' employee representation (presented in a proposed matrix format to the organisation). Triangulation for the case study was aimed at being achieved through a 30 minute staff survey and a 20 minute selected key informant, semi-structured interview process with Councillors and the Senior Leadership Team, along with a more detailed public and organisational documents review exercise. A longitudinal approach to the secondary research data was planned, in order to lend perspective to the institutional participant viewpoints and positions. An overview of the 'attempted engagement' process can be seen in (Appendix G) but the end result was that the prospect of 'opening up and opening out' within an

independent academic study at this time, posed an extremely challenging prospect for HCC and in the end the study proposal was deemed by the organisation's Senior Leadership Team (SLT) as having a "value proposition not being viewed to outweigh the potential risks and the investment of resource required by staff into the project [study]". In terms of seeking engagement – with the exception of the strategy and research unit support – the process was an arduous, frustrating and time consuming experience (Appendix G). It is acknowledged however, that the process of engagement, in hindsight should have been started at least two months earlier to allow adequate time for the 'low-risk, slow-moving' operative style to process the request for participation. This process also highlighted the need to include the four themes of; participative engagement, accessibility, responsiveness and timeliness, into any case study re-design.

With the original study intent for an open research methodology being closed off, an alternative approach was sought for the case study. A second avenue was pursued for gathering a wider staff perspective via the three Union forums. While the Public Service Association (PSA) membership at the time represented approximately ten percent of the total HCC employees, the combined three union memberships, contributed a fair representational 'across-unit and hierarchical' HCC employee spread, appearing similar to that of the original proposed research matrix. The re-design proposed an organisational review via publicly available documents, semi-structured interviews with each of the three Union organisers and a survey across the HCC employee union members. To test the 'participative waters' of the union interview component, preliminary contact was made with the PSA Paid Organiser to request consideration for study participation. Again this request for participation was declined (Appendix G). With this second decline, it was not viable to go to the other two unions to seek their support as the sample size and distribution weighting would be open to a result bias. By way of re-grouping, the case study purpose, parameters and approach were once again reconsidered in association with the literature review and city survey findings. The overall research methodology remained valid. Through this reflexive pause an alternative opportunity appeared and to a large degree this redirect has

strengthened the original intent of the case study, by exploring a case study specific question through a community perspective.

The final case study triangulation was secured through reviewing a wide range of publicly available and some privately provided documents, supplemented with an observational exercise and a number of in-depth semi-structured interviews with a group of City community key informants. The selected community matrix offers viewpoints from those who are regularly included by Council for collaborative feedback (the elites) and those who have had limited or no request for input but make self-initiated contribution via the more formalised methods (the non-elites). The elites list was sourced from Committee meeting minutes relating to the strategy reviews and the non-elites were considered from a viewpoint of who else may have added value to the HCC participatory inclusions list. All elites and non-elite contact details were sourced from publicly available website data. Initial phone contact was made with each of the targets and email contacts checked. An email was then sent to all interested respondents with an attachment of the study information sheet, consent form and a fuller case study specific outline sheet with associated key study definitions (Appendix F). A follow up phone call was made to all respondents to schedule appointments or confirm non-participation. Interviews took a semi-structured format, with seven theme areas and one to eight questions per theme. Eight from nine contacts were undertaken as face to face interviews. Most of these took an hour, with two interviews taking three and four hours respectively. The other interview was conducted over the phone (post sending through information by email) and took just over a half hour to gather that response. This interview process produced a huge amount of rich detail, which, if full transcripts were to be included in this theses' appendices, would prove logistically difficult to bind. Therefore through the process of sorting and encoding the qualitative data, the key informant's collated responses can be found in Appendix J. From this collation exercise, the data was analysed for drawing out the 'commonalities and differentials' of responses and it is these 'social capital perspectives', that are presented and discussed in Chapter Five. This process in hindsight could have been streamlined by perhaps issuing the Key Informant

group an online survey to draw out the quantitative data responses and serve as a way of orienting them to the definitions used within the study. This could have made the interview stage a lot more time effective by acting to stimulate thoughts and perhaps streamline the qualitative responses at the time of the interview.

3.8 Data Analysis and Interpretation

Once the interviews were transcribed, sorted, encoded and collated by themes the results needed to be interpreted in an objective and critical way, prior to assessing their implications (Chapter Six) and drawing conclusions (Chapter Seven). By establishing the themes to drive this process the emerging patterns, sequences and rhythms of informant perceptions and experiences started to emerge. These could then be compared to the findings of the other two data sources. In this way a deeper understanding of boundaries between the phenomenon and context and the deeper level conditions that may not have previously been obvious were revealed. The methods for questioning validity versus contradiction, positive versus negative or applying the opposite of an unquestioned situational position were valuable tools for the reflexive pauses that were applied throughout the whole study program. This duality approach lent a measure of agility, resilience and responsiveness in thinking around a pre-existing position or problem presented by the data, especially when the study process hit ‘road-bumps’ within the literature review and case study establishment stages. To assist in achieving rigor in the interpretation of the qualitative findings, the researcher also looked to the four elements of credibility, dependability, confirmability and transferability (Appendix E). In order to describe, analyse and interpret the results, the qualitative material gathered for both the survey and the case study in particular, used the latter element of transferability to enable assessment against other proven academic study models. For the survey data, this was undertaken against the Stoker and Evans *et al.* models (Chapter Four). For the case study data a whole-systems theory and a range of concepts and models were employed (Chapter Five).

3.9 Ethical Considerations

Social and organisational research is a complex process involving a dynamic interaction, between the researcher and the participants/informants, especially within case study or interview work (Davidson and Tolich 2003a; 2003b). Creating a high level of trust relatively quickly is one key to building a successful research relationship. Extending an open invitation to participate, being clear and transparent about the process, time and scope of participation required and demonstrating a consistency in research history and ethical behaviour, are all factors that support the building of trust between the researcher and participants/informants.

An ethical approval process through the University aims to protect those involved in the research process from inappropriate research techniques and ensures that the respondent's personal rights of anonymity and the right to with-draw up to three weeks after closing date of any survey work or interviews, are protected. The promotion of an 'independent study with the option of full anonymity' was essential to gaining respondent trust and participation (Appendices D/F). No research was undertaken with any participant/informant until informed consent was received.

This study involved exploring opinions and perceptions of individuals and groups, and therefore compliance with the University of Waikato's, Ethical Conduct in Human Research and Related Activities Regulations 2008 and the Student Research Regulations 2008, was obtained. The research also operated within the confines of the principles of conventional social science; namely, respect, openness, cooperation and confidentiality. Additionally, the study operated within the University of Waikato's commitment to the Treaty and practises consistent with kāupapa Māori were used throughout this study. This research project has approval from the Human Research Ethics Committee of the Faculty of Arts and Social Sciences, University of Waikato (Appendix H).

3.10 Limitations

3.10.1 Sustainability as an Under-Resolved Word/Concept:

During the study, it became apparent that there were certain limitations to this research approach. Reinforcing the earlier observation that ‘sustainability has been slow to enter the mainstream discourse in NZ and that it lacks widespread and cross-sector forums for stimulating on-going and robust integrated sustainable development discussion, definition and agreed applications within the national to local geographies’, the most significant limitation of the research has been around the breadth of interpretation, meaning and understanding of the concept of sustainability and sustainable development as applied to the local governing landscape. Having study terminology and definitions clearly outlined assisted in resolving this aspect to a large degree, but this could have been improved via the methods discussed earlier in the survey and case study portions of this Chapter.

3.10.2 Five City Representation:

As also outlined earlier the strategic/environmental sustainability units of each council provided a base line of respondent data across the participating five city survey. While it is acknowledged that this approach had a limited range of institutional input – i.e. from within a single unit rather than across the full organisational workforce of each of the five Councils – it never-the-less provided a snapshot of perceptions that enabled commonalities and differences to be highlighted across the participating Authority organisations. The potential for further investigation, given a longer research time-frame, could include a larger number and/or typology of city/city authorities, canvassing responses across a wider range of city Authority units and/or hierarchy or from a wider pool of city interest groups/stakeholders. An open call for participation through existing social and institutional networks would offer more synergy to the concepts of participative engagement and sustainability. However, in utilising the Evans *et al.* DISCUS study approach and Stoker’s review literature to tailor to the narrower NZ context, the research did secure validation to its survey rationale.

3.10.3 One Year Time Frame:

The one year time frame for this master's study, meant that carefully selected sampling (to avoid bias or uneven weighting) of participant and key informants was critical to achieving validity within the research results. Further, this master's study offers 'taster' findings that could form further possible avenues of research. For example, a longitudinal approach of two opposing case study organisations and/or cities could be used for drawing out a fuller comparative picture of the under researched history and ecology of mid-sized City governing in NZ – especially if a new regionalism or localism approach is pursued through the 2012 Act reforms.

3.11 Summary

This chapter has established and justified the research approach to this study.

The execution of this type of mixed qualitative and quantitative approach has allowed for the collection of rich material that is supported by scaled and ranked hard data from both the institutional and social capital viewpoints.

The research sequencing from secondary research, to a NZ wide, mid-sized city survey, followed by a more in depth single city case study, meant that each successive stage could be usefully informed by the previous.

Reflexivity was designed into the whole study process and thus proved extremely useful when road blocks hit the study process within the literature review and case study phases. This allowed a measure of agility and flexibility to be built into the study and minimised some time losses. Learning around improving certain research methods has also been shared. Finally, authentic interpretation has aimed to be achieved through the conscious use of the elements of credibility, dependability, confirmability and transferability.

The following Chapter Four presents the findings of the preliminary six city investigation and the 'five city' survey data.

four

results - city survey

4.1 Overview

This chapter presents the findings from the preliminary six cities data source search, along with the subsequent survey results from the five participating mid-sized cities.

Firstly, section 4.2.1 discusses Stoker's Table 1, Eras in Local Governing (Stoker 2011 18) as this forms a key foundational reference point for all research comparatives presented in this chapter. Additionally, literature pertaining to the evolution of the Aotearoa/New Zealand central-local government relationship (Chapter Two) is briefly summarised by way of substantiating the rationale for overlaying the key New Zealand Local Government philosophical changes onto Stoker's Table. In this way a comparative time-line between the New Zealand (NZ) and European Union/United Kingdom (EU/UK) experiences has been evidenced. Secondly, section 4.2.2 provides a brief overview of pertinent 2031 NZ population growth estimates (Statistics NZ 2012), and introduces the check list of data sources that aided the selection of the six mid-sized NZ cities. The subsequent publicly available city data was collated and presented in section 4.2.3 to provide a six city comparative table of findings. These initial findings were used to gain a preliminary understanding of the organisational forms and functions, as well as providing a sense of integrated sustainability positioning between the six assessed cities. Data from this step was then used to inform the design of the subsequent city survey. Next, section 4.3 presents the compiled survey responses from the five city respondents in order to cross-validate or adjust the preliminary integrated sustainability assumptions made in Tables 4.5-4.11. The survey's quantitative results along with qualitative open-ended question responses provide both trend data and perceptual insights for addressing the first and second sub-research focuses:

1. *To identify where the NZ local governing modernisation effort sits when compared to the European Union/United Kingdom (EU/UK) experience, and*
2. *To discover what the NZ mid-sized city Authority's organisational perceptions are, toward their current level of sustainability aspiration-action continuum success, and what, if any barriers to transformational progress are also being experienced.*

Lastly, section 4.4 offers summary comments, showing the overall survey results against Evans *et al.* Figure 3: DISUS model for effective governing (Evans *et al.* 2006 858).

4.2 Data Source Review

Over the last 3,000 years [or so], the history of humankind has been tied to the history of cities. With half of the world's population living in urban settings now, it's urgent that we examine them and update our understanding (Ted.com 2012).

4.2.1 Contrasts in Local City Governing:

In 2011, Gerry Stoker, presented a 25 year retrospective that asked: Was local governance such a good idea? He qualifies this by considering whether elected local government can be sustained in the sole role of network coordinator (Stoker 2011). This prompted consideration of whether local government in NZ, in 2012, has fully transitioned into its role as network coordinator – especially in the mid-sized NZ cityscape and how this transformational experience looks in comparison to the EU/UK modernising process. Stoker's review formed around a global (primarily northern hemisphere) comparative perspective, focused on the four societal roles of the local government system (Chapter Two). Within this wider 'global' comparative, he presented an over view of the eras of local governing that set out three prime transitional phases with seven associated categories and their respective matrices of characteristics (Stoker 2011 18 Table 1). Synergy with Stoker's three transitional phases were also found in Taylor's conceptual discourse on the nature of local government (and commerce) as discussed in Chapter Two (Taylor 2007). It is acknowledged in this study that “the complexity

of local governing institutional arrangements often magnifies the challenge of understanding [local government] within [different] countries and makes the task of comparative study very taxing” (Stoker 2011 19). However, by utilising the material from Stoker’s Table 1, along with his UK/EU time line data (Stoker 2011 17) the study has proven useful to compare NZ’s own transitional local government phases and associated time lines – even when taking into account each nation-state’s legislative, structural, functional, process and fiscal differentials, as previously discussed in Chapter Two. In reviewing the history and development of the NZ local government sector, the key local government philosophical shifts are highlighted in Table 4.1:

Table 4.1: Key NZ Local Government Philosophical Shifts

Pre-1989	Functional local representation, rating and infrastructure provisions. Delivery via traditional hierarchical, top-down, government department.	Traditional Public Administrative <i>‘Taker’ nature.</i>
1989 <i>Major Reform</i>	Amalgamations reduced 780 elected cities, boroughs, counties, boards and authorities to 72 cities/districts and 14 regional councils. Moved most Council Authorities towards the new public management structure. Functions, however, remained primarily as local representation, rating and infrastructure provisioning.	<i>Shift towards a</i> New Public Management Form <i>‘Taker-Maker’ nature.</i>
2002 <i>Reform Refinement</i>	Widening of the Act’s (LGA 2002) purpose, to drive the development of the four well-beings at the local level. This sat alongside of the traditional functional local representation, rating and infrastructure provisioning. Note 1.	<i>A cohesive transitioning shift towards a</i> Networked Community Governance <i>model should have been evidenced</i> <i>‘Taker-Relater’ nature.</i>
2012 <i>Proposed New Reforms</i>	Central Government proposal to: Refocus the purpose of local government away from three of the four well-beings and back towards more of an infrastructural and rating ‘functionality’ and tightly bound fiscal efficiency drive. The Mayoral powers are also strengthened in an attempt to off-set the Chief Executive established pivotal control, and set in place the legislative space for further local government amalgamation (i.e. an Auckland Super-city model through a regionalisation focus). Note 2.	<i>Potential for reinforcement of the BAU+ model, with heightened potential for conflict, lack of democracy and engagement – a shift back toward</i> New Public Management.

Table 4.1 Sources: (Bush 1980; 1983; Bush 1995; Cheyne 2008; Norton 1994; Reid 2010; Scott *et al.* 2004; Sutch 1956).

NOTES (N1-2):

N.1 The media-noise, certainly over the last one to two years (Appendix B) appears to indicate that a purposive and coordinated, NZ central to local government (corporatised) modernisation effort, has not produced the quality leadership, robust, accountable and transparent reporting, or any cohesive institutional redesign with rigorous institutional and social capital capacity building, that the LGA 2002 Act changes hoped for.

N.2 It is unclear whether the inclusive participatory elements of the Networked Community Governance model – tri-brid ‘taker-maker-relater’ nature – will be pursued within the proposed community board reforms framework or whether the reforms will merely reinforce the top-down dominated environment and result in further internal power struggles and dysfunctional relationships. Nothing in the reforms appears to actively focus on breaking the silo controls – an undermining feature observed through prior local government experience and that finds alignment with some of the literature reviewed – see for example, Lowndes *et al.* 2006; Rerup 2009; Appendix C - March-April 2012 Better Local Government reforms initial commentaries.

Table 4.2, amalgamates the EU/UK Eras of Local Governing (Stoker 2011 18 Table 1) with the comparative NZ local government transitional timeline, to evidence that NZ appears indeed to be running a conservative average of 20 years behind other northern hemisphere transformational modernisation (ecologically framed) efforts.

Table 4.2: Era of Local Governing

with comparative New Zealand local government transitional timeline overlay

	TRADITIONAL PUBLIC ADMINISTRATION 'Taker' (Taylor 2007)	NEW PUBLIC MANAGEMENT 'Taker-Maker' (Taylor 2007)	NETWORKED COMMUNITY GOVERNANCE 'Taker-Maker-Relater' (Taylor 2007)
Governing System Key Objectives	<ul style="list-style-type: none"> Manage Inputs Service delivers in National Welfare State context 	<ul style="list-style-type: none"> Manage Inputs & Outputs Ensure economy Ensure customer responsiveness 	<ul style="list-style-type: none"> Overarching goal: Greater effectiveness to tackle problems public care most about
Dominant Ideologies	<ul style="list-style-type: none"> Professionalism Party Partisanship 	<ul style="list-style-type: none"> Managerialism Consumerism 	<ul style="list-style-type: none"> Managerialism Localism
Public Interest Definition	<ul style="list-style-type: none"> Politician/Expert Driven Little Public Input 	<ul style="list-style-type: none"> Individual Preference Aggregation Demonstrated by Customer Choice 	<ul style="list-style-type: none"> Complex Interactive Individual and Public Preferences
Account-Ability Dominant Model	<ul style="list-style-type: none"> Top Down Overhead Democracy – voting in elections, mandated party politicians, tasks achieved through control over bureaucracy 	<ul style="list-style-type: none"> Top Down / Bottom Up Separation of Politics and Management Politics gives direction only Managers manage / hands on control Additional loop of consumer assessment built into the system 	<ul style="list-style-type: none"> Multi-Directional Elected Leaders, Managers and Key Stakeholders involved in search for solutions to community problems and effective delivery mechanisms System in turn subject to challenge through elections, referendums, deliberative forums, scrutiny functions and shifts in public opinion
Preferred Service Delivery System	<ul style="list-style-type: none"> Hierarchical Departmentalised (Silos) Self Regulating Profession 	<ul style="list-style-type: none"> Private Sector Tightly Defined Arms-Length Public Agency 	<ul style="list-style-type: none"> Menu of Alternatives Pragmatically Selected
Public Service Ethos Approach	<ul style="list-style-type: none"> Public Sector Monopoly Service Ethos Consistent across all Public Bodies 	<ul style="list-style-type: none"> Public Service Ethos Scepticism (leads to inefficiency, inequities and empire building) Favours Customer Service 	<ul style="list-style-type: none"> Equity Based – no one sector has monopoly on public service ethos Maintenance of relations through shared values is critical
'Higher' Government Tier Relationships	<ul style="list-style-type: none"> Tightly Bound Partner Relations with Central Government over Delivery 	<ul style="list-style-type: none"> Upward through Performance Controls Key Performance Indicators (can be open to misuse/abuse by Managers using as 'exiting' mechanism) 	<ul style="list-style-type: none"> Complex Multi-directional Regional, National, European (Asia-Pacific) Negotiated and Flexible
UK/EU Evolution Time Frames	1950-60's	1970's	1990's >
NZ Evolution Time Frames	< 1989	1989-1992	2002-2012

Source: (Stoker 2011 Table 1) Reproduced with permission

So then, in comparing the UK/EU experience as presented by Stoker with the NZ local government perspective, three outcomes become evident:

- a) That the NZ local government's modernisation pathway has occurred and continues to sit well behind the EU/UK transformation experience,
- b) That NZ's modernisation effort has manifested as corporatisation of local government, which differs to the EU/UK focus of ecological modernisation, and
- c) That within the NZ local government institutional landscape, Stoker's three primary transitional phases appear to be incomplete in their transformation across the whole organisational strata.

The latter of these three findings would suggest that there may be a general lack of embedded coherence within the sustainability aspiration-action continuum, which in turn, points toward a combined poor institutional capacity within, across and between the Authority organisation and a low civil engagement level (Evans *et al.* 2006). However, with the first research sub-focus addressed, the remainder of this section looks at the second focus that seeks to identify: *What the selected NZ mid-sized city Authority organisational perceptions are toward their level of sustainability aspiration-action continuum success and what specific transformational barriers are currently being experienced within their organisations.* To lend background to this exploration, a preliminary data source search of publicly available documents was undertaken. These findings along with the literature review, inform the city survey design.

4.2.2 Preliminary Data Source City Selection:

The NZ Institute of Economic Research '*Grow for It*' discussion paper asserts that "a country can achieve economic growth while being small or remote, but not both" (O'Connor *et al.* 2012 1). The '*Grow for It*' working paper argues for offsetting NZ's remoteness with an increase in population size and density, and further proffers that a population increase of '15 million by 2060' would be needed to meet this target (O'Connor *et al.* 2012 8). New Zealand certainly has the physical space available to accommodate this type of population increase – see

Figure 4.1 – but given an anecdotal ‘dearth of the national and local leadership and institutional capital capacity’ to deliver innovative, flexible and adaptive solutions, there are considerable questions around how NZ’s future landscape would play out if an increased net immigration was actively pursued for meeting this growth objective.

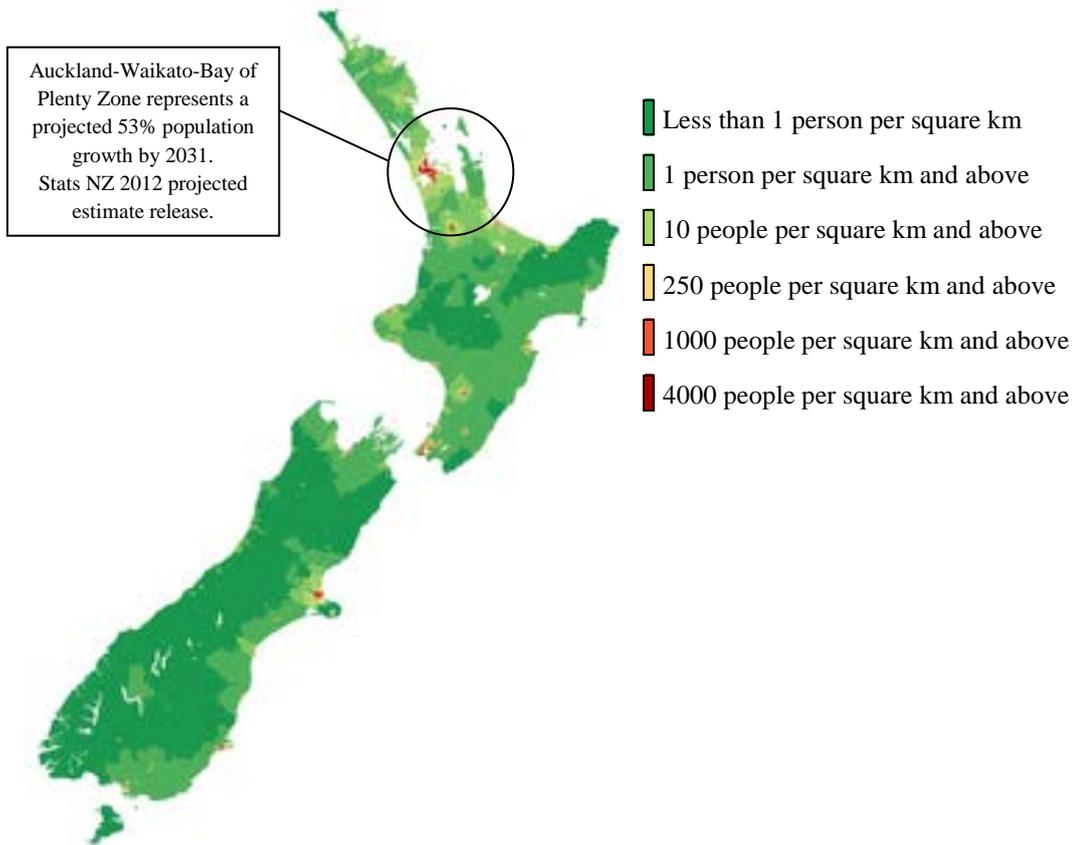


Figure 4.1: New Zealand Population density - 2006 Census, Statistics NZ.

Statistics NZ’s population projections, perhaps offer a more realistic population growth target of 5.19 million by 2031. The Statistics NZ release also further states that, “the [Auckland] region’s population is likely to grow by a third, from 1.5 million to 1.97 million, by 2031, accounting for 61 percent of the county’s total population growth” (Collins 2012 9). In the same media report, based on the projected NZ Statistics data, it is also estimated that the combined Wellington, Christchurch and Dunedin population will total 1.172 million or 59 percent of the total Auckland projected population tally. The continued trend for a concentrated population density to four principal cities intensifies the historic arguments around resource and infrastructure spending priorities in the NZ contested environment. It

serves to reinforce the parochial ‘them and us’ attitude between competing NZ cities, as well as between, the rural to city zones. It also appears to justify the central government’s parental approach and need to control the local government landscape through its legislative powers. However, this approach may also be seen as trying to stimulate further clustering opportunities through greater shared services, or as the ‘*better local government*’ 2012 reforms appear to make way for, through further amalgamation. Whether population dominance is derived through an intensified prime city or a clustered zone (new localism or new regionalism) approach, the end impact is that, an increased urgency and pressure is placed on all Authorities throughout NZ, to have their own sustainability-house in order prior to entering into amalgamation or greater sharing of services.

Previous research on NZ local government has tended toward seeking out the political, peak body and senior public administrative viewpoints or has been representative of the larger NZ city voices, while the every-day perspectives of mid-sized Cities and their Authorities have been under researched to date. As mentioned in earlier chapters, a conscious choice has been made to keep away from the specific complexities of the Auckland mega-city amalgamation or the Christchurch earthquake recovery situation in this study. However, it is acknowledged that these two cities have dominated Central Government’s attention and placed considerable pressure on the contested local government environment.

For this study, six cities have been selected for a preliminary data source search as shown in Tables 4.3, 4.4.

They have been chosen for their balance between:

- i) north and south island localities,
- ii) an even mix of ICLEI (local government for sustainability) memberships versus local governments who have utilised other forms of support or have no support mechanisms,
- iii) a narrow differential width in population and growth characteristics, key financial statistics and demographic mixes, and
- iv) an even range of metro and provincial city statuses with one unitary Authority.

Table 4.3: Search Results of Public Documents

	HCC <i>Metro Area</i>	TCC <i>Metro Area</i>	PNCC <i>Prov. City</i>	NCC <i>Prov. Unitary</i>	DCC <i>Metro Area</i>	ICC <i>Prov. City</i>
SUSTAINABILITY METHODS:						
ICLEI Member	√		√		√	
Natural Step Process				√		
101 Sustainable Steps Prog.		√				
GOVERNANCE DATA						
Council numbers incl. Mayor	13	11	16	13	15	13
Female to Male ratio	6:7	1:10	4:12	6:7	4:11	2:11
Age spread	Mostly 40+	Mostly 40+	Even Age spread	Even Age spread	Reas. Age spread	Mostly 40+ 1x young F
NZ-Pakeha vs ethnicity representation diversity	all NZ-P	all NZ-P	1 Maori	all NZ-P	all NZ-P	all NZ-P
Governance Statement, Structures & Delegations, Standing Orders data	√	√	√	√	√	√
COUNCIL STAFF DATA						
Total Number FTE's (from annual reports)	870 @ 2010	450 @ Feb 12	572 @2009	App. 266 @ Feb 12	687 @ Jan 10	446 @ Jun 12
Senior Leadership: Female to Male ratio	0:8	4:4	2:5	3:6	Not ID	1:3
Mid Management Leadership: F to M ratio	12:20	Not ID	4:40	9:11	Not ID	7:12
Organisational Chart available Online	√ Top/Mid levels only	√ Top level only	√ Top level only	√ Whole Structure	Not ID	√ Top/Mid levels only
DEMOGRAPHIC SPREAD & ETHNIC DIVERSITY						
Demographic Spread						
Female: Male (% ratio)	52:48	52:48	52:48	50:50	52:48	52:48
# of Dwellings	48,837	44,922	29,511	18,513	48,687	21,681
Median Age	31.3	38.9	32.4	39.4	35.0	37.6
% People 65 years or over	10.1	17.4	11.6	14.5	13.9	14.5
% People under 15 years	21.9	20.8	20.3	19.2	16.8	20.4
Ethnic Diversity (% figs rounded to 1 decimal place)						
	M:F	M:F	M:F	M:F	M:F	M:F
European	64:67	73:76	70:73	80:82	77:80	77:80
Maori	20:20	17:16	16:15	9:9	7:6	14:13
Pacifica	4:4	2:2	4:3	2:2	2:2	3:2
Asian	11:10	3:3	7:7	2:3	5:6	1:2
Middle Eastern, Latin American & African	2:1	0.4:0.3	1.2:1.0	0.4:0.3	0.8:0.6	0.2:0.2
Other	11:11	14:13	14:12	15:13	15:12	16:14
FINANCIAL DATA						
Key Financial Statistics (\$ per thousands)						
Public Equity	2,923,703	3,102,844	1,138,755	1,100,781	2,591,103	611,790
Operating Revenue	157,707	134,241	94,077	75,093	184,462	67,056
Operating Expenditure	181,522	138,034	103,587	71,620	191,069	69,039
Capital Expenditure	117,198	101,322	36,191	45,548	278,372	21,379
Rates Revenue	108,092	82,370	63,529	48,180	98,068	39,045

DOCUMENTATION						
Annual Plan 2011/12	√	√	√	√	√	√
LTP Draft 2012-22	√ 6 strats	√	√ City & Org Sust. Goals	√ 6 Sust Goals	√	√
Current / Proposed District Plans	√ ⁽²⁾	√	√	√	√	√
Annual Report 2010/11	√	√	√	√	√	√
Asset Holding Co Financial Reports	√	√	√	√	√	√
City Vision	√	√	√ ⁽⁴⁾	√ ⁽⁴⁾	√	√
Organisational Purpose	√	√	√	√		
Organisational Values	qualities	√	√	√		
Sustainability Policy Statement / Strategy	√	√ ⁽³⁾	√	√	√ ⁽¹⁾	
Sustainability Action Plan		√	√	√	√	
Integrated Sust. Reporting			√	√		
SUMMARY PERCEPTION						
Sust. Policy embedded to Org. Activities	No	Some ⁽³⁾	Mostly	Mainly	No ⁽¹⁾	No
Actively Seeks Citizen Inputs and Engagement	M	M-H	H	H	M	M-L
Council Preference (amalg. vs shared services)	Unknown	Unknown	Unknown	PRO A	Unknown	SS PREF
Citizen Preference (amalg. vs shared services)	Unknown	Unknown	Unknown	NEG A	Unknown	Unknown
Sustainability underpinning in SA ² cycle	N/I	S/I	S/I	F/I	N/I	N/I
Primary Driver Focus	Economic Debt Reductn	Financial Control over extl forces	Sustain	Sustain	Heritage & Debt Reductn	Economic Growth

Keys:

L	Non-active	N/I	Not Integrated
M	Predetermined / consult to tick box	S/I	Semi-Integrated
H	Open, participative, engaged	F/I	Most progressed towards Full Integration

Sources:

<http://www.lgnz.co.nz>; <http://www.localcouncils.govt.nz>; http://www3.stats.govt.nz/New_Zealand_Official_Yearbooks/2008/NZOYB_2008.html#idsect1_1_12024;
Long Term Plans, Annual Plans and Annual Reports for each Council

Notes:

- (1) Sustainability Adviser Role sits outside of rest of units, runs climate change adaption plan. Separate specific projects and appears to be sitting within city planning (P3, Annual Plan)
- (2) District Plan major revamp – trying to stimulate better mix and blend of outcomes. Success of this alternative process will rely heavily on institutional capital capacity, which has been evidenced to be lacking consistency throughout org. at this time.
- (3) Sustainability Plan exists although not cohesively integrated at this time to activities. However, does have extensive networks with formalised and informal partnering with NGO/Volunteer sector to achieve a variety of socio-ecological results.
- (4) Clearly defines city and organisational goals and is open to political debate and encourages input prior to decision making process. Community therefore engaged to work together to meet sustainability and community resilience vision.

Table 4.4: Population and Land Area Assessment

A		HCC <i>Metro Area</i>	TCC <i>Metro Area</i>	PNCC <i>Prov. City</i>	NCC <i>Prov. Unitary</i>	DCC <i>Metro Area</i>	ICC <i>Prov. City</i>	AALBORG Denmark (2)
Population Growth	B/C							
⁽¹⁾ 1886		1,200	1,149	2,607	7,314	23,244	8,250	
1986		138,645	62,370	66,951	43,725	107,331	52,818	
1996		158,043	82,149	73,860	50,691	110,793	48,404	
2001		166,128	95,664	72,681	53,688	107,008	46,305	
2006		184,908	108,882	76,032	56,367	110,997	46,773	
2010		143,100	114,300	81,300	45,500	118,683	52,400	
Population Est. & % NZ Pop. 2012	D	146,580 3.2%	121,500 2.7%	84,500 1.9%	46,100 1.0%	117,700 2.7%	53,000 1.2%	163,228
Area (km2)	E	110	168	326	422	255	493	560
People per/km2	E	1,332.0	723.2	259.2	109.2	461.6	107.5	291.5

Sources and Notes:

- A. <http://www.lgnz.co.nz/lg-sector/maps/>
- B. http://www3.stats.govt.nz/New_Zealand_Official_Yearbooks/2008/NZOYB_2008.html#idsect1_1_12024
- C. <http://www.localcouncils.govt.nz> (incl. 2010 Statistics NZ data)
- D. Sub-National Population Estimates, Table 3, 30 June 2006-10
- E. <http://www.lgnz.co.nz/lg-sector/maps> and <http://www.localcouncils.govt.nz>

⁽¹⁾ Excluded Maori Population

⁽²⁾ Comparative example - <http://www.iclei.org/index.php?id=global-news-events>

⁽³⁾ Above data sources have been cross referenced to individual Annual Plan and Annual Reports and population percentage calculated to NZ Stats Clock, Sept 2012: 4,439,161

4.2.3 Summary Table - Six Cities:

From the above research, an overall sense of each City Authority was gained and data calculated via a comparative attribute rating method. The analysis below gives a quick visual reference to the perceived level of ‘integrated sustainability underpinning’ for each of the City Authority organisation based on the publicly available data sources reviewed in the previous tables, and inclusive of ease of search functionality, live two-way link connectivity and ease of navigating and finding data within each website.

This evaluation allows a numeric value to be calculated in order to show the relative spread of sustainability across the six cities.

Overall Sense of City Authority Capacity - Data Sourcing:

Table 4.5: City 1 Preliminary Assessment Results

Hamilton <i>ICLEI Member</i>	<ul style="list-style-type: none"> • Appears to lack policy and practise cohesion • Strategies are separate and don't appear to inter-relate • Documents are fragmented - information is hard to find and separate data drops have to be pieced together • Sense of institutional discord & lack of integrated leadership coherence within organisation • Vision and objectives disparate with organisational purpose and qualities • Energy Manager's position disestablished 2011/12, high staff dissatisfaction 	11
Attributes:	Positional Scale: <i>Sense of Whole Organisation in terms of an Integrated Sustainability Underpinning</i>	Attributes:
	1 2 3 4 5	
Heavy & Slow Moving		Light & Agile/Nimble
Fragmented/Complicated		Cohesive & Clear
Reactive- Data/Media Noise		Proactive to Staff/Civic Inputs
Disconnected Well-beings		Connected Well-beings
Low Civil/Staff Participation		High Civil/Staff Participation
Low Institutional Capacity		High Institutional Capacity
Narrow Fiscal Success Focus		Wider Sustainability Success Focus
Low Governing Leadership		High Governing Leadership

Table 4.6: City 2 Preliminary Assessment Results

Tauranga <i>101 Steps Programme</i>	<ul style="list-style-type: none"> • Clear alignment between city and organisational aspirations • While lacks some policy and practice cohesion, documents are clear about functional and aspirational orientation, particularly in response to global financial crisis • Keen to manage the infrastructure debt so that it remains sustainable and workable in background to 'stepping' towards greater sustainability in practise • Partnerships with networked community/business interests has broad representation • Active Sustainability Adviser with clear link to SLT and to community groups • In a little state of flux with CEO change over. Previous CEO rated sustainability very highly. 	32
Attributes:	Positional Scale: <i>Sense of Whole Organisation in terms of an Integrated Sustainability Underpinning</i>	Attributes:
	1 2 3 4 5	
Heavy & Slow Moving		Light & Agile/Nimble
Fragmented/Complicated		Cohesive & Clear
Reactive- Data/Media Noise		Proactive to Staff/Civic Inputs
Disconnected Well-beings		Connected Well-beings
Low Civil/Staff Participation		High Civil/Staff Participation
Low Institutional Capacity		High Institutional Capacity
Narrow Fiscal Success Focus		Wider Sustainability Success Focus
Low Governing Leadership		High Governing Leadership

Table 4.7: City 3 Preliminary Assessment Results

<p>Palmerston North <i>ICLEI Member</i></p>	<ul style="list-style-type: none"> • Cohesive in its sustainability/community resilience vision • City and Organisational goals are consistent and aligned. • Although not sure to what level the across council monitoring and measurement mechanisms are in place, as yet? • Unclear on level of holistic reporting data being attained in order to usefully inform and guide future policy and action • Also unclear on level of institutional capacity building and commitment to the implementing strategy in day to day operations? • Clear sustainability strategy underpinning however and very clearly related to the Aalborg commitments. 	<p>30</p>					
<p>Attributes:</p>	<p>Positional Scale: <i>Sense of Whole Organisation in terms of an Integrated Sustainability Underpinning</i></p>	<p>Attributes:</p>					
	<table border="1" style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> </table>	1	2	3	4	5	
1	2	3	4	5			
Heavy & Slow Moving		Light & Agile/Nimble					
Fragmented/Complicated		Cohesive & Clear					
Reactive- Data/Media Noise		Proactive to Staff/Civic Inputs					
Disconnected Well-beings		Connected Well-beings					
Low Civil/Staff Participation		High Civil/Staff Participation					
Low Institutional Capacity		High Institutional Capacity					
Narrow Fiscal Success Focus		Wider Sustainability Success Focus					
Low Governing Leadership		High Governing Leadership					

Table 4.8: City 4 Preliminary Assessment Results

<p>Nelson <i>Natural Step Programme</i></p>	<ul style="list-style-type: none"> • Cohesive and clear sustainability/community resilience vision • City and Organisational goals appear consistent and aligned and there is a clear sense of monitoring and measurement mechanisms being tied back to reporting data so that it may usefully inform and guide future policy and action adjustments • Purposive strategic movement towards greater levels of sustainability in City and Organisation • Evidence of institutional and social capital capacity building in sustainability underpinning • Very open and easily accessible data and engaging contacts • Full organisational teams, strata and reporting lines available to public 	<p>40</p>					
<p>Attributes:</p>	<p>Positional Scale: <i>Sense of Whole Organisation in terms of an Integrated Sustainability Underpinning</i></p>	<p>Attributes:</p>					
	<table border="1" style="width: 100%; text-align: center;"> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> </table>	1	2	3	4	5	
1	2	3	4	5			
Heavy & Slow Moving		Light & Agile/Nimble					
Fragmented/Complicated		Cohesive & Clear					
Reactive- Data/Media Noise		Proactive to Staff/Civic Inputs					
Disconnected Well-beings		Connected Well-beings					
Low Civil/Staff Participation		High Civil/Staff Participation					
Low Institutional Capacity		High Institutional Capacity					
Narrow Fiscal Success Focus		Wider Sustainability Success Focus					
Low Governing Leadership		High Governing Leadership					

Table 4.9: City 5 Preliminary Assessment Results

<p>Dunedin <i>ICLEI Member</i></p>	<ul style="list-style-type: none"> • Lacks policy and practise cohesion • Website accessibility is fragmented and difficult to move around – lots of blind avenues • Documents are available but difficult to access and not clearly connected • Sustainability appears as just another operating function rather than an underlying goal • Although DCC does have an active Energy Manager • Possibly missing an opportunity for taking fuller advantage of ‘sustainable heritage’ as an economic driver? (i.e. re-invent, re-use, re-invigorate, see for example Donovan Rypkema discourses) 	<p>21</p>					
<p>Attributes:</p>	<p>Positional Scale: <i>Sense of Whole Organisation in terms of an Integrated Sustainability Underpinning</i></p>	<p>Attributes:</p>					
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">1</td> <td style="width: 15%;">2</td> <td style="width: 15%;">3</td> <td style="width: 15%;">4</td> <td style="width: 15%;">5</td> </tr> </table>	1	2	3	4	5	
1	2	3	4	5			
Heavy & Slow Moving	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Light & Agile/Nimble
Fragmented/Complicated	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Cohesive & Clear
Reactive- Data/Media Noise	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Proactive to Staff/Civic Inputs
Disconnected Well-beings	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Connected Well-beings
Low Civil/Staff Participation	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						High Civil/Staff Participation
Low Institutional Capacity	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						High Institutional Capacity
Narrow Fiscal Success Focus	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Wider Sustainability Success Focus
Low Governing Leadership	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #800000;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						High Governing Leadership

Table 4.10: City 6 Preliminary Assessment Results

<p>Invercargill <i>No identified sustainability membership</i></p>	<ul style="list-style-type: none"> • Traditional, conservative, function, pragmatic and fiscally BAU driven • No evidence of sustainability awareness in policy or practise • No obvious embedding of sustainability in City vision/outcomes or Organisational purpose • Although Mayor has referenced to sustainability in his rhetoric and Organisation has senior level - Director, Environmental & Planning Services role • Orientation is definitely on lifestyle and economic growth for the City/Region 	<p>16</p>					
<p>Attributes:</p>	<p>Positional Scale: <i>Sense of Whole Organisation in terms of an Integrated Sustainability Underpinning</i></p>	<p>Attributes:</p>					
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">1</td> <td style="width: 15%;">2</td> <td style="width: 15%;">3</td> <td style="width: 15%;">4</td> <td style="width: 15%;">5</td> </tr> </table>	1	2	3	4	5	
1	2	3	4	5			
Heavy & Slow Moving	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Light & Agile/Nimble
Fragmented/Complicated	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Cohesive & Clear
Reactive- Data/Media Noise	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Proactive to Staff/Civic Inputs
Disconnected Well-beings	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Connected Well-beings
Low Civil/Staff Participation	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						High Civil/Staff Participation
Low Institutional Capacity	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						High Institutional Capacity
Narrow Fiscal Success Focus	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						Wider Sustainability Success Focus
Low Governing Leadership	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%; background-color: #404040;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						High Governing Leadership

Next these ‘sustainability’ evaluation ratings, were compared along-side of an assessment based on a matrices of the seven categories and characteristics of Stoker’s era of local governing (Stoker 2011 18). This assessment evaluates the

transitional capacity of Council’s governing approach and potential to deliver integrated sustainable development outcomes. Utilising Stoker’s ‘seven categories and characteristics’, the six city authorities were rated for transitional development against a ‘simple rated scoring’ system set out below and based on the same publicly available data (Tables 4.3, 4.4) used in the previous sustainability scoring analysis. If the category/characteristics were found to be firmly sitting within one of the three transitional styles then a full rated score was allocated. If they were seen to be split due to two areas of operation working from different types of transitional governing modes, then a half point was added.

Table 4.11: Transitional Sustainability Oriented and Total Scores

Ratings Score:

1	Fully Traditional Public Administration	1.5	Partially TPA/NPM
2	Fully New Public Management	2.5	Partially NPM/NCG
3	Fully Networked Community Governance		

Categories:	HCC	TCC	PNCC	NCC	DCC	ICC
Governing System	2	2.5	2.5	2.5	2	2
Dominant Ideologies	2	2.5	2.5	3	2	2
Public Interest Definition	1.5	2	2	2.5	1.5	1.5
Account-Ability Dominant Model	1.5	2.5	2	2	2	2
Preferred Service Delivery System	1	2.5	2.5	2.5	2	1
Public Service Ethos	2	2.5	2.5	2.5	2	2
Higher Govt Tier Relationship	1.5	2.5	2.5	3	2	2
Transitional Perception	11.5	16.5	16.5	18	13.5	12.5
Sustainability Perception	11	32	30	40	21	16
Total Scores	22.5	48.5	46.5	58	34.5	28.5

The total scores show the perceived level of ‘cohesive and completed transformation’ to the new community governance model, combined with a perceived level of ‘integrated sustainable development underpinning’, within each of the City Authorities.

Nelson, Tauranga and Palmerston North City Councils all appear to be performing well ahead of Hamilton, Dunedin and Invercargill in both transition and sustainability performance, based on this preliminary data source search. But how

do these Councils see themselves in terms of their organisational transitioning and their capacity to deliver integrated sustainable outcomes for their respective cities? Furthermore, what do they consider the barriers may be in creating a shift toward greater sustainability transformational success?

The initial search indicated that of the six cities reviewed, Nelson City is the most proactive and advanced in terms of holding a collective will to move toward a more connected sustainability aspiration-action continuum. Additionally, while Nelson City's sustainability policy is built upon the Natural Step Programme, this appears to be closely aligned with the Aalborg Commitments, as well as having synergies with the participative governing and institutional design literature reviewed (Evans *et al.* 2006; Ham and Hill 1984; Lowndes 2005; Lowndes *et al.* 2006; Stoker 2011). Therefore, some of Nelson City's publicly available policy, planning and reporting aspects were used as a starting point for constructing the City Survey design. The works of Stoker, Ham and Hill and Evans *et al.* were also used to construct additional questioning around 'governing/city engagement', the 'policy and action continuum' and the 'four categories of governing' within the City Survey design. In the survey design, it was anticipated that the combinations of questions would lend a double blind aspect to the data results, as well as to draw out each individual city's perception around their sustainability aspiration-action continuum success or failure, and what specific barriers are being experienced within their current transformational processes. The survey is also designed to support or negate the provisional data source assessment of Tables 4.3-4.11.

4.3 The Five-City Survey Results

4.3.1 Survey Results Overview:

The remainder of this chapter presents the results of the mid-sized city survey undertaken as part of this research. This portion of the research centres on offering quantitative and qualitative data in relation to the second focus: *To discover what the NZ mid-sized city Authority's organisational perceptions are, toward their current level of sustainability aspiration-action continuum success, and what, if any barriers to transformational progress are also being experienced.*

Specifically, this component of the research was designed to provide an insight into the perceptions and experiences of staff working within the strategic-zone of each Council – the ‘strategy and research unit or environmental sustainability team’ – rather than aiming to capture or represent a definitive city-wide/city Authority position. Prior observational experience indicated that the more strategically-oriented staff, located towards the ‘policy end’ of Council business generally tends to hold a reasonably well rounded understanding of governance requirements, community needs and operational staff activities. In this way, the research aimed to draw out comparative understandings of how ‘well’ the respective city and city organisation is currently doing in terms of implementing their integrated sustainability aspirations and transformational targets across their Authority landscape. See Chapter Three – Methodology and Appendix F – Five City Survey Documents. **Questions 1-6** were aimed at ensuring that the publicly sourced data used for the provisional assessment (Tables 4.3-4.11) were current and up-to-date information. The remaining data as shown in sections 4.3.3 through to 4.3.7 were tabulated for presentation as consolidated trends of perception, with any additional qualitative commentary shown in a random contribution, in order to comply with the informed consent privacy requirements of the five participating cities.

4.3.2 Results: Aspirational Comparatives

Question 7 asked how Council described itself as an organisation. Four ‘City Organisation’ responses were received, One ‘Corporate Organisation’ response was given and no responses were marked against the ‘Administrative Management’ option, however, all annual report documents describe Council being a ‘Corporate Organisation’. The use of vocabulary is incredibly important in articulating a consistent city organisational message and discrepancies between language use within formal public documents and accepted informal perceptions/practices provides cues toward underlying thinking, attitudes and drivers behind organisational culture and behaviours. Table 4.12 offers a comparable narrative of each City’s vision and objectives, the city organisation’s purpose and organisational values or qualities, gained from **Question 8**. Four from five responses show the city vision/purpose as clearly oriented towards a more sustainable aspiration. However, only two from five respondents indicate a

definite connection between city vision/purpose and the city organisation's purpose, while three from five respondents have organisational values that clearly link to some or all of the elements of an expected integrated sustainability-oriented culture.

Table 4.12: Vision, Purpose, Values Comparative Table

City Vision/Purpose	Organisational Purpose	Organisational Values/Qualities
Creating an exciting, innovative, safe, caring and friendly City offering lifestyles based on a healthy environment and diverse growing economy.	Making it better by making it happen	Responsibility, Positivity, Respect, Above and Beyond
A caring, innovative, vibrant, sustainable city . A socially sustainable city where people want to live because of its safe and easy lifestyle and its many social, cultural and recreational opportunities. A leading city in the quest to become environmentally sustainable. An economically sustainable city that attracts, fosters and retains businesses and jobs to create a prosperous community.	Financially responsible and residents are satisfied that they get value for money from their rates. Understands the diverse views of the City's people, makes prudent decisions, and ensures that people know what it is doing and why.	Trust, Worth, Service, Transformation
A city we believe should offer the best - economically, environmentally, socially and culturally - to everyone who lives here. We have a unique, green and natural environment, with the River running through the heart of our city. We celebrate our diverse community and acknowledge our agricultural heritage. Prosperous and Innovative, Outstanding City Leadership, People Love Living Here.	Everything council does is directly linked to our vision .	Hot, Unexpected and Relentless
According to the people who live, work and play here [City] will be a place that is: easy to move around, living well, wasting less, built to fit our hills, harbour and coast. There will be: Vibrant, healthy and diverse communities , Actively involved people. We will have a: Clean, green, valued environment , Strong and sustainable economy . And it will be: A great place to grow up.	[City] Council's operation is based on a firm foundation that, because we choose to live here, we enjoy working in an organisation that makes a real difference. We are passionate and committed to making [City] a place that is beautiful, enjoyable and valuable .	Friendly professional people - because we choose to live here we enjoy working in an organisation that makes a real difference. <i>Note: Summarised from survey respondent's referral to full website version, which is explicitly sustainably focused.</i>
[City] 2060 is an inclusive city, with a diverse range of residents who can connect easily to each other and the beautiful place we call home. Our inclusive leadership style supports our unique approach to living, which is boldly creative, ecologically exemplary, socially balanced and economically prosperous .	We work to make [City] a better place. Our residents understand that this is our intention. Everything in our attitudes and behaviours ensures the whole of Council is successful, and each individual in the Council has the opportunity to be successful. Everyone will know these things to be true.	Integrity, Innovation, Team work, Pride in what we do, Work/life balance

4.3.3 Results: Governance

Questions 9 to 11 were based around perceptions of Governance and the capacity to promote participative and representative democracy and engage in democratic debate with the city’s civil sector. This work was referenced from the Natural Step Programme and participants were asked to select their responses within five categories, ranging between strongly agree to strongly disagree.

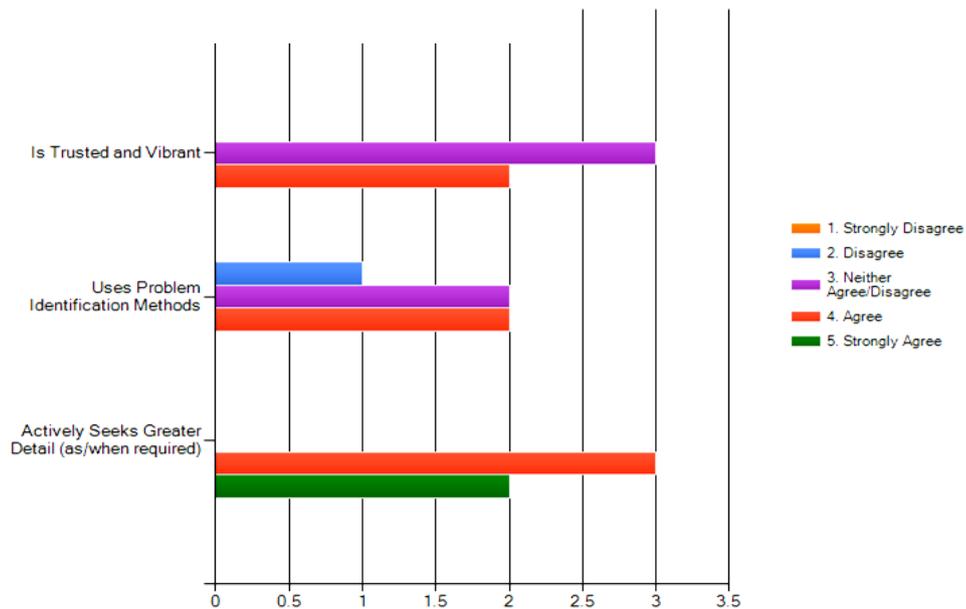


Figure 4.2: Participative Democracy

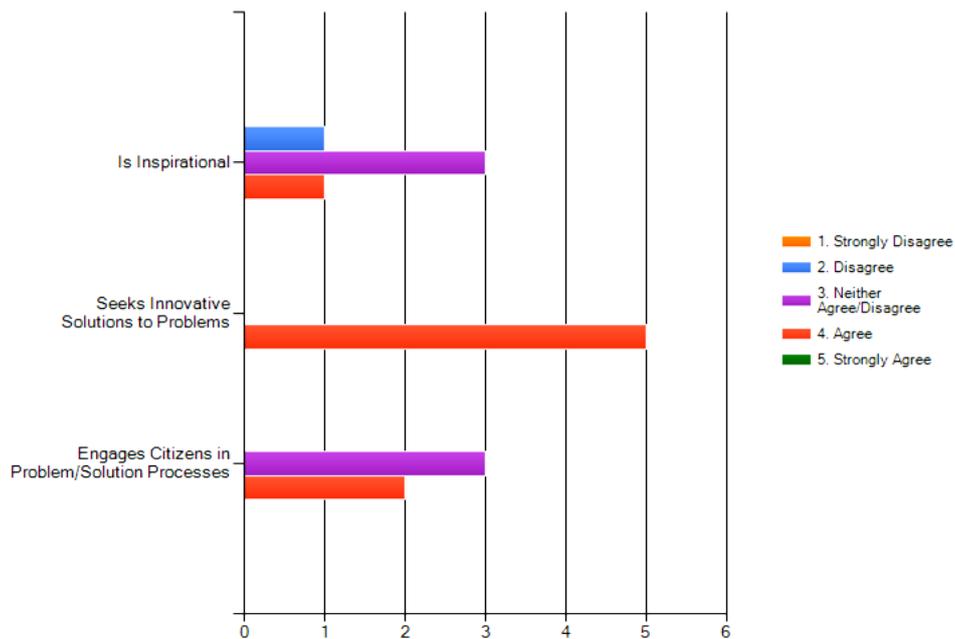


Figure 4.3: Representative Democracy

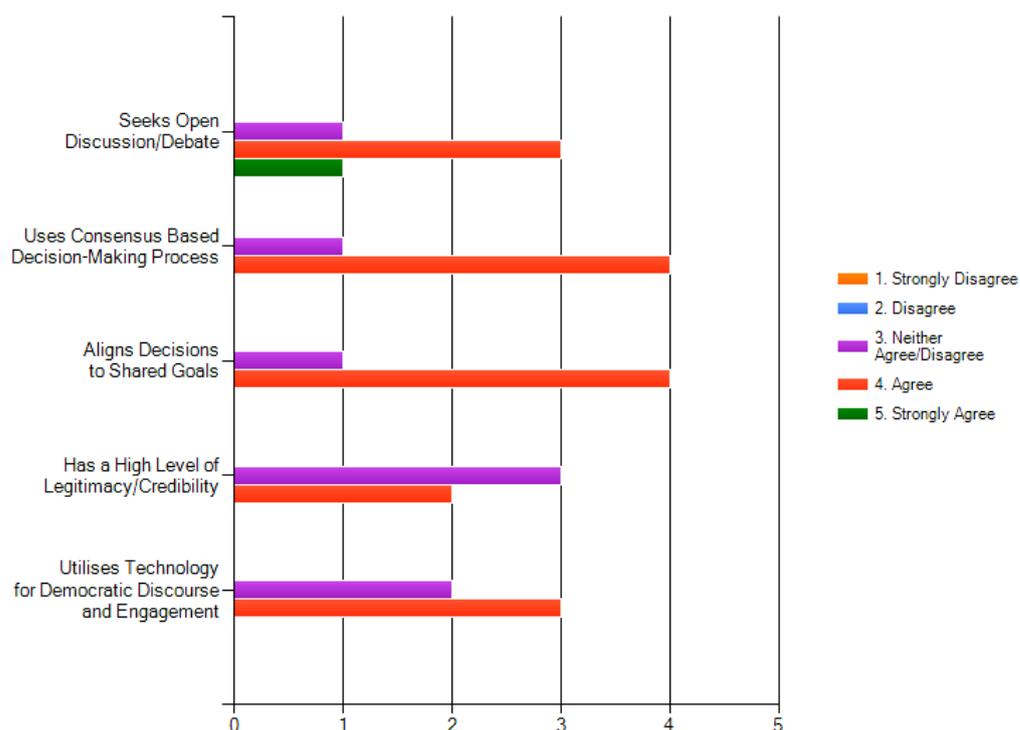


Figure 4.4: Democratic Debate

In the governance section of Questions 9-11, some areas were perceived to be working well with ‘agree and strongly agree’ responses returned for the two categories: i) seeks innovative participatory democratic solutions, and ii) actively seeks greater detail in representative democracy work. Also a 90 percent ‘agree’ response was received for the two democratic debate categories: iii) uses consensus based decision making and iv) aligns decisions to shared goals. A more mixed result was returned for the two democratic debate categories: v) seeks open discussion, and vi) utilises technology for democratic discourse and engagement.

The remaining results indicate that the governance leadership capacity development areas requiring a greater focus around improvement are:

- a) Participatory Democracy: seeking greater citizen engagement in the problem/solution process and developing better inspirational leadership.
- b) Democratic Representation: building greater trust and vibrancy and improving the use of problem identification methods.

- c) Democratic Debate: the responses to the perceived levels of legitimacy and credibility, indicates that further focus needs to be undertaken around this area - see linked Questions 12, civil sector and 26, governing geography.

4.3.4 Results: Civic Sector

Question 12 related to how the civic culture is perceived relative to Stoker's description based on the premise that, "The [four] societal roles undertaken by local government systems of identity framing, economic development, social welfare/[oranga] and community governance, encourage and are supportive of certain types of civic culture and local political philosophies" (Stoker 2011 25).

The following four descriptions were outlined in association with this question:

1. Parochial:

Majority of citizens across all sectors have a low level understanding and engagement of their city's political systems/council organisation.

2. Conciliatory:

Majority of citizens across all sectors have a reasonable understanding of their city's political system/council organisation and a fairly high level of engagement.

3. Enquiring:

Majority of citizens across all sectors observe and question the value of council deliveries, are aware of the city's political systems/council organisation, but tend to lack engagement.

4. Participatory:

Majority of citizens across all sectors have a high level understanding and engagement of their city's political systems/council organisation.

To the question: Based on the above descriptions which would best describe your city's current civic society? Three responses were received for the 'enquiring' option, while the 'parochial' and 'conciliatory' categories had one response each. More importantly, no responses were received for the 'participatory' option, which aligns with the response rate received in the double blind governing geographies in Question 26. Having a high participatory civic sector is a strong aspirational feature of the Local Government Act 2002 legislative reforms, and is found to underpin the 'networked community governance' model criteria description (Stoker 2011 18) and a necessary condition for sustainability policy success (Evans *et al.* 2006).

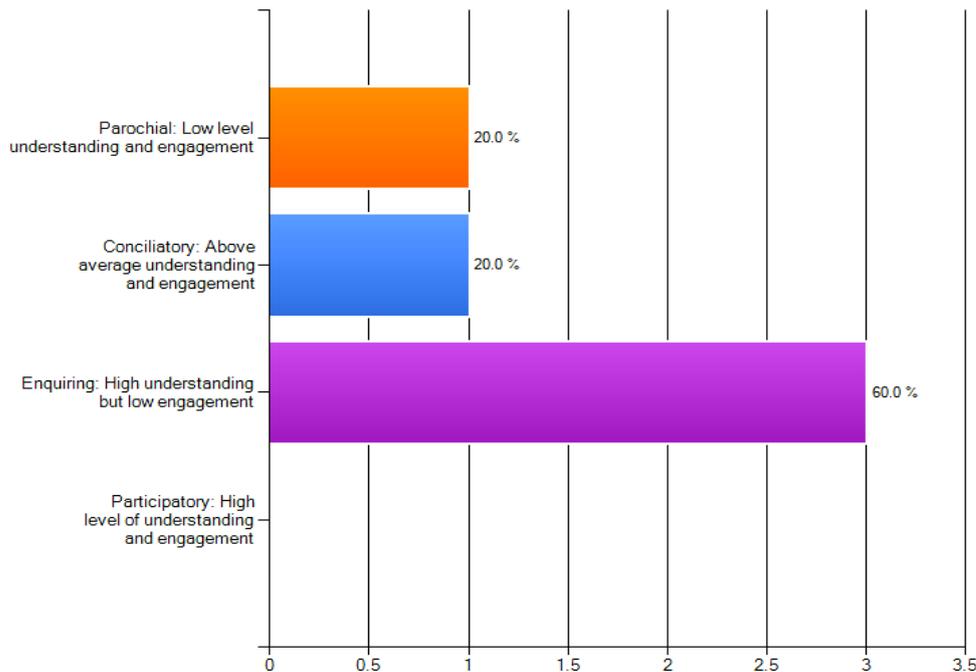


Figure 4.5: Civic Culture

4.3.5 Results: Operations

Question 13 sought perceptions around how actively council demonstrates sustainability within its service deliveries across the whole of the organisation. A four point scoring choice was purposely offered, as a definitive selection between, a mid-way point was required for this question. Full descriptions to the summary selection criteria shown below, were given to respondents during the survey:

- 1 Implements sustainable procurement procedures that take into account whole of life costs.
- 2 Considers repair, reuse and recycle ahead of the responsible disposal of surplus material, while taking into account the economics of the work.
- 3 Takes positive actions for promoting continued improvement in targets, indicators, measurement mechanisms, monitoring and reporting.
- 4 Sets and achieves clearly defined sustainable development objectives and targets.
- 5 Recognises, celebrates and rewards achievement in order to promote a sustainable Council organisation.
- 6 Develops the capacity of staff to promote the principles and practices of sustainability.
- 7 Provides EEO and demonstrates fair, equitable and authentic leadership across the City organisation and the Community.

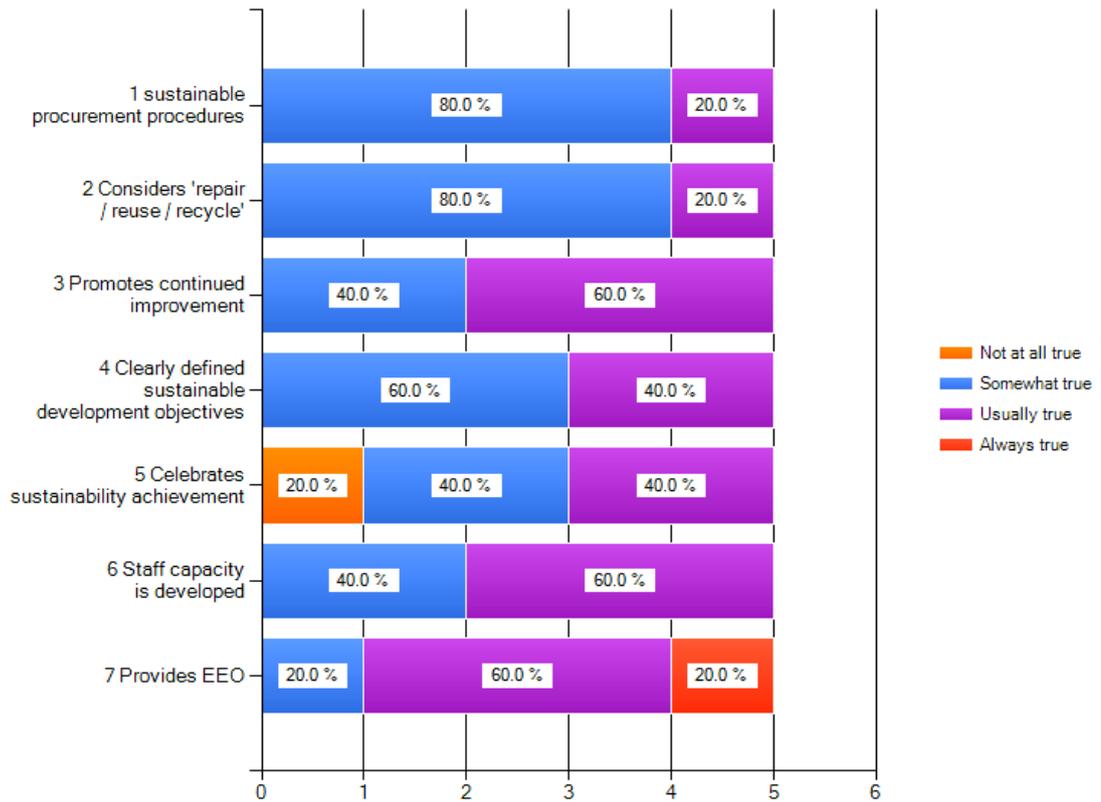


Figure 4.6 – The Level of Demonstrated Operational Sustainability

The legislative requirements indicated in categories three and seven appear to be reasonably well implemented, although as a mandatory requirement it seems that there is still some work to be done in these areas across the respondent organisations. The remaining voluntary conditions for embedded sustainability implementation appear to need significantly more attention. Certainly, the consumption and waste attitudinal and behavioural results, captured in categories one and two, signal concern for any organisation that has a stated aspiration for achieving greater sustainability-oriented success. However, as previously discussed, these results may also be reflective of the wider NZ social attitudes toward conscious consumer choices.

4.3.6 Results: Sustainability Cohesion

Questions 14 through to 23 addressed perceptions of sustainability cohesion within the Council Organisation.

Table 4.13: Table of Results – Questions 14-18

Questions 14-17	YES	NO
Q14. Does sustainability sit as core value within Council?	60%	40%
Additional Commentary Offered: 1. <i>Priority has been given to the Sustainability Strategy currently under development to ensure that it does sit as a core value.</i> 2. <i>Our Spatial Plan (The Big Picture) identifies sustainability in terms of urban growth and design, importance of suburban areas, cycle and walking networks.</i>		
Q15. Does Council have a Sustainability Policy?	40%	60%
Additional Commentary Offered: 1. <i>First developed in 2008 - currently under consideration as part of development of strategy.</i> 2. <i>2010 [first developed] - it is continually reviewed. Progress is monitored by Leadership Team and Elected Members on a quarterly basis</i> 3. <i>We have a corporate sustainability strategy.</i>		
Q16. Does Council have a Sustainability Strategy <u>linked</u> to Policy?	60%	40%
Q17. Does Council have a Sustainability Action Plan <u>linked</u> to Strategy <u>and</u> Policy?	80%	20%
Question 18	Actively employed	Needs further integration
Q18. How active is the Sustainability Action Plan across the whole of Council?		100%

A clear 100 percent response rate was received around needing greater integration of the Sustainability Action Plan across the whole of Council. However, there were also some conflicting data responses received with a 60 percent affirmative response to whether sustainability sits as an organisational core value, but only 40 percent returned a positive response that the organisation has a sustainability policy. Furthermore, 60 percent then indicated that the sustainability strategy was linked to the sustainability policy, while 80 percent confirmed that the sustainability action plan linked to the sustainability strategy and policy. The responses do not appear to tally between each of the related questions or the initial data source indicators found through the six city website searches.

What does seem to be apparent is the indication of a possible disconnection somewhere within, between and/or across the institutional structure. This marker is further reinforced in Questions 20 to 22.

Question 19 received one skipped response to the question: Where is sustainability primarily championed from within Council?

Two of the five respondents indicated that sustainability is primarily championed by the sustainability advisor, while the ‘Mayor’ or ‘Other’ categories received one response each. The one ‘Other’ category selection was accompanied by the following feedback response: “*Deliberate decision not to have a champion*”. Interestingly, no one indicated that the CEO championed sustainability within their Council organisation although feedback in Question 27 references that one previous CEO had been a strong supporter of sustainability.

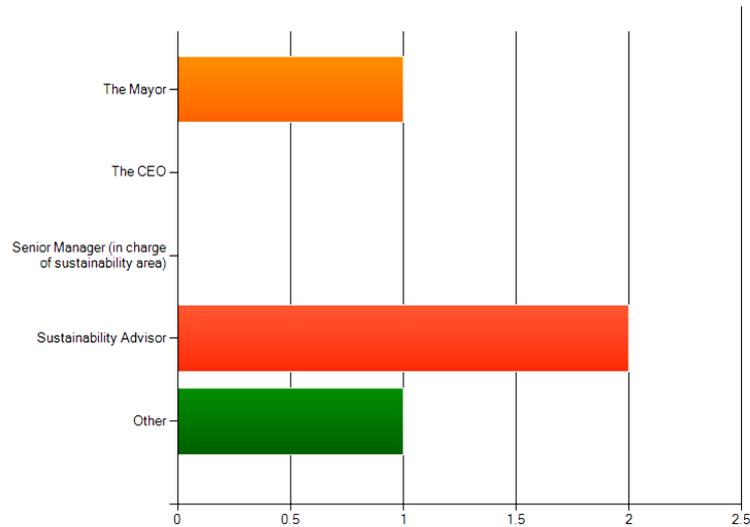


Figure 4.7 – Sustainability Champions

A consistent 60 percent affirmative response was received to **Questions 20 and 21b** (Table 4.14) around the capacity for decision-making based on a sustainability risk assessment. While this is above average, there is room for a more focused improvement in this area. **Question 21a** evidences via an 80 percent response rate that new ideas/innovations could be received, at speed, internally from staff and externally from the community, but **Question 21c** confirms via unanimous perception (100 percent response) that new ideas/innovations could not be implemented at speed.

This is a key indicator of ‘participatory governing resiliency’ (Bulkeley and Betsill 2003; Evans *et al.* 2006; Robbins 2012; Stoker 2011) and it further points to a condition of missed or weak cues (Rerup 2009) in terms of capacity to cohesively manage the sustainability aspiration-action continuum and successfully deliver integrated sustainable development successes.

Table 4.14: Table of Results – Questions 20-22

Questions 20-22	YES	NO
Q20. Do decision-making processes consider long and short term financial and non-financial risk assessments?	60%	40%
Q21. Can new ideas/innovation suggestions be: a) received by staff/community at speed b) evaluated within risk guides at speed c) implemented at speed	80% 60%	20% 40% 100%
Q22. Does decision making recognise quadruple bottom line nature of city, within: a) policy b) planning c) operations	100% 100% 40%	60%

The response to **Question 22** tended toward reinforcing a point of disconnection between the aspiration and action, raised in Question 18. The results indicate that the sustainability principles are more fully recognised and incorporated within the policy and planning areas of Council business, but only 40 percent indicated that these principles are recognised and implemented within the operational side of Council business. This again reinforces the indicators toward a weakness in the area of ‘participatory governing resiliency’ from an institutional capital capacity perspective.

Question 23 looked at perceptions around overall council performance with regard to a range of sustainability areas. This question was presented as a ‘quick fire’ round. See category items below which correspond to the numbers shown in the results Figure 4.8:

- 1 Council shows sustainability commitment through its services and facility provisions.
- 2 Council shows sustainability commitment in the way it operates as an organisation.
- 3 Action/maintenance of the sustainability policy rests with the full Council.
- 4 The CEO is fully committed to the success of the sustainability policy.
- 5 Divisional/Unit Managers and teams understand/lead the consistent implementation of the sustainability policy through their divisions/units outcomes.
- 6 Council monitors/reviews/publishes the results of the sustainability policy in its LTP and Annual Reports.
- 7 Council has the participatory tools to correctly identify causal problems.

- 8 Council has the capacity for and internal capability to drive sustainable solutions based on identified causal problems.
- 9 Council has the capacity and capability to accurately identify needs/opportunities to quickly add value to its service deliveries.
- 10 A mix of direct provisions/partnerships/sponsored community activities and programmes are used to contribute to the city vision.

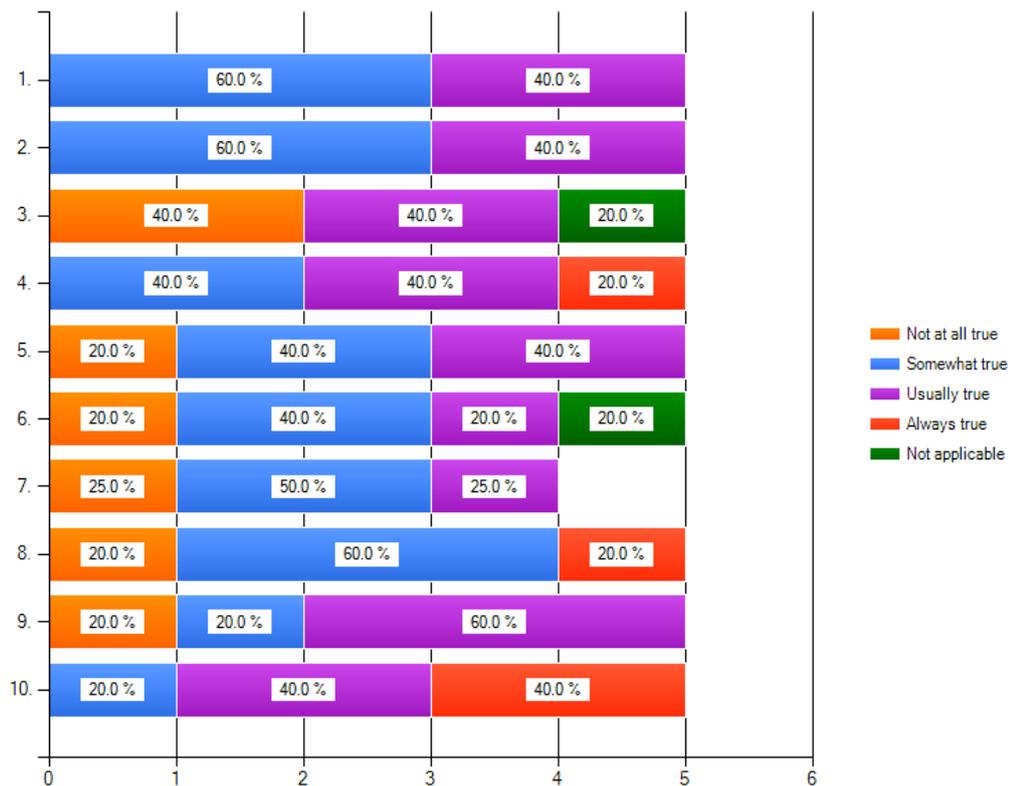


Figure 4.8 – Overall Council Sustainability Performance

The results contained one skipped response to Question 23, item 7 – participatory tools for problem identification – with three from four responses indicating that this was ‘not at all true’ (25 percent) or ‘somewhat true’ (50 percent) with the remaining response highlighting a ‘usually true’ response. The responses tend to correlate with the earlier relational counter point Questions 9-11 – participative governance engagement and associated legitimacy and credibility perceptions and to the nil civic participation response found in Question 12. The combined results are reinforced with the Question 26 response rates.

Results for item 4 – CEO’s commitment sustainability policy success conflicts with response data collated in Question 19, Figure 4.7.

Of the remaining responses, items 1, 2, 5, 6, 8 all returned singular ‘somewhat true’ or combined ‘not at all true/somewhat true’ responses of 60-80 percent, while item 3 was evenly split between ‘not at all true’ and ‘usually true’, excluding the one ‘not applicable’ option response. The response for item 9 again reflected the previous data collated and discussed under Questions 20-22.

While on the other end of the scale, item 10 returned a 40 percent ‘always true’ and 40 percent ‘usually true’ responses to Councils use of mixed direct provisions, partnerships, sponsored communities activities and programs to contribute to their vision – which indicates that relations do exist. However this question does not provide data on the quality of those relations and this aspect will be further advanced in the case study portion of this research.

4.3.7 Results: Sustainability Characteristics and Overall Preparedness

In **Question 24** respondents were asked about where their Council would sit in terms of ‘overall confidence level’ around its capacity to proactively lead and respond to the accumulative impacts of increased globalisation, the economic constraints, population/demographic change, ‘new to NZ/City’ migrant demands and ecosphere/system pressures.

A simple rating scale from between **1: *being not at all prepared*** to **10: *being highly prepared*** was used.

All responses were centred around the mid-way zone, based on a simple rating scale response request. Although the collective perceptions showed slightly in favour of feeling more prepared to respond to external impacts, with two responses slightly below and three responses slightly above the mid-point ‘5’. Of those above, two responses indicated a reasonably good perception of preparedness with a returned rating of ‘7’.

Overall however, the results do not present an overwhelming confidence.

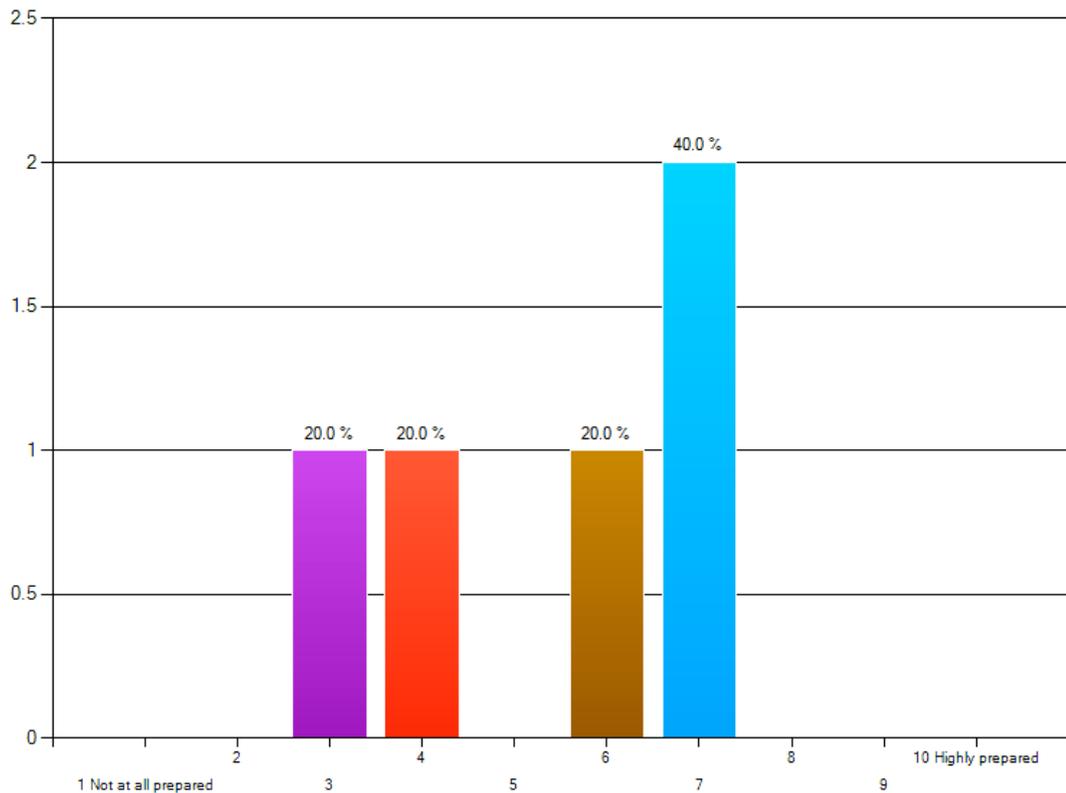


Figure 4.9 – Sustainability Conditions and Overall Preparedness

Question 25 looked to gain feedback on the eight characteristics of sustainable governing. The following results were returned from the survey respondents again using a simple rating scale from between **1: *never demonstrates*** up to **5: *consistently demonstrates***.

A 60 percent return at the scales, four '*usually*' or five '*consistently demonstrates*', was received for the majority of the eight characteristics. Item two 'is interconnected', however, received poorer response rating across the five participant Authorities. Overall though, the results signal that respondents, while feeling that Council's sustainability performance outlined in Question 23, Figure 4.8 are more mixed, the eight characteristics are reasonably well represented and achieved. This is interesting in light of responses in other areas, for example, Question 26. The mixed indicator responses, lend an opportunity to explore this aspect further within the case study.

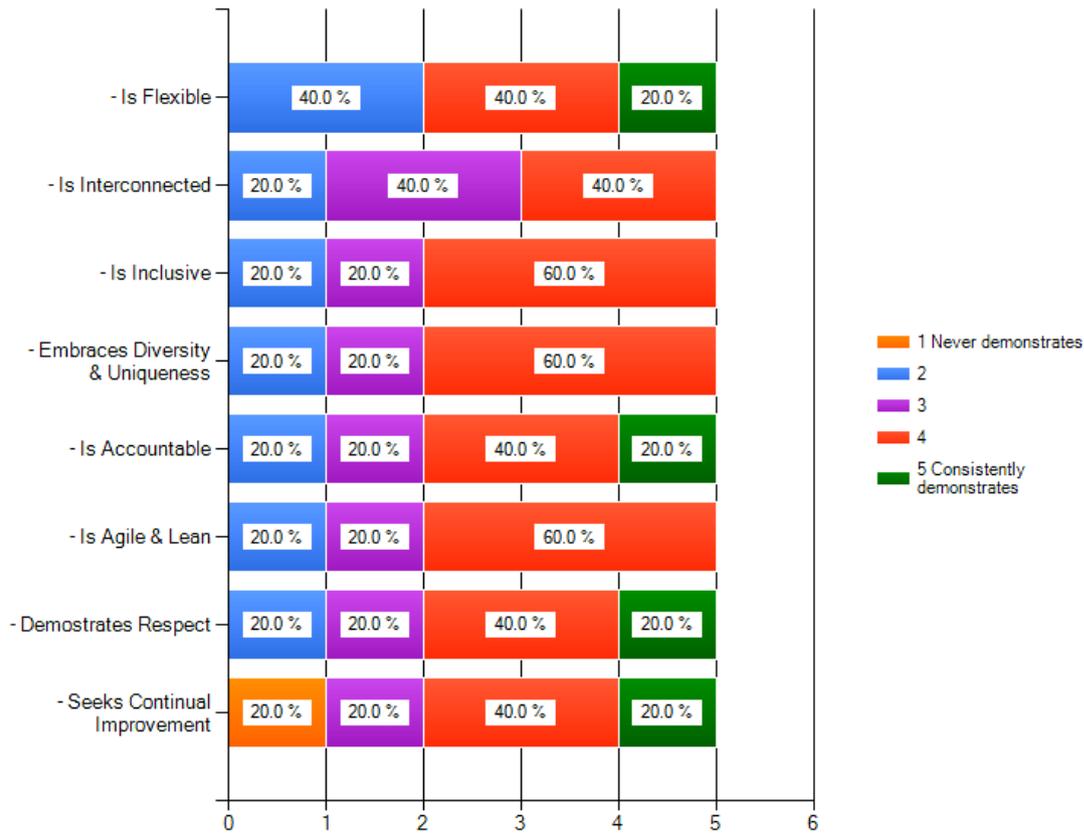


Figure 4.10 – Eight Characteristics of Sustainable Governing

In **Question 26**, respondents were asked to consider the City’s Civil Society together with the whole of Council Organisation. Then, based on the descriptions of a Sustainable Governing Geography below (Evans *et al.* 2006), to select the model that they felt ‘best described’ their City at this particular point in time:

1. **DYNAMIC governing:** Actively builds capacity across all civil sectors and the organisation. Has a high level of sustainable policy-action achievement.
2. **ACTIVE governing:** Achieves reasonable capacity building across all civil sectors and the organisation. Has a medium to fairly high level of sustainable policy-action achievement.
3. **VOLUNTARY governing:** Has a voluntary capacity building across all civil sectors and the organisation. Has a low level of sustainable policy-action achievement.
4. **PASSIVE governing:** Demonstrates little or no capacity building across all civil sectors and the organisation, fails to demonstrate sustainable policy-action achievement.

As per the responses for Question 12, where ‘nil’ responses were received for the ‘participatory’ civic sector option (found to underpin the ‘networked community governance’ model - Stoker 2011 18), Question 26 also produced a ‘nil’ response rate to the Dynamic Governing Geography option. This quadrant requires a high institutional capital capacity and an equally high civic capital capacity in order for successful policy outcomes to be cohesively and consistently produced.

The collated responses to Question 26, therefore evidence that most council’s felt their combined City’s Civil Society together with the whole of Council Organisation, currently sat in the voluntary or active quadrants (underlined) of the DISCUS study model below.

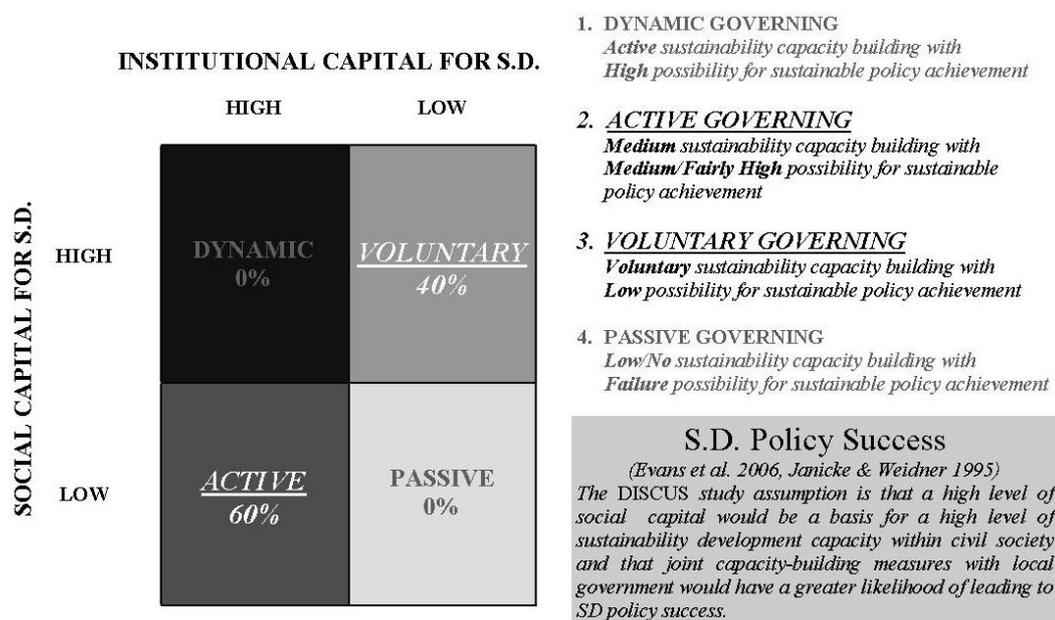


Figure 4.11 – NZ Mid-sized City Survey Results (Red)

Source: (Evans et al. 2006) DISCUS Matrix – Reproduced with permission

4.3.8 Results: Final Respondent Comments

Question 27 asked for any further comment on either Council or this study and the following were received:

This is a period of change for our Council as a stated commitment to sustainability is translated into our activities. The culture of the organisation also has to change and this can take time. It's also important to note that many sustainable actions are not driven directly by the sustainability policy, but by a desire to do the best for our community as efficiently as possible.

Some challenging and thought provoking questions! It is worth noting our corporate sustainability strategy is a management level adopted strategy rather than Elected Member. Our previous CEO was supportive of sustainability initiatives and we are currently going through some changes which may or may not affect our commitment. Local Government reforms will also potentially have an influence. I believe we are strong in the area of community capacity building through environmental education, particularly through schools. A challenge is local government is changing governance which can impact on decision making.

Council is undergoing a change as it seeks to become strategically led and that the governance arm has a role in developing strategy. It is on its way, but it is still a big change to many.

This area, from a political view point at least is recognised as a weakness. The Environmental Sustainability Strategy (city-wide) is being reviewed and the Council is working on a Sustainability Plan right now - looking to implement by the end of the year. It is still early days to gauge how successful this plan will be but the intent is to address many of the weaknesses identified in the questions of this survey. This represents a huge cultural shift though, so all things being equal (and with no major environmental crises) it is going to take some time to make that shift.

4.4 Summary

This chapter has presented the results of the first stage of the study in relation to the findings from the ‘preliminary six cities data source search’, along with the subsequent ‘five participating cities survey results’.

4.4.1 Comparative Literature Assessment:

The first focus: *To identify where the NZ local governing modernisation effort sits when compared to the European Union/United Kingdom (EU/UK) experience*, was addressed by utilising Stoker’s Table 1 - eras in local governing and associated EU/UK time-line data as a basis for analysis of NZ’s own local government philosophical shifts, sourced from published literature (Chapter Two; Appendix L). The two sets of data were then compared (Tables 4.1, 4.2) and clearly show that:

- a) the NZ local government’s modernisation pathway has occurred, and continues to sit well behind the EU/UK transformation experience, in terms of time frame transitions,

- b) NZ's modernisation effort has manifest as corporatisation of local government which differs to the EU/UK focus of ecological modernisation, and
- c) within the NZ local government institutional landscape, there is an indication that transformation across the three eras of local governing as described by Stoker has not been completed within many NZ Authority organisations.

The latter of these three findings would suggest that there may be a general lack of embedded coherence within the sustainability aspiration-action continuum, which in turn, points toward a combined poor institutional capacity within, across and between the Authority organisation and a low civil engagement level.

4.4.2 Preliminary Data Evaluation:

These three findings lead to questioning whether the local Authority organisations had the same or an entirely different view point from the comparative literature assessment. The second focus then sets out to make discovery of: *what the NZ mid-sized city Authority's organisational perceptions are, toward their current level of sustainability aspiration-action continuum success, and what, if any barriers to transformational progress are also being experienced.*

In order to address the second focus through an informed survey design, a preliminary data source search was undertaken around six selected mid-sized cities. The initial evaluation of this material allowed total scores showing the perceived level of cohesive/completed transformation, combined with the perceived level of integrated sustainability underpinning for each of the six selected mid-sized City Authorities (Tables 4.11). Nelson, Tauranga and Palmerston North City Councils all appear to be performing well ahead of Hamilton, Dunedin and Invercargill in both transition and sustainability. Nelson City appeared the most proactive and advanced in terms of achieving an overall sustainability aspiration-action continuum. Additionally, while Nelson City's sustainability policy is built upon the Natural Step Programme, it is closely aligned with the Aalborg Commitments, as well as being reflective of the combined literature works of (Evans *et al.* 2006; Ham and Hill 1984; Lowndes

2005; Lowndes *et al.* 2006; Stoker 2011), through the attention it gives towards seeking to build stronger capacity and engage in more participative mechanisms with staff and the public. Therefore, some of the Nelson City’s policy, planning and reporting aspects (as publicly available) were utilised as a starting point for constructing the City Survey design. Aspects of Stoker, Ham and Hill and Evans *et al.* works were also utilised to construct additional questioning around ‘governing/city engagement’, the ‘policy and action continuum’ and the ‘four categories of governing’ components of the City Survey design.

4.4.3 Successes/Failures and Barriers:

It was anticipated that the combination and cross referencing of question categories, would draw out each individual city’s perception around their sustainability aspiration-action continuum success or failure, and point toward where specific barriers are being experienced within their current sustainability transformational processes. The aim was that this approach would provide foundational information for a more in depth city case study component, to complement the City Survey discoveries. The compilation of survey data across the five participating city organisations shows predominance toward NZ mid-sized cities sitting outside of the ‘Effective Dynamic Governing’ category (1) at this time.

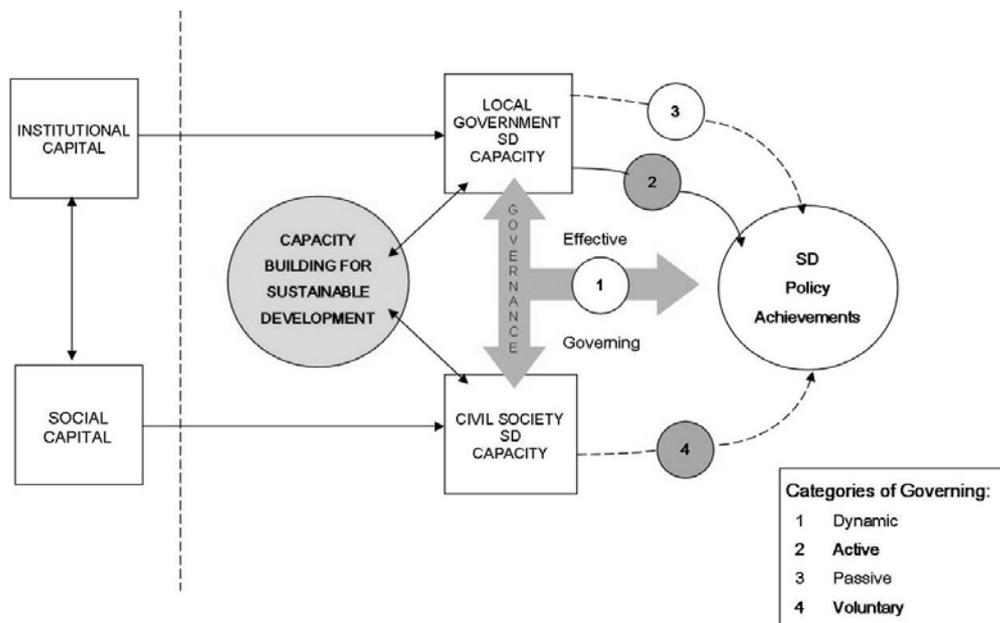


Figure 4.12 – Survey Results

Therefore the sustainability aspiration-action continuum successes or failures and specific barriers being experienced across the survey recipient organisations are:

1. That a strong relationship between an equally dynamic institutional and social capital capacity and therefore successful sustainable development policy-action achievement (Evans *et al.* 2006) is not present in any of the survey respondent cities.
2. While the policy and planning end of the Authority organisation appears reasonably informed around the concept of sustainability, there are barriers to that policy intent being embedded into operational action. This reinforces the anecdotal evidence (Appendix B) that suggested there was a sustainability aspiration-action divide within NZ mid-sized city authorities.
3. There is an extremely low level of championing by City Authority CEO's toward the concept of sustainability. The subsequent embedding of integrated sustainable development as the guiding principle to the organisational policy-action continuum remains thwarted by the more entrenched business-as-usual, fiscal imperative. Sustainability therefore in many authorities sits as an 'optional extra' to day to day processes and practises.
4. Survey respondents sense of their overall preparedness to manage the accumulative natural and man-made pressures and potential impacts of modern city life, sat at a mean average of slightly above the mid-way scale, with a five point spread between all recipient results. This does not present a high level of preparedness to effectively govern the modern city complexities. Again, this would reinforce the argument that the measurement of success is currently focused to 'fiscal resiliency' and supports the need to re-align social values and explore richer progress indicator mechanisms/instrument measures that are more whole systems focused, (as an example, the genuine progress index (GPI) discussed by Packard and Chapman 2012).
5. The research indicators also suggest that resourcing support from central government has not been consistent or cohesive enough to build strong institutional capital capacity within the local governing landscape and this has impacted on local government's ability to embed cohesive transformation

within and across the whole organisation. Furthermore, NZ local government, through a highly centralised legislative requirement, has taken a corporatised approach to its modernisation efforts. This corporatised direction is characterised by contestable funding and a market-force competitive approach, which appears to have permitted green-washing or even side-lining of authentic local sustainability initiatives and limited multi-dimensional innovative approaches to solving local problems across all four sustainability principles. Additionally, within the collective low level of CEO commitment and political will, it appears that the effect has been a reduced focus toward building, authentic local capacity for engaging the civil sector in exercising their democratic responsibilities in between an election cycle. The outcome has produced limited success in achieving integrated sustainable development, as well as a wide spread, symptomatic, dissatisfaction with many Authority's political and management performances (Appendix B) – despite pockets of sustainability success driven by some committed individuals within individual Authority organisations. This aspect will be explored further in the case study.

The first two focus-questions to the thesis study have been addressed within the literature assessment and preliminary data source evaluation, along with the quantitative and qualitative data results from the five city survey.

Chapter Five builds on this NZ mid-sized city 'snap-shot' perspective, through a more detailed case study enquiry of one City Authority Organisation.

5.1 Overview

This chapter presents the findings from the selected city case study – Hamilton City and its Authority organisation; Hamilton City Council (HCC), Waikato, New Zealand (NZ). The research focuses around a case study question of: How ‘wise’ is Hamilton City’s governing? This case study question is used as a means to add a deeper level of discovery and understanding to the prime research question outlined in Chapter One, and in so doing, seeks to investigate the second part of the proposition: As key local promoters for a more sustainable future, city Authority organisations must have their own sustainability-house in order before wise city governing can be successfully informed, formed and embedded.

An overview of the ‘history of place’ is firstly offered in order to lend context to the city and its Authority organisation. The historical data sources are supplemented with a semi-structured interview with previous three terms Mayor - Key Informant 1 (KI.1). Next a documents review was undertaken to determine the current level to which the concept of sustainability has been successfully embedded as the overarching guiding principle. It also seeks to further understand the conditions which support or inhibit this taking place. This section primarily uses the publicly released consultant’s reports for the comparative analysis and is supported by three observational exercises of the process used within the 2012 ‘strategies review, political decision-making and formation of the 2012 new Sustainable Hamilton strategy, the corporate sustainability plan and the new city vision, outcomes and goals’.

The documents review and observational exercises, served to inform the design of the semi-structured social capital group interviews, and a matrix of community key informants was also formed from the observational preparatory data. Two groups were identified, the ‘elites’ (groups invited to the table to be consulted with for policy and planning feedbacks) and ‘non-elites’ (groups left to work

through more formal mechanisms to feed back to proposed Council directions). Interviews were undertaken after informed consent was given, and the resulting findings are presented by way of evidencing the ‘Factors and Elements’ of wise city governing in the third section of this Chapter. The collective findings are summarised against this study’s relational bracelet concept and the Stoker and Evans *et al.* models, in order to address the third study focus: *To identify how and where, the selected city Authority’s attitudes, behaviours and language use, impact on the collective institutional and social capital’s capacity to deliver wise city governing.*

5.2 The Emergence of Hamilton

5.2.1 Whenua, Awa and Early Settlement:

Hamilton City sits to the centre of the Waikato Region, in the North Island, and is the largest land-locked and fourth largest city – in population size, in NZ. As a city, it sits physically divided by the Waikato River - the longest river (awa) in NZ. Apart from some low hills and an extensive gully network, Hamilton’s land (whenua) is relatively flat, with a soft unconsolidated soil type that is easily eroded by rain and run off, but is equally stable, as a land-mass.

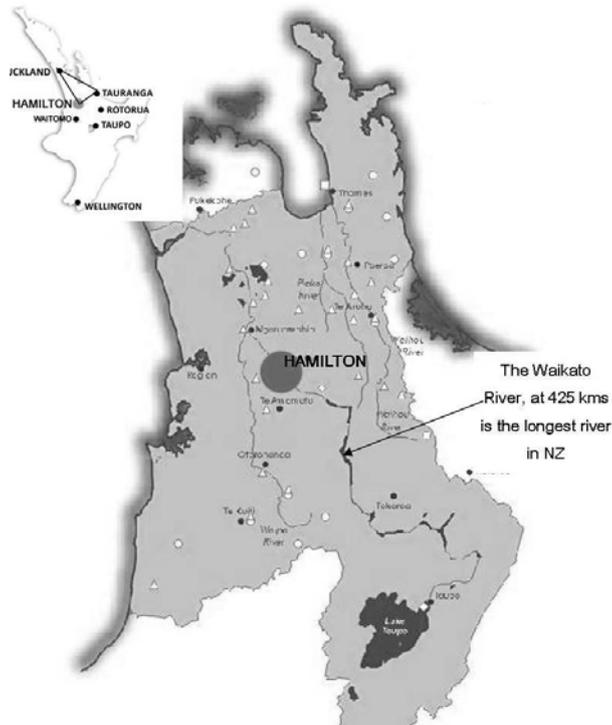


Figure 5.1: Hamilton City Location
Source: www.waikatoregion.govt.nz

This land-mass typology was originally, very swampy in winter, and the slow population growth in the early pioneering days was in part attributed to this damp boggy environment where TB was rife. Hamilton, never-the-less, began its formal European settlement on 24 August 1864, with the arrival of Captain William Steele, who named the City of Hamilton after the Scottish Commander, Captain

John Charles Fane Hamilton. At the time of Steele's arrival, however, three Kāinga (villages) had already been well established by Māori settlers. Kirikiriroa, for example, while being the smallest but main hāpu of the three, was first settled around 1700 by Ngati Wairere. Kirikiriroa (long stretch of gravel) is the commonly used Māori name for Hamilton. The Waikato River holds a close connection to, and is intertwined within Māori physical-spiritual relationships through Te Ao Māori (world-view) and the application of Tāinui tikānga (tribal lores) and variety of subtly differing Marae/Whānau kawa (local-family practices). For all Māori settlements along its pathway, the river in pre-European times also provided a practical transport system that allowed trade, the sharing of knowledge and manāki (hospitality/hosting), as well as providing an abundant food source within and around its clear, clean waters. Today, there is legal agreement between the Crown and the people of Tāinui descent to co-manage the health, restoration and use of the river. This Agreement's expectations are bound through the 1840, February 6 *Treaty of Waitangi* Agreement, as well as within the Local Government Act and other related statutes. Both of these ethical and legal requirements appear to be written into HCC's planning and policy processes.

New Zealand's first Parliament sat in 1854, making way for the Colonial Government to carve out a 'new England'. By 1863, the establishment of the New Zealand Settlement Act enabled land to be taken from Māori by the Crown - an action that resulted in 1.2 million hectares of land being confiscated in the Waikato region alone. Against the background of the New Zealand Wars, the confiscated land was carved up by Crown agents and resold. Many settlers purchasing this land in the Hamilton area held little or no interest in how the colonial government had acquired and made the land available. Most, as they started their 'new life', had significant bank debts and so were keenly focused toward the task of clearing and draining of the raupō and kahikatea swamps to make the rich fertile land available for their farming practises. The 1876 Counties Act allowed for the formation of boroughs (Chapter Two), something the European settler population of 34 in the eastern township, and a further 96 living on the western side of the river were initially against. However, a pragmatic rationalising for a much needed east and west township bridge link (the Union

Bridge) and no funds to build it, meant that with the NZ Governor, Sir George Grey's promise of 'significant financial assistance', the two townships agreed to form under a single borough. The Counties Act also brought with it the legal Authority to set land rates within Hamilton's own boundaries, raise loans and negotiate overdrafts, and this of course, required a local governing body to run the business of the newly combined townships. In the first election, votes were allotted on the basis of land ownership and some ratepayers could therefore, exercise more than one ballot. East/West rivalries soon emerged but the new borough was formally gazetted in December 1877 and the inaugural mayoral election was held on 5 February 1878, with Isaac R Vialou voted in as the first Mayor of the fledgling Hamilton City. O'Connor writes,

Vialou did his best to unite the two communities for their common good and saw the long awaited bridge between [the two townships] as a solution to this division but he, like many ratepayers, [were] to be sadly disappointed. Old rivalries die hard in Hamilton ... several years of divisive and often unproductive political arguments over both major and trivial issues [ensued] (O'Connor 2012).

Vialou was out of his Mayoral position by December 1878 and prior to the Union Bridge opening in 1879. Since that time Hamilton has had 34 Mayors, with a fresh election round, due in October 2013.

Three Key Features from this early European settler and local government formation appear to be:

1. The human capital's pragmatically driven decision-making process and a strong fiscally focused psyche awarded in the arrangement of its political institutions,
2. An early move toward road reliance and away from the river connection,
3. An early fragmentation and in-fighting stemming from location-based (East/West) 'alliance versus rivalry' positioning.

5.2.2 Hamilton City in 2012:

In 1945 Hamilton was proclaimed a city, with a citizenry of 20,000 and today it has a 'net-boundary' population estimate of 146,579 (Hamilton City Council 2011/12 6). Hamilton is considered a medium sized metro-city by New Zealand

standards, but remains small in population size and density, by comparison with other cities around the world. It has a recorded land use density of 1,322 people/km² based on a net land area of 110.8 km² (lgnz.govt.nz) and the HCC reported population of 146,579 people. However, this figure needs to be treated with caution as the km² figure is a net boundary measure and the population total is an estimated figure between census data. Further-more, many statistical data references – like worldatlas.com for example – recognize the *metro area* of cities as being inclusive of the people living in the immediate surrounding area outside of the established ‘net-boundary’ of the city, which if applied to Hamilton’s case would produce a lower land use density figure. Hamilton has never-the-less, experienced significant growth in population – see the *NZ Core Cities Report* (Ministry of Business Innovation and Employment and Local Government New Zealand 2012). Today Hamilton has a demographic mix of 19 percent Māori, approx. 75 percent NZ European and more than 80 ethnic groups in the remaining 6 percent balance, with half of the total residents aged 30 years or less (stats.govt.nz; Hamilton City Council 2011/12).

The city has also consumed large areas of northern agricultural land, while the spatial planning shows further targeted ‘growth’ areas to the south-west and north-west zones of the city, as can be seen from the ‘Future Proof’ settlement pattern plan Figure 5.2. The early settler obsession with land parcel ownership and roading appears to continue today, inclusive of a now, heavy private vehicle reliance. Hamilton additionally continues its tradition, by sitting at the centre of one of the richest agricultural and pastoral areas in the world, and acting as a major service centre for the Waikato region. A number of NZ’s science research facilities reside in Hamilton and its comparative advantage and specialisations listed in the *NZ Core Cities Report* (Ministry of Business Innovation and Employment and Local Government New Zealand 2012 32) are: Agriculture – especially dairy, education and research, energy generation, high-value manufacturing, health and tourism. Hamilton is also part of the Upper North Island Strategic Alliance group with Auckland and Tauranga. The *NZ Core Cities Report* asserts,

...research has found that by building on the expertise developed through its history, Hamilton is experiencing growth in high-value manufacturing and this is partly attributable to its proximity to the Auckland economy. The most evident economic activity between the three cities is currently freight traffic (Ministry of Business Innovation and Employment and Local Government New Zealand 2012 21).

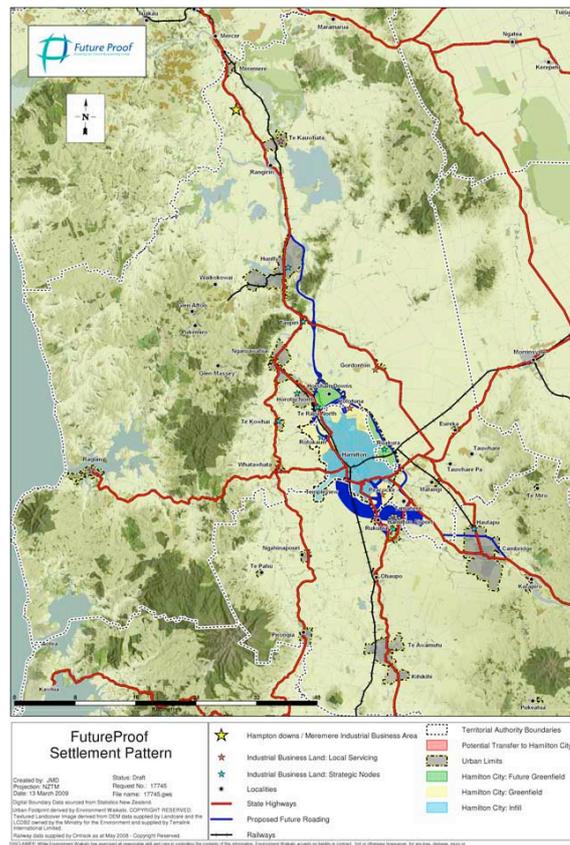


Figure 5.2: Future Proof Settlement Plan

Source: (<http://www.futureproof.org.nz/file/futureproof-growth-strategy-summary-final.pdf> 10)

A joint HCC and Tāinui Holdings Ltd development proposition – the Inland Port – is grounded on just such an economic prerogative. Council has also accepted the NZ Transport Authority’s offer of financial support for the completion of its ring road connections (Hamilton City Council 2011/12 46-47), despite controversy that the City will have to indebt itself further to pay for the remaining portion of road expansion costs (Appendix B). There is also the obvious conflict between Council’s aspirations for ‘sustainable transport and communities’ and the reality of building bigger roads that promote higher use of individualised daily traffic movements around and across the city with their associated elevated noise and air

pollution, safety hazards and potential urban design conflicts. So can this ‘growth-based and fiscally oriented’ focus – presented by HCC as ‘financial sustainability’ – fit with the broader concept of wise city governing? The consideration of path divergence (Chapter Two) is examined further below.

5.2.3 Leadership:

In 1858, Na Pōtatau Te Wherowhero - Māori King, Waikato leader and prophet - showed great understanding toward the concept of connectivity and how sustainable choices of the present are carried forward onto the shoulders of future generations. Pōtatau’s far sighted proverb, is frequently rolled out by HCC, but as some have argued (see Key Informant Interviews), is rarely followed. This He Mihi, for example, has been referenced from the inside cover-page of HCC’s *2011/12 Annual Report*, and encapsulates the essence of Te Ao Māori (the interconnected world view).

*Nga take I koreohia a tatau I mua
Tui ai te kupu korero I korerotia
Kia tu te winiwini kia tu te wanawana
I nga pu korero I wanangatia
I roto I te whai ao I tea o marama.*

*We bring our combined history and past discussions
into our plans here for the future.*

*Be open and stand strong
for the issues considered and discussed,
to benefit the world, now and in the future.*

Na Pōtatau Te Wherowhero, 1858

One of the features presented within the five City Survey data around ‘sustainability champions’ was that, of the four responses received, only one council Authority indicated that the Mayor championed the concept of integrated sustainable development. In terms of Hamilton City’s history, there has been only one period where sustainability has held a significant presence and underpinning within the aspiration-action continuum of the City and its Authority. This was directly related to the fact that the Mayor at that time had a full understanding of both the concept of sustainability, as well as how integrated sustainable

development may be applied in policy and practise. The period of 1989-1998 was characterised by the leadership of three term Mayor; Ms Margaret Evans (CBE). A range of key insights distilled from the full in depth, semi-structured, Key Informant 1 (KI.1) interview transcript can be seen in Appendix I. This was a fascinating and informative interview, which served to reinforce most of the theoretical aspects covered in Chapter Two and aligned to many of Chapter Four's city survey findings. The KI.1 reflections to the prime questions are outlined below in points (i-v) and have been combined with related discussion.

i) 1989 Amalgamation:

KI.1 discusses that the 1989 amalgamation (Chapter Two, section 2.5.3) was a pivotal change in NZ local government development, as it significantly impacted on its nature, structure and function. While the reforms introduced the concept of social wellbeing, they more importantly established the move to 'corporatisation' as a way of aiming to modernise government process and practises. This is a significant difference from international directions – see for example the Geoform 31 Editorial on ecological modernisation theory and concepts (Murphy 2000).

In reflection I wonder if corporatisation, especially of local government was the right way to go. Don't get me wrong I am all for Council Controlled Organisations (CCO) - when managed properly - but the need for 'transparency' can be counter-productive with certain 'legislative requirements' of government and the resulting environment of dysfunction has perhaps contributed to the loss of sight of sustainability as the underlying principle, as well as [negatively influencing] the rules aligning to acceptable behavioural guidelines. (KI.1 2012 1)

This is a critical aspect when considering Taylor's discussion around the dangers of hybrid forms of government (Taylor 2007 presented in Chapter Two), and Stokers discourse on the transitional eras of 'local governing' (Stoker 2011). It also serves to highlight Warren and Taylor's offerings around the values and logic conflicts between the corporatised economic imperative and the core concept of deep level sustainability (Taylor 2007; Warren 1990). KI.1 also presents additional insights into the impacts of the reforms on the power base and working relationship between the Chief Executive Officers and Mayor, commenting that,

“you can have a strong Mayor and a weak chief executive but you are in danger if you’ve got a strong chief executive and a weak Mayor” (KI.1 2012 3). Table 5.1 shows the time line of Hamilton Mayor and CEO combinations referred to in the KI.1 interview, set alongside of the Local Government Act Reforms.

Table 5.1: Hamilton City Mayors and HCC CEO

Source: KI.1 2012; Fleming 2012; hamiltoncity.govt.nz

Date	Mayor of Hamilton	Date	HCC CEO	Reforms
1977-1989	Ross Jenson (CBE/KBE, Inaugural LGNZ President)	Long term up to late 1980's	Stuart Lenz	1989 LG amalgamation
1989-1998	Margaret Evans (CBE/3 term Mayor - retired)	Late 80's to 1992	Bob Eyeington	
		1992-1995 (6 months)	Keith Marshall <i>Interim: Graeme Fleming</i>	
1998-2001	Russ Remington	Started 1996 Ended 2007 (4-6 weeks)	Tony Marriot	LGA 2002 Reforms - refining well-beings in purpose
2001-2004	David Braithwaite			
2004-2007	Michael Redman			
2007-2010	Bob Simcock	2007-2010	Michael Redman	LGA 2002 Amend-ment Act Nov 2010
2010-current	Julie Hardaker	(2010-2011)	<i>Interim: Blair Bowcott</i>	
		Apr 2011 - current	Barry Harris (Referenced as C.E. and no longer as a CEO)	2012 LGA 2002 Reforms

Building on the idea of Mayor and CEO relations offered by KI.1, the following table shows the four combinations of relational mixes and presents a summary of key insights developed from the interview, showing possible relational impacts:

Table 5.2: Mayor/CEO Possible Combinations/Consequences

MAYOR	CEO	Possible Impact on Organisation and City Sustainability Success:
Strong	Strong	Better model, as it keeps the internal ‘checks and balances’ in place, as long as mutual respect exists. If not, it can set up infighting that may interfere with forward progress.
Strong	Weak	This mix can be workable if the Mayor has a strong sustainability understanding, but it can also set up potential for an environment of micro-management of administrative function, process and practises, by the political wing.
Weak	Weak	Loss of direction/rhythm is highly probable, if both are weak, “ <i>you won’t go very far, but you won’t do too much damage</i> ” (KI.1 2012 3).
Weak	Strong	Dangerous blend, as the Mayor becomes a puppet to the CEO’s wielding of absolute power, which is reinforced by the current legislative structure.

Source: KI.1 2012 (Prior to legislative reforms being passed into Law, Dec 2012)

This discussion led to thinking about viewing the city Authority and city relations from within a conceptual image of a ‘relational bracelet’. Rather than thinking of the form/structure in a traditional hierarchal manner, here the city Authority and its interactive relationships (within and between) are represented as a linked bracelet. The institutional and social capital, comprise the physical sections of the bracelet each representing the separate parts of the whole form. The parts are connected by links that bind each part to the other. Simplistically shown as circular links but in reality each section has multi-directional networked or cross-linkages – each having its own relational continuum of ebb and flow, concluding or reforming in another way as needed for bridging, bonding or bracing (Bourdieu 1986; Putnam 1995; 2000) the links and parts of the whole form. In order for the whole bracelet to be strong and resilient, the link connections between the parts must be maintained. The connection clasp exists between the Mayor and CEO, which is a key component to keeping the bracelet (Authority/City) together and serving its purpose/functions and maintaining its rhythm. See Figure 5.3.

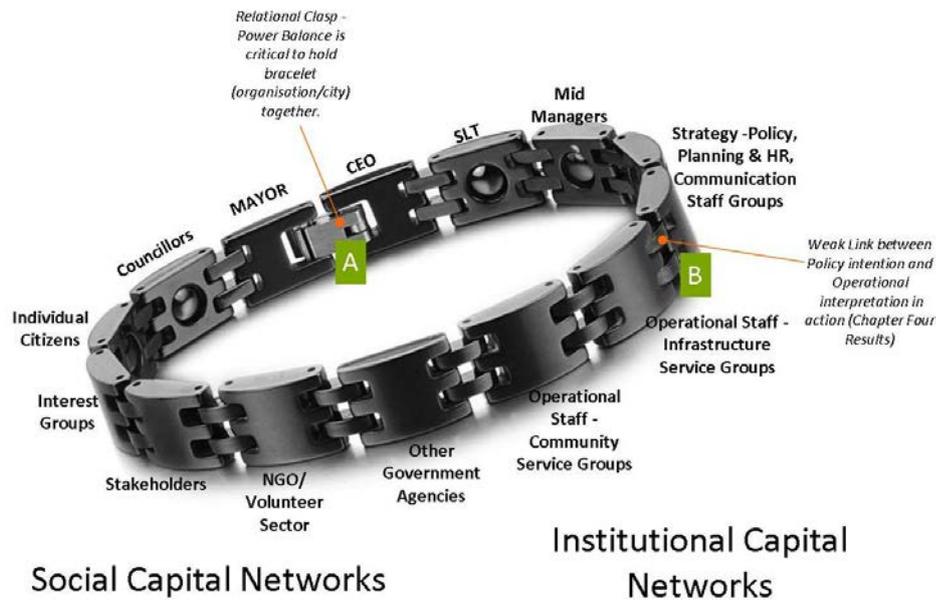


Figure 5.3: Relational Bracelet Concept

ii) Local Government Act 2002 (LGA 2002):

In speaking about the LGA 2002 reform, KI.1 states that “2002 was a bit of a tidy up...because the social wellbeing was already in the purpose...the biggest thing with the 2002 legislation was the fostering of the powers of general competence ... But [central government] didn’t like the idea of attempting to describe powers... [thinking that] if that went ahead [they too] would be bound by them” (KI.1 2012 4).

Box 5.1: Powers of General Competence

Powers of General Competence allows Councils to choose the activities they undertake and how they should undertake them – subject to the public consultation process.

This section of the interview moved to discuss the historic tensions between the central and local government tiers, as well as the general perception of local government. Although in NZ there is a ‘hands-off’ approach by central government, local government still acts like, and is perceived by, a relatively depoliticised public to be, an agent for central government (Chapter two; Cheyne 2008; Reid 2010; Scott *et al.* 2004).

...this idea of ‘keeping out of the plumbing’ hasn’t worked because some things are horribly wrong! You’ve got to get into the plumbing

when things go belly-up. Hamilton's a perfect example [of this]...
(KI.1 2012 7).

It has been central government's tradition to 'legislatively fiddle' – as permissible by statute – and usually in response to strong commercial group lobbying or when confronted by the occasional loud and persistent citizen mumblings of discontent. There are two issues that arise from this tradition. Firstly, this serves to limit the capacity of 'political maturing' within civil society as indicated in Chapter Four's survey findings. Secondly, this legislative amendment/reform process may serve to build legislative policy around the centrally defined '*what, why and when*' questions, but it stops short of working through (in a capacity building manner) to resolve the '*how and specifically where and by whom*'.

If deferring the powers of general competence to a local government environment, that is embedded with a sustainability-oriented logic and strong links and capacity within, across and between the institutional and social capital, this centralised methodology may produce '*better*' local government, but if that setting is characterised by imbalance, dysfunction and weak links, it is highly likely to need a greater level of guidance and/or intervention (both upward/downward and inward/outward) to ensure Authority organisations evolve a full potential, in their:

- i) re-design of institutional systems,
- ii) re-gearing of internal culture and wider 'values', and
- iii) re-directing of the current path dependencies (internally and externally).

By overseas comparison, NZ local government has been fairly under-valued and under-resourced in its transformational attempts since the significant 1987 amalgamated corporatisation reforms (Chapters Two and Four).

This working through the '*how and specifically where and by whom*', is a resource intensive exercise that requires 'space' to step away from the business-as-usual approach and the daily deliverable requirements. As such this space demands an innovative approach (Tables 2.9, 2.10), in order to consciously undertake the necessary re-designing, re-gearing and re-directing, and this appears not to have taken place in NZ – the results of which have netted the collective

outcomes and dissatisfaction levels compiled in Appendix B. It may be said, that to a large extent this central modus-operandi acts against local government's 'effectiveness' in successfully re-designing its institutions, re-gearing organisational culture and re-directing the wider 'value' placement through actively pursuing bonding, bracing and bridging (Bourdieu 1986; Putnam 1995; 2000) of institutional and social capital relationships and capacity to overcome the current path dependencies. This NZ context differs markedly from the international experience, which has seen local government being supported in its capacity building and transformational processes, and being championed to lead a range of more cohesive and consistently integrated and localised sustainable development successes (Lord Mayors of Sustainable City Dialogue 2010; iclei-europe.org; europa.eu; eurocities.eu; Chapter Two).

The LGA 2002 Amendment Act 2010 changes may be seen, for example, as a central attempt to step into more of 'the local government plumbing'. Here the aim was to give better guidance towards streamlining 'efficiencies and effectiveness' in local government structures, function and funding, but in reality the prime interpreted focus appears to have been on fiscal efficiencies – the limitations being primarily due to Central's own inability to embrace the innovative approach (Tables 2.9, 2.10) required to re-think local government for greater effectiveness. And so, some-what thwarted in its aspiration for 'Smarter Government, Stronger Communities: Towards better local government and public services', the LGA 2002 Amendment 2010, has continued to fall short of its transparency, accountability and fiscal management aspirations. An example of this may be found in the disparity between the aim of providing easier and more effective participation by ratepayers and residents in the activities and decisions of Council, and the target area of simpler planning processes – see the Minister for Local Government *Summary Paper*, item 4 (Minister LG 2010 2,5). The previously separate community outcomes consultation rounds were merged with the long term plan (LTP) process in order to streamline efficiency (time/cost), but in doing so, it appears to have actually served to diminish the capacity for authentic citizen participative engagement – i.e. 'reduced democratic effectiveness'

This aspect is discussed further in the case study within the observational exercise – section 5.3.2.

iii) Sustainable Hamilton (Round 1):

As KI.1 discusses, between 1989 through to 1998, Hamilton City was an internationally recognised leader in developing and implementing integrated sustainable development pathways and outcomes (KI.1 2012 2). This was achieved through a purposive, inclusive, participatory planning framework – referred to as *‘the cloud’*. Councillors, administration and some 4,500 citizens were all actively involved in this sustainable development process. Within this development journey, links and relationships were fostered with Waitakere City which was the local government leader in sustainable development in NZ at that time. Hamilton City also became a member of ICLEI the international organisation, supporting local government in their Local Agenda 21 (LA21) initiatives through networking and knowledge sharing. Hamilton City’s active role in this membership led to a range of international connections and actions that worked to developed institutional capital capacity, and in turn was brought ‘home’ to foster greater levels of social capital capacity. It was a period of three successive terms focused on a continuum of ‘opening up and opening out’ for the city and Authority organisation, and which occurred in line with the international movement and well before the LGA 2002 changes. So why didn’t this continue?

iv) Blocks to Sustainability:

The history of Hamilton “...started out in dysfunction and has continued to cycle through periods of dysfunction several times over” (KI.1 2012 3). The capacity for embedding and sustaining the concept of sustainability as the guiding principle, has therefore, been limited by the strongly entrenched pre-occupation with placing value on all things through the fiscal imperative lens. As discussed in Chapter Two, the two paths are strongly divergent in their trajectory. KI.1’s concept of interrupted rhythm (KI.1 2012 3) however, operates at the deeper level throughout NZ and reinforces the cycle of a reasonably high level of disengaged citizens, especially at the local level (Chapter Four).

New Zealander's are primarily 'life-style' driven (Stoker 2011 20 Table 2). As such, the public tend not to allocate their time to something that is perceived to only give lip-service to a purported 'consultative' political process. They will turn up to vote every three years (although national averages show a decline), they will actively involve themselves in the volunteer sector (although even this is dropping off to the 'donations' mind set discussed by Putnam 1995), and unless something extraordinary happens that impacts directly on the average citizen's lifestyle or livelihood, the NZ public will pretty much leave the government tiers to their own devices in between the three yearly election cycle. This national psyche is counter-productive to embedding the rhythm required to sustain long term integrated sustainable development success. Applying the concept of sustainability, after all, requires a multi-dimensional, cross-sector/cross-community/inter-generational commitment, and it's a messy, complicated business.

...going back to the 1989 model, you've got to have the sense of openness and you've got to have the sense of accountability and that comes from within – no [humanly constructed] system can ever compensate if people don't back responsibility and feel responsible (KI.1 2012 7).

v) KI.1 Prime Concerns:

Lastly, stemming from this interview, three current prime concerns with Hamilton City Council, were discussed in respect of forwarding the concept of sustainability:

- a) Sustainability is referenced from a deeply entrenched fiscal imperative, leading to the supposition that Council and a large majority of local citizens, do not really understand or care about the concept of sustainability, let alone have the will to debate, collectively decide and then re-gear how a deeper level of integrated sustainable development may be implemented across the individual, group and civic levels. This collectively impacts on the City's identity and therefore the types of people and business that is attracted to the City (Stoker 2011 Table 2.5?) .
- b) The use of language within Council reveals the limitations of applying a whole systems sustainability thinking capacity/capability. "...the use of the

term ‘leadership’ within council is [misapplied]; ‘we will give you leadership’ ... but hang on a minute, by definition, leadership needs you to have followers and this level of disengagement is telling me that you don’t have followers anymore” (KI.1 2012 2-3). So, how does Council ‘give’ leadership? This aspect is further explored and discussed in the document review and observational exercises in sections 5.3 and 5.4.

- c) “The concept of sustainability and enactment of integrated sustainable development cannot form in [this type of] environment” (KI.1 2012 10). A lack of openness, transparency and robust intellectual debate breeds and reinforces a closed-shop approach and promotes potential for embedding a climate of fear, as it inhibits enquiry, capacity building, collaboration and innovation. It limits the attainment of ‘efficiency + effectiveness’ in process and practise and reinforces rigid bureaucratic ‘tick-boxing’ methodologies and instruments. In the spaces created between the intention and the interpretation, corrupt hybrid moral syndromes, hold a high potentiality for the informal rules-in-use to overshadow the rules-in-form and become accepted practise norms (Jacobs 1992; Lowndes 2005; Taylor 2007) .

5.2.4 Sectional Summary:

As background to the recently passed LGA 2002 ‘*better local government*’ 2012 reforms, KI.1 discussed the possibility of the 1989 reforms having moved down the ‘wrong path’ in its central/territorial split – a move that has led to an unhelpful ‘metro versus rural’ state of competition and inequity (KI.1 2012 6-8). KI.1 also offers that the 1989 reform’s structural rationale, may have been an over simplification, and that perhaps, a ‘central/super-city/local’ framework logic may have proved a better formula. This potential ‘misdirection with its associated relational impacts’ offers potential for another dissertation, but for now KI.1 makes comment that,

It comes back to the essence of public service! That’s what I said in the beginning, people are forgetting that the best model [of governing] ... is in fact, the engaged person – [institutionally and socially]. Communities and people are one and the same and we know that to be engaged is part of [an innate] human need and is the essence of democracy. The ‘engagement-participatory’ model means that staff

and citizens have got to be allowed to participate – given time to discuss, enquire, expand their thinking and reach mutual agreements – not just tick some boxes on decisions [that have] already [been] made (KI.1 2012 7).

This interview discussion aligns with Arnstein’s ‘Ladder of Citizen Participation’ model (Arnstein 1969). While Arnstein herself, recognised that this model is an overly simplified abstraction, it offers an equally powerful visual tool against which authentic engagement may be assessed. (See Chapter Seven for the extension of this model into a ‘Ladder of Wise City Governing’).

5.3 Documents Review

5.3.1 Sustainability Attributes / Documents Analysis:

A preliminary analysis was undertaken on the five HCC commissioned consultant reports, along with the Audit NZ V8’s report and other 2011/2012 HCC documents. From this review, common reoccurring ‘sustainability attribute’ patterns were highlighted. These common attributes relate back to the eight characteristics and conditions of sustainable governing institutions (Table 2.10), but have identified additional attributes that also align with the Fano Guidelines (iclei-europe.org/localcapacity21). Thirteen final attributes have therefore, been developed for assessing twelve selected documents. A simple numeric (1 to 5) rating scale has been used to assess and rate the prime discussion points and/or recommendations from each of the reports. These scores are noted within the individual matrix cells and a total score has been calculated for each document analysed. Each documents’ individual numeric scores have then been converted to percentage values for ease of cross-tabulation comparison. These converted scores show the range of variance across the assessed documents, and give an indication of the overall level to which the concept of sustainability, as an overarching guiding principle is being worked (or not) within the Authority organisation. See Table 5.3 with associated commentary notes (N1-5) to the matrix results.

The results spread across all table cells, range from a minimum ‘sustainability attribute success’ value of 22 percent to a maximum of 54 percent. The results present a median average of 37 percent with a mean average of 38.7 percent. Both

the mean and median average results show the ‘sustainability attributes’ are currently functioning at a low level of application, within the Hamilton City Council organisation.

Table 5.3: Document Analysis Matrix

	HCC Commissioned					OAG	Staff / Internal Documents				Other	
	Audit NZ V8 Review - Oct 2011 (26 Recommendations)	Deloitte's (17) Summary Recs -(Full Report withheld)	Howarth HTL Claudelands Biz Plan Key Findings - Feb 2012	PWC Transparency (Fraud, Theft, Corruption) Assessment - Nov 2012	PWC Ring Road Project Risk, Control, Assurance Review - Nov 2012	Audit NZ / Independent Financial Audit Report – Nov 2012	HCC Staff Climate Survey 2011 (2012 withheld), CE Direct 2012, Report 2012 references	PSA 2011\2012 HCC Staff PPR 2012 HCC Staff Bullying Survey Results	Energy Management Proposal – PMU Nov 2011 (Note 1)	Waikato Museum Review - Sept 2012	Future Proof Growth Strategy & Implementation Plan	Organisational Improvement Program (show as related to Audit NZ items)
Numeric Capacity Rating Scale: 1 2 3 4 5 Not Low Med Highly Extremely at all Evident												
SUSTAINABILITY-ORIENTED LOCAL AUTHORITY ATTRIBUTES: (13 attributes falling out of document review and relating back to the 8 conditions /characteristics of sustainable governing institutions)												
COHESION/TIME: Continuity, Connection, Continuum, Intergenerational Consideration	{10, 26} 1	{2,14} 2	-	-p5/11 2	{2} 2	3	{2,10} 3	2	1	1	2	2
COHERENCE: Consistency, Clarity, Honesty	{19} 2	{1} 2	-	{6} 1	{1,7} 2	3	{CED} 2	2	1	2	3	2
EFFECTIVENESS: Value Added in Stretch for Goal	{3, 11} 1	{8,13} 2	{5} 1	{8} 3	{4,7} 3	2	{CED,6} 2	2	1	1	1	2
EFFICIENCY: Quality Added in Delivery to Goal	{8} 2	{7,11} 2	-	{5} 2	{4,8} 3	3	{5} 3	2	1	2	3	4
INCLUSIVENESS: Participative, Engaging, Authentic Value the Networks (Institutional/Social)	{21} 2	{4,6,10, 17} 1.5	-	-p5/11 2	{10} 2	2	{CED} 2	2	2	2	3	1
ATTENTION: Listening, Capturing, Encoding	{13,16} 1	{3,12} 2	-	{3} 2	{13} 3	3	{6} 3	2	1	1	1	2
INFO. MECHANISMS: Interpret, Analyse, Report Seeks/understands root cause/s	{2,12, 14,22} 1	{5,16} 1	{6} 1	{7} 3	{2,5,14 } 3	3	{6} 3	2	1	1	2	3
PROFESSIONAL/GOOD PRACTISE: Seeks opportunity in Adversity, Applies appropriate risk, rigor & integrity	{1,7} 1	-	{1} 1	{1} 3	{1} 3	3	{4} 3	3	1	2	3	3
DECISION-MAKING: Sound Judgement of whole Systems/Many Minds Focus, Conflict Resolution Capabilities , Applies Objectivity	{4,15} 1	-	{3} 1	-p5/11 2	{mngt} 3	3	{8} 2	2	1	1	2	3
TRANSPARENCY: Open, Free Flowing, Multi-directional - Feed In/Back/Up/Downs, K.I.S	{9,17,1 825} 2	-	-	{2*} 1	{6,9} 2	3	{3} 3	2	1	1	3	2
LEADERSHIP: Way of thinking, Enquiring, Common Good, Self Responsibility, Deleg. Authority Limits understood, Conduct	{5,6,20, 24} 2	-	{2} 2	{4*} 1	{3} 2	2	{CED} 2	2	1	2	3	2
ARTICULATION: Approp. Language for Integrated Sustainable Development & Non-tech/ clear reporting	{23} 2	-	-	-p5/11 2	{11} 2	3	{9} 2	2	1	1	2	2
HEART: Good Faith/Trust, Intuition, Empathy, Equity / Fairness, Respect, Passion	general 2	{9,15} 1	{4} 1	-p5/11 2	{12} 2	2	{CED,7} 2	2	1	1	2	2
ASSESSMENT SCORE:	20	13.5	7	26	32	35	32	27	14	18	30	30
TOTAL SCORE:	60	40	30	65	65	65	65	65	65	65	65	65
Sustainability Attributes Evidenced (%)	31%	34%	23%	40%	49%	54%	49%	42%	22%	28%	46%	46%

Notes: (N.1-5)

The newly appointed (4 April 2011) Chief Executive, Mr Barry Harris, states that “work on Council’s *2012-22 Ten-Year Plan* (LTP) started with a review of all Council’s services, capital projects and asset portfolio” (Hamilton City Council 2010/11 1). The council-wide review parameters were pitched at finding where efficiencies, based on operational cost savings could be made. The CEO further outlines that, the ‘services, capital projects and asset portfolio’ review were to work to a planned roll out schedule (Hamilton City Council 2010/11 1-2). A top level restructure was also undertaken in August 2011, under the banner of ‘*Achieving a Customer Focused Sustainable City*’ and with the purpose being cited as, “A structure that helps us deliver to our customers and stakeholders more effectively and secures our future by supporting the delivery of our strategy and financial imperatives” (Hamilton City Council 2011f S1). The resulting restructured Senior Leadership Team and associated portfolio responsibilities may be seen in Appendix O, Table 5.9. It is noted, however, that no mid-management review has been undertaken to date and ‘efficiencies based on operational cost savings’ have been limited so far to a reduction in services and exiting of staff at the lower end of the hierarchical structure. There are also a number of conflicting concepts, from a linguistics perspective, in the above CE statements. Firstly, if HCC was leading the charge for a *Customer Focused Sustainable City* then, how can this be done, within a normative fiscal logic? How does the re-structure at the senior leadership level deliver more effectiveness to HCC customers and stakeholders? How does it secure ‘our future’, by supporting the delivery of ‘our strategy and financial imperatives’? Who is ‘our’ – the Authority organisation or the City? The answer to these questions remains unclear (Appendix G: Sept 2012 email, re: requested response for items 2a-c).

N.1. Effectiveness or Efficiency?

The Energy Management review and proposal to decommission the Energy Manager (EM) position was undertaken prior to a whole of the Property Management Unit (PMU) efficiency review process taking place. It stated that “PMU is tasked with providing \$190,000 in efficiency savings on salaries over the next three years” (Hamilton City Council 2011d 1). The Unit Manager’s business

rationale within this proposal document is weak, showing little evidence to support the decision to decommission the EM position in favour of a preferred 'external consultant plus internal data/logistical support' option. The review report leaves open a large question as to why the data/logistics support was not put in behind the existing EM position. Additionally, no direct dollar comparative assessment calculations were outlined in the memo proposal between the 'annual EM salary investment' versus the likely 'external consultant's costs', nor did it account for the loss of institutional knowledge, nor the contribution gains made available across the organisation/city in terms of energy savings initiatives championed/developed by the salaried EM in consultation with other Council units – for instance, the Museum's energy efficiency program recommendations (Beca 2010 20).

This short fall in 'general analytical and business case justification', by this Unit Manager, finds commonality with the Waikato Museum 'efficiency' review. Within this study, the Museum's documentation analysis has been limited to the following:

- i) HCC management summary proposal, circulated to affected staff (Hamilton City Council 2012p 1-15),
- ii) Power point presentation of the re-structuring proposal, (Hamilton City Council 2012r),
- iii) Staff's collective feedback on the proposed new structure (Hamilton City Council 2012q 1-5), and
- iv) Excite Trust partnership agreement (Hamilton City Council 2006).

It is noted that the full consultant's efficiency review report was made available for Museum staff to view during the Management's power-point presentation of the proposed Museum re-structure, but has been withheld from being circulated to staff. Museum employees have therefore formed their response based on documents i) and ii) above which comprises of a Management interpretation of the consultant's full report and recommendations. This process lacks transparency and could leave the organisation open to the risk of potential legal action. Additionally, it is evident that a very narrow briefing focus was given to the

external consultant, contracted to undertake the ‘efficiency’ review (Hamilton City Council 2012p S4&10 1-2). It appears that an HCC Management decision was made, to discard a number of corrective ‘review assumptions’, highlighted by the staff to the consultant, during the ‘information gathering’ phase, (Hamilton City Council 2012q 1-5), including for example, the

- i) contractual legal obligations concerning staffing requirements written into the contract between HCC and the Excite Trust (Hamilton City Council 2006 C3.1-3.4 inclusive, 7-8),
- ii) poorly evaluated operating financial turnover analysis, and
- iii) missed financial pay back implications of the energy efficiency initiative that was established with the EM prior to his position being decommissioned (Beca 2010 20).

These types of actions tend to collectively demonstrate a certain lack of integrity in fundamental business analysis practise and ethical behaviour (see also Hamilton City Council 2012j), while both of these ‘efficiency’ reviews appear to indicate a high level of pre-determinism prior to the review being commenced. Certainly, within the staff feedback documents to both reviews, there is a sense of pointlessness around the time required for preparing and submitting a feedback response to a decision, which appeared to the staff, to have already been made by Management – see also KI.1’s comment on ‘tick box’ approaches (KI.1 2012 7). The process therefore, in both review cases may be best described as an empty vessel of consultation (Arnstein 1969). Further-more, the terms ‘efficient’ and ‘effective’ seem to be used interchangeably, with no real evidence that either senior or mid-managers, are aware of their definitional distinctions.

N.2. Dysfunction and Systemic Failures:

Copies of the PWC Property Team Report, Dec 2011 and the 2012 Staff Climate Survey documents have been withheld by HCC Management, for reasons of ‘commercial sensitivity’. However, the above evaluation of the two HCC team ‘efficiency’ review examples, along with the Public Service Association members performance-pay procedure and workplace bullying 2011 and 2012 survey results (Public Services Association 2011/2012a&c), finds alignment with the Chief

Executive's announcement of the *2012 Staff Climate Survey* results, via HCC's internal intranet posting to staff. In this release statement, the CE acknowledges that the organisation, "received poor climate survey results...with a decline in overall staff engagement by 4.4%, and an increase in disengaged staff by 7.5%" (Hamilton City Council 2012d). In the same CE posting, he further comments that the biggest declines were in,

- i) staff perceptions that HCC is a successful organisation,
- ii) confidence in leadership, and
- iii) perceptions that HCC cares about the wellbeing of its people.

The CE goes on to say that, "Staff raised a number of issues and concerns including,

- i) the need for effective management/leadership...,
- ii) the ongoing negative media and political environment..., and
- iii) the impact of reviews and budget cuts on morale..."

(Hamilton City Council 2012d). These results reflect a fairly high degree of organisational dysfunction and systemic failures, which have also been flagged within all five of the HCC Consultant's review documents analysed in Table 5.3.

N.3. Non-evaluated Document:

The Citizen of Hamilton's, '*Significant Failures*' Submission to the Office of the Auditor General (hamiltoncitizen.co.nz/) was not assessed under this matrix as the relevant Legislative Acts demand that local government – as a public service – perform to all the statutory requirements the report discusses. This private citizen's submission asserts that, HCC at the time of the submission had failed to meet its statutory obligations in respect to the V8 Supercars event. The report's detail and recommendations could not be evaluated directly against the 'sustainability attributes' criteria, however, the submission makes reference to other publicly available HCC related consultant reports which have been included in the analysis and presentation of the Table 5.3 matrix.

N.4. Representation of Annual Resident Survey Report Data:

The HCC's *Annual Resident Survey Report* (International Research Consultants Apr 2011-Mar 2012) has also not been evaluated in this matrix, as the data could

also not be evaluated directly against the ‘sustainability attributes’ criteria of this matrix. However, in reviewing this report and HCC’s referenced use of it, in its own accountability reporting processes, there are concerns about how the survey’s results are portrayed by Council to the Public and Staff as a definitive representation of resident satisfaction levels (Hamilton City Council 2011a with regards to the *Resident Survey* Oct 2010-Sept 2011 quarterly results).

In looking further at the survey methodology, the report states that the research is based on a total of 681 respondents (International Research Consultants Apr 2011-Mar 2012 89-90). Firstly, this equates to a gross 0.46 percent represented Hamilton population calculated against the *2011/12 Draft Annual Report* estimated population figure of 146,579 (including youth below the age of 18 years). The *2011/12 Draft Annual Report* however, represents resident satisfaction as being “Overall, respondents to our Residents Survey are largely satisfied with Council’s facilities and services. Over two thirds of the respondents (69 percent) felt that the quality of Council facilities and services had improved in the past year” (Hamilton City Council 2011/12 7). This would mean that 470 people from 146,579 residents or 0.3 percent of the Hamilton population think that Council is doing ok on the specific service delivery options given in the survey. So the question begs, what do the remaining 99.7 percent (exclusive of the 0-18yr age bracket) of Hamilton’s residents not canvassed or not wanting to take part in the survey think about Council’s facilities and service performance? As KI.1, makes comment within her interview, “how is Council engaging with the citizens of Hamilton to hold the knowledge of what the public want” (KI.1 2012 8).

Furthermore, the tone of ‘spin’ on the data outlaid on page nine of the annual report, lends an overly optimistic assumptive perception by Council of the City’s resident satisfaction levels, which is at odds with the sustained level of media-noise evidenced in Appendix B. Secondly, households are randomly selected and contacted after 5pm weekdays or between 9am to 9pm weekends. Of those selections, a total of **2379** contacts were made and **681** (28.6 percent) calls were successfully completed with persons from the households that were 18 years, or older. Of the remaining 71.4 percent of unsuccessful contacts; **900** (37.8 percent)

were refusals to participate in the survey, 230 (9.7 percent) were ineligible or had interview problems and 568 (23.9 percent) had answer services or computer/fax modem responses.

The question here is, why is it that the percentage of ‘refusals to participate’ is higher than those ‘willing to exercise their democratic input’ (even when the successfully completed and problematic interview totals are combined)? How is HCC building social capital capacity and creating greater engagement in the political process to secure a wider participation in and higher expectations of sustainably-oriented facilities and service performances for the City now and in the future? These figures certainly reflect the Authority trend for civic sector descriptors (Stoker 2011 25), that placed the NZ political culture in the ‘Parochial to Enquiring’ ranges (Figure 4.5). Further-more, this aligns with the DISCUS matrix (Evans *et al.* 2006), that describes the governing geography trend as falling within the ‘Voluntary or Active’ quadrants (Chapter Four).

5.3.2 Merger Process of Community Outcomes in the LTP:

Picking up on the earlier discussion around the LGA 2002 Amendment Act 2010 and looking at Council services, which makes comment that,

In 2005 the Council developed a set of Community Outcomes that indicated how Hamiltonian’s wanted the city to progress socially, economically, environmentally and culturally ... Since then, there have been many changes both locally and globally. The 2005 Community Outcomes are now outdated, so we did not carry out any monitoring of them during 2011/12. Instead the Council’s focus has been on developing a new vision and plan for the future that reflects current issues and goals” (Hamilton City Council 2011/12 11).

The reader of the HCC *2011/12 Annual Report* is then re-directed to “our Smart City Vision” on page five of the report, while page eleven goes on to say that “In future years, we will be monitoring and reporting against this vision.” Again there are some concerning aspects, from a whole systems, sustainability-oriented perspective, where the language further highlights the current City Authority’s underlying attitude toward carrying out the minimum legislative level of ‘citizen consultation’.

Firstly to the statement, “the Council developed a set of Community Outcomes that indicated how Hamiltonian’s wanted the city to progress socially, economically, environmentally and culturally” (Hamilton City Council 2011/12 11). So, to clarify, as required by the then 2002 legislation, during 2004/05, Council undertook with a range of organisations and the public,

...a visioning process that included focus groups, surveys and a Hui. Consultation was also undertaken by Council’s Neighbourhood and Youth Development Workers ... In total, more than 3,000 people had their say about what would make Hamilton a better place. The resulting information was sorted according to seven emergent themes. A set of Community Outcomes Progress Indicators was subsequently developed to monitor this framework. The Progress Indicators are an expanded version of Hamilton’s Sustainability Indicators, which were identified through the community consultation during the late 1990’s. (Hamilton City Council 2009 1)

These 2005 Community Outcomes (see Appendix M, Figure 5.4) were framed within seven themes, required annual progress reporting and were developed through an interactive community process that used the previous ‘cloud’ development procedure as its guiding reference (Hamilton City Council 2009 3).

Secondly, the *2011/12 Annual Report* states, “since then, there have been many changes both locally and globally...the 2005 Community Outcomes are now outdated, so we did not carry out any monitoring of them during 2011/12” (Hamilton City Council 2011/12 11). As covered earlier, the LGA 2002 Amendment Act 2010 allowed for the Community Outcomes to be merged with the LTP process, but these were clearly still present as a legislative requirement. So being that the 2005 Community Outcomes were formulated and agreed to, via a consultative process with the Hamilton community, and they are still embedded within the LGA 2002 Amendment Act 2010, (as the 2012 ‘*better local government*’ bill had not yet passed through into law during the 2011/2012 financial year period) this raises the question as to what democratic consultation process was undertaken, with whom and when, to reach the decision that it was no longer important to monitor and report on the ‘merged form of LTP/Community Outcomes’, in the *2011/12 Annual Report*.

Lastly, the *2011/12 Annual Report* goes onto say, “...Instead the Council’s focus has been on developing a new vision and plan for the future that reflects current issues and goals ... In future years we will be monitoring and reporting against this vision” (Hamilton City Council 2011/12 11). And so again, a question arises around who was involved, how and when with creating the new ‘Smart City’ vision, who decided what the current issues and goals are that needed to be reflected, and how and with whom did the decision get made that the monitoring and reporting on this new direction will now take place. In short, how democratic was this process of the fairly significant re-direction of the city? These decision-making process questions were directed to her Worship the Mayor, to which she responded to part of the email query. The first question, asked about the democratic consultation process use for the decisions around dispensing with and not reporting to the 2005 community outcomes. The Mayor’s response, indicated that community consultation on these matters, was undertaken through the formal LTP public submission procedure – the time line, for which, is presented in Table 5.4.

Community Outcomes are still included in the Council’s long term plan. Councils are required to do a long term plan every three years. The government made changes to the Local Government Act in 2010 including in relation to community outcomes and merged the process into the long term planning process ...The Council developed the community outcomes as required under the Local Government Act and included these in the 2012 draft long term plan together with what the Council is doing to deliver those and the KPIs that apply – this draft was available for public consultation and feedback early last year and anyone was able to provide feedback to the Council. Monitoring and reporting on the delivery of community outcomes are set out in the long term plans and in the annual plans... (Hardaker 2013)

The second question regarding, the democratic process applied to the creation of the new ‘Smart City’ vision, outcomes and goals, was left unanswered by her Worship. Overall, however, it appears that the top-down deterministic attitude of, *“we will give you leadership”* stems from both the political and administrative arms of the Council Authority. This is despite having a *‘HCC Significance Policy’*

– as required under the LGA 2002 and its 2010 Amendments. The HCC policy outlines its focus as:

To ensure that the community is appropriately consulted and able to actively participate in the consideration of issues, proposals, decisions or other matters which are significant and/or which involve the community’s strategic assets (Hamilton City Council 2012l 2).

The principles of the policy comment that, “the more significant a decision, the more likely Council will need to: (item 4) engage and consult with the community on their views” (Hamilton City Council 2012l 4). Further the policy states that, “the prime contribution” toward the delivery of this new vision, will be via the new ‘Outstanding City Leadership’ outcome – goals 1 and 2:

1. Hamilton is led by effective, open and responsive governance, and
2. Council’s finances are sustainable for the long term.

Clearly, the second goal carries a higher level importance, than the first.

Table 5.4: AP/LTP Timing Relative to Change in City Direction

Date	Plan Consultation & Documents	Directional Change
July 2011	<p>2011/12 Annual Plan “there are some challenges ahead as Council considers what services it should provide the Community and how it will fund the growth of the City”.</p> <ol style="list-style-type: none"> 1. announced strong fiscal focus, with acknowledgement of austerity expenditure cutbacks likely, 2. announced 2012/22 LTP process has commenced with a review of all council services, capital projects and asset portfolios (efficiency driven review focus), 3. announced rating system consultation due to start in Sept 2011, 4. no mention of possible change of direction for City, rather the Annual Report Summary (6) states “Council is also required to monitor progress being made toward Hamilton’s community outcomes.” And goes onto state how this is done and refers reader to results presented in section 3.0 of the Annual Report. 	<p>Community Outcomes still in play, but language clearly indicates where power resides.</p>
<p><i>Unable to find any public participative consultation around a possible change in direction for the city between July 2011 and March 2012 period.</i></p>		
16 Mar 2012	<p>Draft 2012/22 LTP, Vol. 1&2 released. Strongly focused on outlining strategies for rectifying poor financial state of ‘Council coffers’.</p>	<p>Vision, Outcomes and Goals changed within this draft LTP document.</p>
19 Mar to 19 Apr	<p>Public Submission period: 724 written submissions/200 speakers No comments were made on change of City orientation as</p>	

2012	represented by the Vision, Outcomes and Goals embedded in the document.	Document written from a fiscal underpinning and a moved away from the community outcome focused sustainable development orientation ... representing a 'Significant Direction Shift'.
Started 14 May 2012	Hearings	
May 2012	Deliberations Report prepared	
6-8 Jun 2012	Deliberations Meetings	
Jun 2012	Staff finalised 2012/22 LTP, Vol. 1&2	
29 Jun 2012	Revised document adopted by Full Council HCC Significance Policy updated & linked new City vision, outcomes and goals uploaded to HCC website	
18 Jul 2012	Final 2012/22 LTP , Vol. 1&2 released. (No major data or directional changes between Draft and Final versions, despite 724 submitters/200 speakers)	
Sept 2012	2011/2012 Draft Annual Report released 5. Announcing new vision replaces community outcomes and that 2011/12 Annual Plan measures haven't been pursued and all reporting will be linked to new vision in future.	
Dec 2012: LGA 2002 'Better Local Government' reforms bill is passed into Legislation.		

Council's website also states that,

...although consultation is not required by law (legislation may differ from this interpretation), Council's 'Consultation Policy' advocates that the community should have meaningful input into the development, consideration and decision-making on any significant project, process or policy undertaken by Council. The consultation processes used depend on the outcome sought, geographic scope and community interest (hamilton.co.nz/our-council/policies).

And goes on to list that, the methods of consultation may include: i) written and oral submissions to proposed Council plans, policies and bylaws, ii) written or telephone surveys, face to face interviews, focus groups, working panels or tasks groups or public meetings, iii) multi-stakeholder processes, such as participatory appraisal, and iv) interactive websites. So, on such a significant re-direction away from the previously agreed community outcomes and monitoring procedures, and in moving to the new vision, outcomes and goals for the City, why were none of the above mechanisms (beyond the 'formalised LTP submissions' option), used to better highlight and create a wide participative series of discussions around the City's future direction? It appears that the efficiency of a streamlined LGA 2002

Amendment 2010 procedure, has won, over arguably a longer, but the more effective democratic participative engagement process of sustainable development.

The key informant's interview questionnaire includes questions around the level of awareness toward this now embedded change of city direction and the possible relationship impacts that this may bring.

5.4 Strategies Review and Observational Exercise

If the Authority attitude is one of closeted, top-down, bureaucratic leadership, as it has presented itself to be to date, then how are the processes at the strategic planning and policy-making end of Council business fairing? To explore this area an analysis of the HCC's current strategies review process was undertaken. This exploration focused on charting, how one of the eight strategies – the Environment Sustainability (ES) Strategy – moved through its consultation, review and development and combines with three study observations of the progression through the public consultation evening, Strategy and Policy (S&P) Committee approval and Full Council ratification process.

5.4.1 Eight Strategies Review:

This exercise started with sourcing information to the following three questions:

- a) What are the strategies currently operating, and how do they flow from the city vision through to implementation?

Figure 5.5 (Appendix O) shows the flow from vision/outcomes and goals through the strategies, which feed into policy, planning and operational ends of the business. It also identifies – as at 1 November 2012 – the schedule and status of the review process for the eight HCC strategies.

- b) Who was involved in the strategy reviews and for the ES Strategy what was the time frame of review/development of the new strategy and what was the level of public input?

Table 5.5 (Appendix O) takes five of the eight strategies: Economic Development, Environmental Sustainability, Active Communities, Social Wellbeing and the approved Arts Agenda and tabulates which key stakeholders, HCC invited to the 'consultation table', for each strategy. A current stakeholder review group for the

Economic Development and Active Communities Strategy reviews was not able to be sourced, so the list shown in Table 5.5 was taken from the existing 2007/08 strategic documents (as this appeared to be the criteria used for the HCC 2012 selections). These two strategies have not been evaluated further due to this study's time constraints. The Arts Agenda Strategy was approved in April 2012. Its presentation format appears to be acting as the template for all other strategies. Review of the Arts Agenda has not been undertaken beyond identifying who was involved with this new strategy's development. The two highlighted strategies in Table 5.5: Environmental Sustainability and the Social Wellbeing, have been used to draw out a range of 'elite' stakeholders – those invited by Council to act as the community consulting group for the review process, and 'non-elite' interest groups/citizens – those who are left to input, via the more self-motivated, formal (submission making) and semi-formal (attendance at public consultation evenings) mechanisms. The elite and non-elite groups form the key informant interview matrix for this study (Table 5.10). This matrix aims to lend a fair range of perspectives across all four sustainability principles: environmental, cultural, social and economic. In looking at Table 5.5 (Appendix O), it appears on the surface that, HCC have aimed to select input from a reasonably wide range of Stakeholder perspectives, across the five charted strategies. However, how broadly and frequently these stakeholders consulted back out to their networks during the strategy review and development process is not transparent. Also, it's unclear, what additional perspectives may have been valuable to the process, and/or what potential has been missed through HCC's 'invitation to consult' approach. The process again reflects efficiency having priority over effectiveness. How the wider Hamilton citizens are engaged for 'feed in' to the strategic planning process, is discussed via the last of the three information sourcing questions.

- c) How has the reviewed ES Strategy been escalated from the administrative policy area up through to committee and onto full council for approval and what level of political representative enquiry and rigour has been involved in this process?

This question is considered in sections 5.4.2 and 5.4.3.

5.4.2 ES Strategy Review Development Time Line:

The process and time line associated with the review of this ES Strategy is set out in Table 5.6.

Table 5.6: ES Strategy Review Time Line

Date	Action	Notes
Oct 2008	ES Strategy adopted	
17 Aug 2011	Resolution to review ES Strategy passed at Full Council meeting	
22 Nov 2011	S&P Committee Meeting, item 7. C-336, Strategic Framework Review: approved Leadership Forums for ES, AC and SWB strategy reviews be resumed commencing Feb 2012 (based on stakeholders used in 2008 development - see Table 5.5)	
18 Apr 2012	Leadership Forum Reconvened	
8 May 2012	Community Consultation Workshop evening held. Workshop outcomes reported back to Leadership forum	1.
Themes Identified from the 'Community Consultation and Research' were reported to the Strategy and Policy (S&P) Committee Agenda (S&P Committee Agenda 6 Dec 2012 130) as:		2.
<ul style="list-style-type: none"> I. Issues that are driving the need to be sustainable are complex and interconnected, II. Some of these issues can be fairly controversial with regard to public debate (like climate change), III. The need for high quality collaboration with a wide range of community groups, IV. Sustainability is about more than good environmental performance. It needs to include social aspects as well (including economic and cultural issues), V. That the concept of sustainability is not well understood and better education and engagement is required. 		
April 2012 to 24 Sep 2012	Leadership Forum meets four times (2 of which are independently facilitated workshop style sessions). The sustainability vision (not the Smart City vision) and priority areas of focus and outcomes were developed.	3.
25 Sep 2012	Update Report issued to S&P Committee identifying areas of focus emerging for the reviewed strategy.	
9 Oct 2012	Leadership Forum confirms the ES Strategy's (renamed <i>Sustainable Hamilton</i>) priorities and strategic objectives by a consensus approach (within the group only).	5.
6 Dec 2012	The <i>Sustainable Hamilton</i> Strategy is put up to the S&P Committee for approval. It is approved and also passed through the full December Council meeting as a resolution.	4,6.

Notes (N1-6):

N.1. Limited Community Consultation:

The ES strategy review sat within the tight time constraints of the wider HCC strategies review program. There was one wider community invitation to consult during the ES Strategy review, and was managed within a 'world-café' style facilitated workshop. It was run during the week, in the early evening and the

small group present, responded to a prepared series of questions. The large worksheets and post-it stickers of data, generated through this workshop, were collected at the end of the contact evening, by the Strategy and Research team who led the evening. A mix of staff and councillors including the Mayor attended the evening public workshop session. It was observed that that this session stimulated good quality discourse across the range of citizens in attendance and in response to the prepared format. A copy of the collated data from the session was requested, but this has not been received, nor has any summary of the session been publicly posted through the Hamilton City Council website.

N.2. Reported Representation:

The five evaluated themes stemming from this public consultation session however, formed part of a December report to the S&P Committee, referencing this ‘public consultation’ along with ‘other research’ as the source to the associated recommendations (Hamilton City Council 2012n 130). The argument and evidence in this report appeared light weight, as it did not make clear what the other research was or what weighting this had over the citizen’s consultation inputs, in the analysis and final recommendations.

N.3. Starting Point for Discussion:

Additionally, it is not clear if the concept of sustainability or scope and nature of integrated sustainable development relative to the Hamilton City context was defined, given contextual meaning and agreed within the ES Strategy Leadership Forum group and used as a starting point for drawing together the variety of ‘elite’ groups coming to the table. Furthermore, it is not obvious how this group’s strategy review and development discourse was worked across/between the other two HCC planning groups, who were working on sustainability initiatives during the same period (Appendix O, Table 5.8). The December 6, executive statement does mention that, “the corporate sustainability planning group’s development was undertaken in ‘parallel’ with the Leadership Forum’s ES Strategy review programme” (Hamilton City Council 2012n 1). But again, any crossover between these two groups – while on their parallel tracks – is not clear.

N.4. *Sustainable Hamilton Strategy:*

The revised ES Strategy outcome, now re-named '*Sustainable Hamilton*', has a sharp graphic packaging, but when evaluated, appears fairly light weight in its sustainability understanding and integrated sustainable development strategic substance. It is acknowledged that the 2013 Action Plan is yet to be 'fleshed out' in detail, however, there is some tell-tale language use within the key indicators that point to where the real power resides within the 'consultative development and decision-making'. As Arnstein's participation discourse examines, there is a critical difference between going through the empty ritual of consultation, and having any real power to affect the outcome of the process (Arnstein 1969 Ladder of participation).

N.5. *Pitched Not to Cause Offence:*

It seems also, that this ES Strategy review and subsequent *Sustainable Hamilton* statement and indicators, are aimed at the lowest common denominator – i.e. the person who has a low understanding of, and capacity for, fostering integrated sustainability development outcomes. This approach offers a 'low bar' with no institutional stretch, committed capacity building or multi-dimensional innovative problem/solution opportunities. It is apparent that the document has been written so that it may cause the least amount of 'controversial upset' or disruption to business-as-usual, while small contained pockets of operations are subjected to a superficial treatment of a sustainable development application within the real underpinned logic of 'fiscal resiliency'. Therefore, the '*Sustainable Hamilton*' strategy itself, rather than being embedded within the vision, outcomes and goals and acting as the overarching guiding principle, runs a high risk of continuing to be perceived as an optional extra, as it drops down through to the policy-planning-operational silos of the fundamentally un-transformed Authority Administration.

N.6. *The Corporate Sustainability Plan:*

This is particularly evident from the '*Corporate Sustainability Plan*' which states in its introduction that,

Sustainable Hamilton is the strategy that sets the framework for our City to become sustainable, so that our natural environment, our

communities and the economy can continue to grow and thrive in the city (Hamilton City Council 2012n: Item 13 Attachment 4 139).

Firstly, within this statement there seems little awareness in Council that ‘being sustainable’ is an unrealistic proposition. As discussed in Chapter Two, society may only move toward greater sustainability, as the prime system operates in a state of perpetual change and so demands humanity’s attention to deliver a continuum of adaptive and responsive resiliency focused lifestyle and livelihood measures. Secondly, the differing trajectories between, the concept of sustainable development and the logic of unrestrained growth also seems to have remained opaque within these government actor’s understanding, and highlight the true fiscally-orientated value set of the hybrid ‘corporatised-government’ organisation. Lastly, there is no mention in the *Corporate Sustainability Plan* of the fourth sustainability principle; Culture. This appears to fly in the face of the recently formed Arts Agenda Strategy, the new vision, outcomes and goal statements in the LTP, Annual Report and Annual Plan documents, the 1840 Treaty and Council’s statements around the importance of their relationship with Tāinui and the 80 or so other migrant groups that live and work within the city.

The key projects that fall from this ‘*Corporate Sustainability Plan*’ as shown in the implementation and progress (tick-box) portion of the plan are noted as: waste, energy, water and procurement. The targets and measures defined within each of these project areas appears to have little evidence of any linkage ‘between and across’ them. There has obviously been no learning, for example, from the UNSD A21/Principles review which made comment on how, by separating these projects into a silo-type document style, a business-as-usual mind-set is reinforced (Chapter Two). This portion of the plan indicates that concept of sustainability and the action of integrated sustainable development is really being treated as a placation exercise within the Organisation. An example of this can be viewed via the demise of the Energy Manager position that was specifically established in 2007 to ‘bridge, bond and brace’ the organisation and thereby create a flow on effect for the City community (see for instance, Bettencourt *et al.* 2007; Bourdieu 1986; Brown and Lauder 2001; Putnam 2000; Rydin and Holman 2004). With the

replacement of an external consultant (who will be working within a tightly bound, project specific framework to keep consult costs down), who drives the cross-organisational connectivity work? And what is the level of conceptual understanding of this person or team toward integrated sustainable development? Furthermore, how are the *Corporate Sustainability Plan* measures tied back into the staff, consultants and/or manager's performance indicators? In short, where does the technical mastery come from that can oversee, join the dots and deliver the 'connectivity value' to the organisation and the City? And, what existing standards and tools are being utilised to plan, implement, monitor and report on progress to this *Corporate Sustainability Plan*? None of the proven standards and tools (see Appendix K) available through, for example, the ICLEI membership and as evidenced through the myriad of published local government case studies appear to have been considered or employed in this Plan's development thus far.

5.4.3 Study Observations – Committee/Council Meetings:

25 September 2012 - S&P Committee Meeting:

The ES Strategy review update report (Hamilton City Council 2012o: Item 12) gives an outline of the history of the existing ES Strategy, an overview of the development process and Leadership Forum Members, emerging themes and next steps in the process, as well as the finance, resource and risk implications of the strategic review process. Item 12 has two attachments, showing the chart as including in Figure 5.5 (Appendix O) and a second schematic showing the apparent flow from the strategy – when completed – to the,

- i) Corporate Sustainability Plan, and the
- ii) City/Leadership Forum Action Plan process.

The report appears as item 12 of 20 on the committee agenda, and was received by the Committee (inclusive of the Mayor and ten of thirteen committee members) at this September meeting. There was no discussion or enquiry from anyone present about this report, which was interesting in light of the next bundle of policy review documents labelled 'Group 6', under Item 13; C-1434.

The 'Group 6' report was presented again by the Strategic Unit and recommended that five policies be deleted outright, one policy be deleted and managed via

another mechanism and one policy be deleted and replaced by a new broader policy (Group 6 Policies Table – Appendix N). The deletion of five of these policies was put and passed with no discussion. Note that, from Table 5.6 the new *Sustainable Hamilton* Strategy is not approved and ratified by the S&P Committee or Full Council Meeting until 6 December 2012 but significant sustainability related policies are discarded without robust debate or rigorous enquiry in this September 2012 meeting. Additionally, the review findings presented to support the recommendation to discard the policies in ‘Group 6’ are weak. Three HCC statement examples of this are:

- i. Why is it that ‘sustainability issues’ are better served through the ES Strategy than A21? Why are the two viewed as being conceptual separate from each other? Agenda 21 is, as Chapter Two discusses, an international concept that only three months earlier, had both the A21 and its LA21 importance validated and reinforced at the world Rio+20 conference. These questions were not asked by any of the committee.
- ii. CPTED may be embedded in ‘planning documents’, but it is not highly embedded ‘practice’ (prior observational experience). In terms of fostering opportunities to build neighbourhood capacity, engagement and solutions through cross-sector/cross-community coordinated initiatives, it is actively discouraged as *‘not being our problem’* at many of the operational ‘bricks and mortar’ ends of Council’s business. CPTED at that end tends then to exist as sticking-plaster remedies that don’t work to address the causal social problems and where the security surveillance program is pushed as the prime solution to crime prevention for the City.
- iii. As was evidenced from the KI.1 interview, HCC held membership with ICLEI long before the Central Government’s decision to take on the 1992 Climate Change Programme within NZ in 2002. Further-more, KI.1 placed the ICLEI membership as providing significant global-national-local networking and organisational/city learning/capacity building opportunities, as well as reinforcing positive global City exposure benefits. This view is

supported by the now archived overview of ‘Hamilton, NZ’ on the ICLEI website. The ICLEI organisation is in an even stronger position now than in 1992, in offering those same and more opportunities, and benefits to City Authorities and their Cities – the collective resource of case studies alone offers a huge range of projects and initiatives that sets out successes, failures and shared learning. As HCC launches the Corporate Sustainability Plan, how much time and resource has gone into ‘reinventing-the-wheel’ when as previously stated and shown in Appendix K, an abundant range of proven networks, case studies, sustainability standards, tools and instruments are available directly through the ICLEI membership. To say that the membership has ‘no value’ because the central government funding of the climate change program is no longer available, indicates extreme ‘integrated sustainable development’ naivety and reinforces the perception of Authority’s ‘green-wash’ to the concept of sustainability. That no committee members queried this was highly significant. It is interesting also, that none of the HCC consultant review documents evaluated in Table 5.3, recommend that sustainability standards or tools be developed and implemented as an underpinning for the required fiscal system improvements – again reinforcing the preoccupation with a financial resiliency focus. (Hamilton City Council 2012o)

27 September 2012- Full Council Meeting:

There was no further discussion or enquiry within the Full Council Meeting on 27 September 2012, of the ES Strategy report or related sustainability (Group 6) deleted policies – as discussed above.

6 December 2012- S&P Committee Meeting:

The *Sustainable Hamilton* Strategy and *Corporate Sustainability Plan* was placed before the S&P Committee meeting, on 6 December 2012, with the recommendation that these two documents, as outlined in Item 13 of the 6 December Agenda, be adopted and moved through to the Full December Council for ratification. This was passed and these two documents were subsequently ratified at December’s full council meeting. (Hamilton City Council 2012n)

5.5 Key Informant Interviews

5.5.1 Group Matrix and Representative Selections:

Semi-structured interviews were undertaken with ten key informants, as listed in Table 5.10. Three of the ten wished to remain anonymous.

Table 5.10: Key Informant Listing

Key Informant	Key Stakeholder / Interest Group	Related Sustainability Principle	HCC Relationship
K.I- 1	Margaret Evans 3 term Hamilton Mayor - 1989-1998, CBE	Local Government & HCC background relative to A21/LA21	Ratepayer and Arts Lobby Advocate
K.I- 2	The Jacobs Ex-proprietor Hamilton Garden Café & Restaurant	Economic	Commercial - Landlord/Lessee
K.I- 3	Graham MacFarlane Proprietor Veranda Café	Economic	Commercial - Landlord/Lessee
K.I- 4	Rob Dol Property Council – Waikato Branch President	Economic	Commercial - ES Strategy Leadership Forum
K.I- 5	Tim Manakau Tainui Holdings – Environment	Environmental/Cultural	Environmental/Cultural - ES Strategy Leadership Forum
K.I- 6	Anonymous	Social/Environmental	Interest Lobby Group Environmental/Community
K.I- 7	Rex Bushell Gully Restoration Trust	Environmental	Interest Lobby Group Environmental/Community
K.I- 8	Heather Moore GM, Volunteering Waikato	Social	Community - Interest Lobby Group & Council sponsorship recipient
K.I- 9	Anonymous	Social/Cultural	Community - SWB Strategy Leadership Forum
K.I- 10	Anonymous	Social/Environmental	Environmental/Community - ES Strategy Leadership Forum

The responses from a separate range of questions for KI.1 have already been presented in section 5.2.3. The remaining Key Informants 2-10 were selected to offer a range of perspectives across the four sustainability principles: Social, Cultural, Environmental and Economic, as well as, to lend a balance between the

groups HCC invited for consultation versus interest groups who are left to participate, primarily, via Council’s formal or semi-formal processes.

5.5.2 Quantitative Results:

Ten quantitative questions were asked during the nine KI.2-10 interviews. The following presents the collective responses. Any additional commentary to the quantitative responses has been included within the qualitative results – section 5.5.3.

i) Organisational Qualities:

Question 2.1: Does the City Council’s ‘organisational qualities’ of hot, relentless and unexpected, fit with your defined concept of sustainability and/or sustainable development? (Source: hamilton.co.nz/careers position description, ‘Working at Hamilton City Council’ sheet 5, retrieved: August 2012) and shown to Key Informants during interviews.

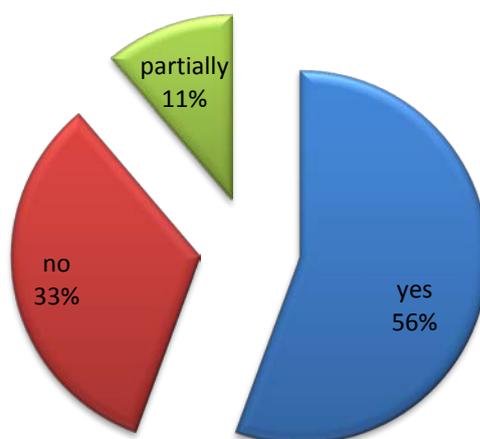


Figure 5.6: Council Organisational Qualities

ii) Transparency and Accountability:

Question 2.4: Council states that, “much of this year has been spent on improving systems and process to deliver better transparency and accountability” (Hamilton City Council 2011/12 2). Figure 5.7 presents responses to the question of, how well has this statement been evident in or translated:

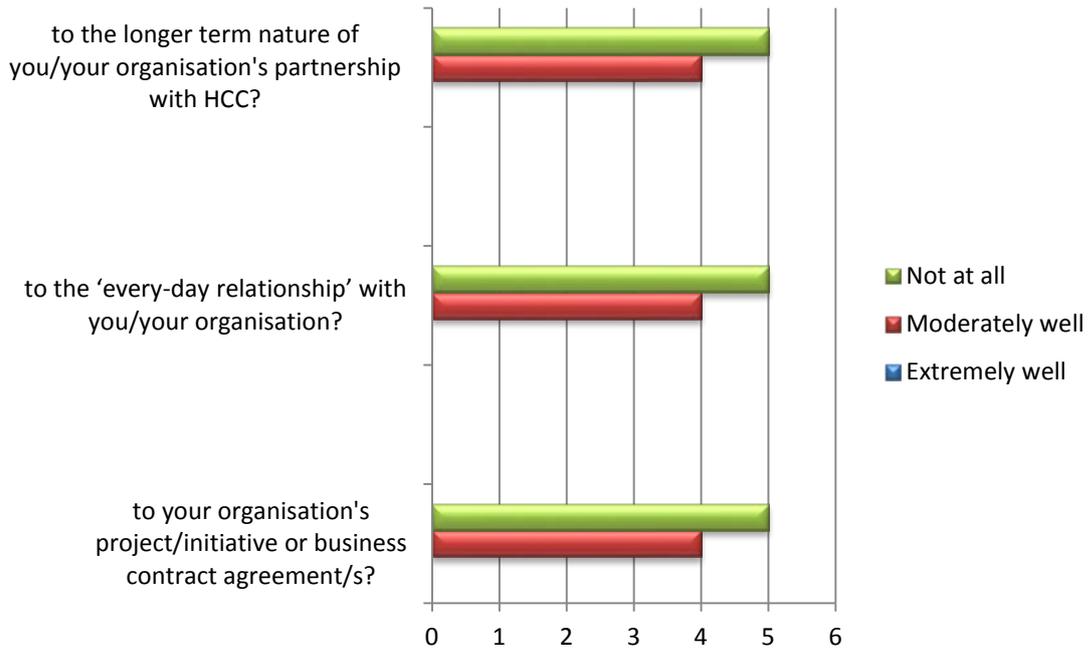


Figure 5.7: Transparency and Accountability in Systems

iii) Civil Performance:

Question 2.5: Council states that, “it is committed to the highest standards of accountability as it performs its civic duties” (Hamilton City Council 2011/12 8). Using a scale of 1-5 (1 being the lowest and 5 being the highest) how would you rate your experience with Council in this area?

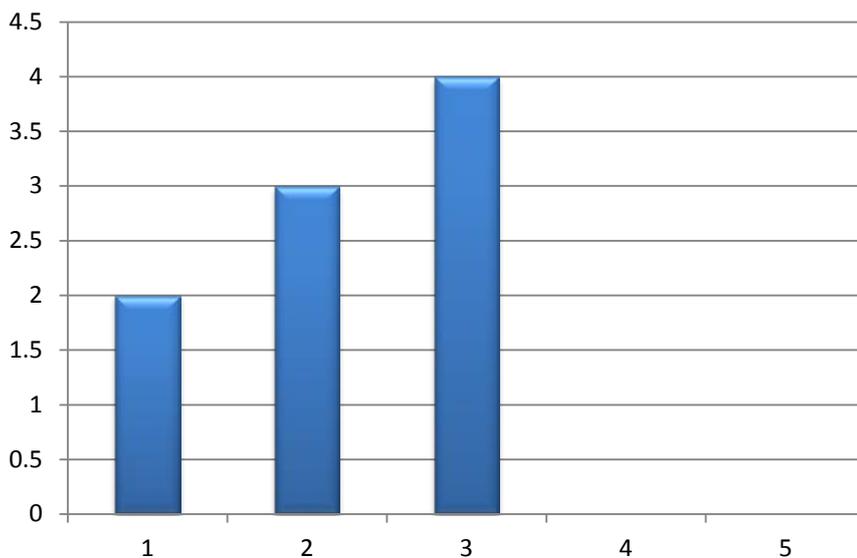


Figure 5.8: Civil Performance Accountabilities

iv) Council Attributes:

Questions 3.1 and 3.2: Asked key informants to rate their perceptions toward Council’s attributes as follows in Figure 5.9.

The response to this set of questions was interesting, in that only one key informant, rated their perception of Council’s level of participation as high. All other responses across all areas of transparency, accountability, participation and trustworthiness rated poorly. This finds consistency with the ‘documents’ review assessment and observational exercise findings. It also aligns with Chapter Four’s preliminary data sourcing indicator results (Tables 4.7 and 4.13) and the survey response data found in Figure 4.10, around the eight conditions for Sustainable Governing. Chapter Four’s Figure 4.10 response indicators also find comparison with the results findings in Question 4.1 and 4.2 over page.

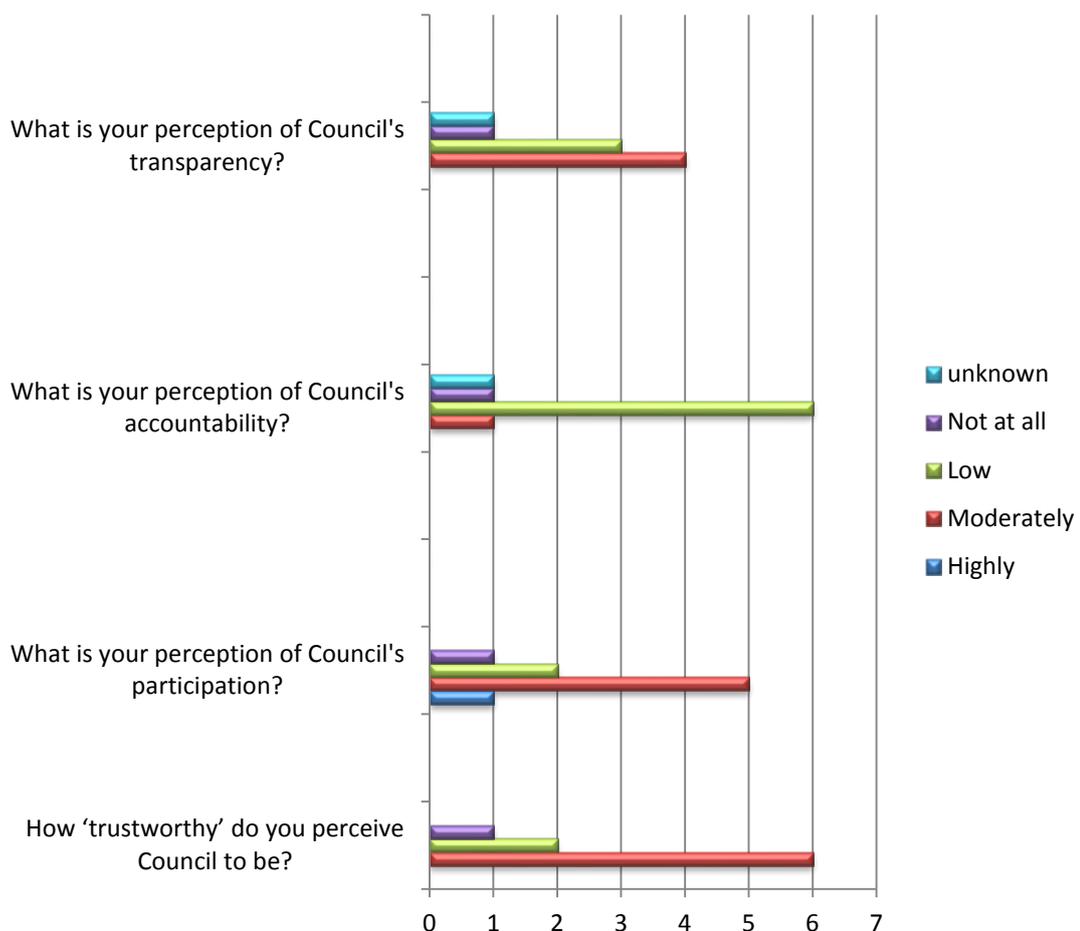


Figure 5.9: Council Attributes

v) Good Governance:

Questions 4.1 and 4.2: Asked key informants to rate their perceptions toward Council’s level of good governance and sustainable development achievement.

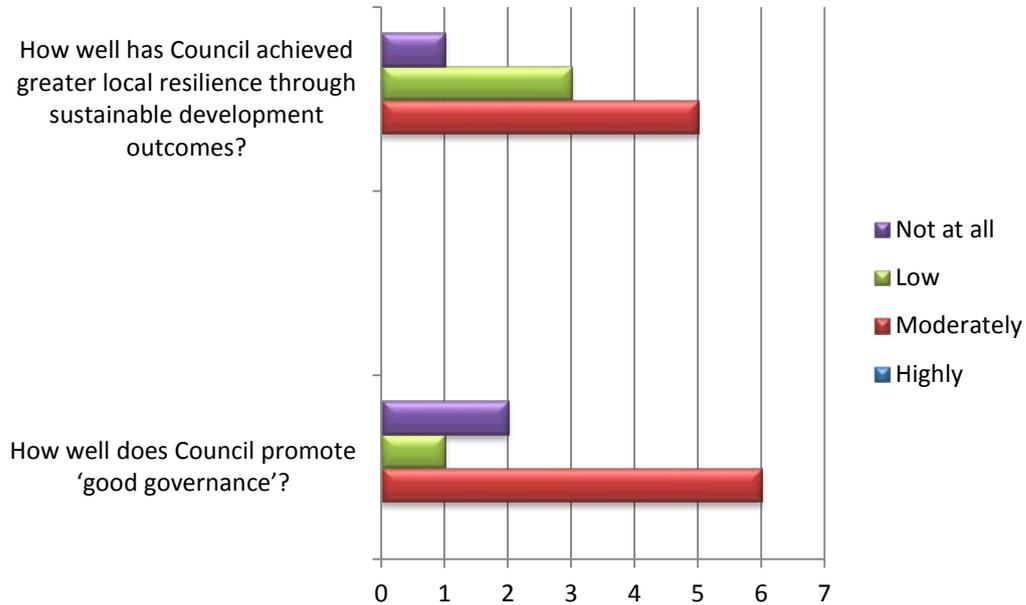


Figure 5.10: Good Governance and Sustainable Development

vi) Awareness of Vision/Community Outcome Changes:

Question 6: Asked key informants if they were aware that the community outcomes had been removed from monitoring and reporting requirements for the 2011/12 financial year. And further, if they were aware that a new vision had been created ‘for’ the City and whether they were they consulted as part of this process.

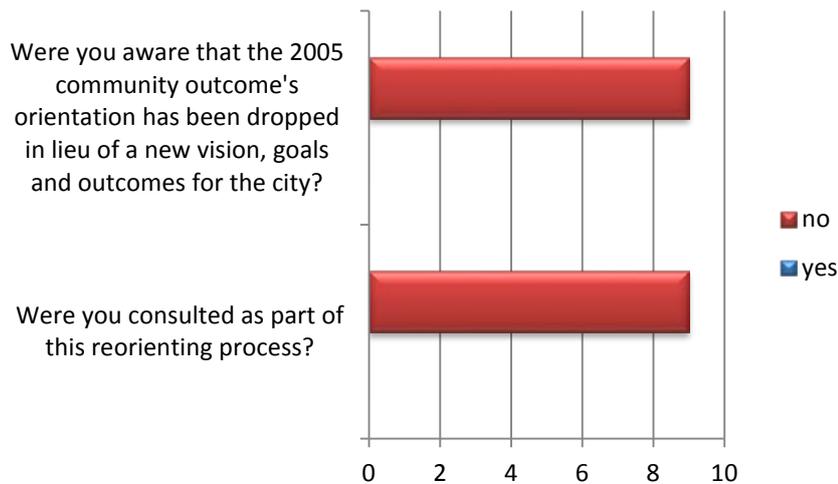


Figure 5.11: Vision Changes and Community Outcomes Awareness

In linking this question back to the observational section of this Chapter, the responses clearly reinforce that Council undertook no consultation apart from having the change embedded within the LTP process – see Section 5.3.2 and Table 5.5. It may be argued that while the process falls within the minimum legislative requirements (although given the Council’s own ‘significance policy’ and other sections of the LGA 2002 Amendments Act 2010, this may prove costly to Council’s reputation and the ratepayer’s pocket to defend - if ever challenged), it does highlight an unexpected consequence of the LGA 2002 Amendments Act’s 2010 ‘efficiency intent’, and which may be further reinforced, through the December 2012 passing of the LGA 2002 ‘*better local government*’, part 1 of the reforms. By allowing the merging of the community outcomes consultation process with the LTP procedure, there has clearly been a space provided for Council to interpret that a reduction in local democratic participation is acceptable, and indeed, this may be argued as being reflective of a current Central attitude. Never-the-less, this HCC choice of, a) not clearly flagging the change within the LTP procedure, and b) not seeking specific community participation in the development of the new City direction, does little to improve Council/Civil Society relations or actively seeking ways to alleviate the current poor response data – as indicated by the Question 3.1, 3.2, 4.1 and 4.2 responses, and the general undercurrent of civil dissatisfaction tabulated in Appendix B.

Given that the new city vision, outcomes and goals were developed through an inward facing process, via the attitudinal position of “*we will give you leadership*”, how well does the new City aspiration, actually meet the key informant’s expectations of where the city should be heading? Key informants were asked to respond to the questions shown in 7.1 and 7.3 below, in relation to the 2012 City Aspiration, as expressed through the new vision, outcomes and goals (Hamilton City Council 2011/12 5) and as shown to key informants at the time of the interviews.

vii) New City Vision:

Question 7.1: What level of commitment toward developing greater levels of integrated sustainable development for the City, does this vision engender?

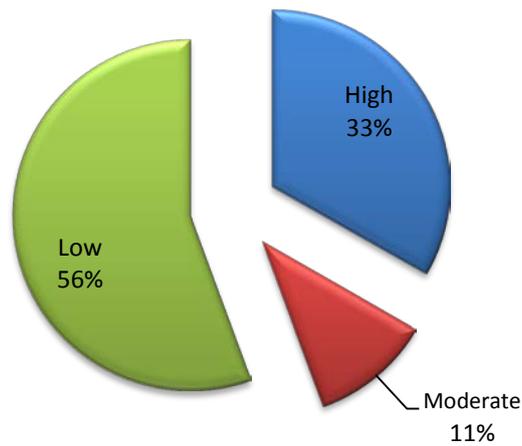


Figure 5.12: Acceptability of New City Vision

viii) New City Aspiration:

Question 7.3: Using a scale of 1-5 (1 being the lowest and 5 being the highest) key informants were asked to rate the following Council ‘Aspirational’ statements, relative to the concept of sustainability and integrated sustainable development.

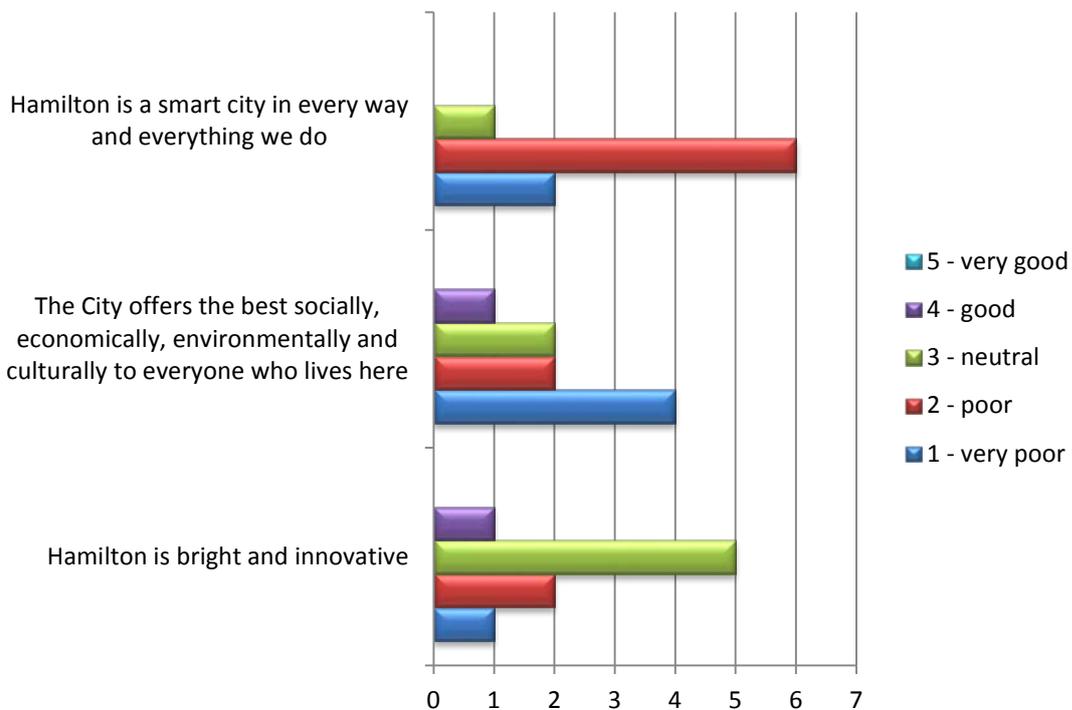


Figure 5.13: Acceptability of New Aspirational Statements

ix) New Outcomes and Goals:

Question 7.3 continued: Key informants were then asked, using the same scale of 1-5 (1 being the lowest and 5 being the highest), to rate the following Council ‘Outcome/Goal’ statements, relative to the concept of sustainability and integrated sustainable development.

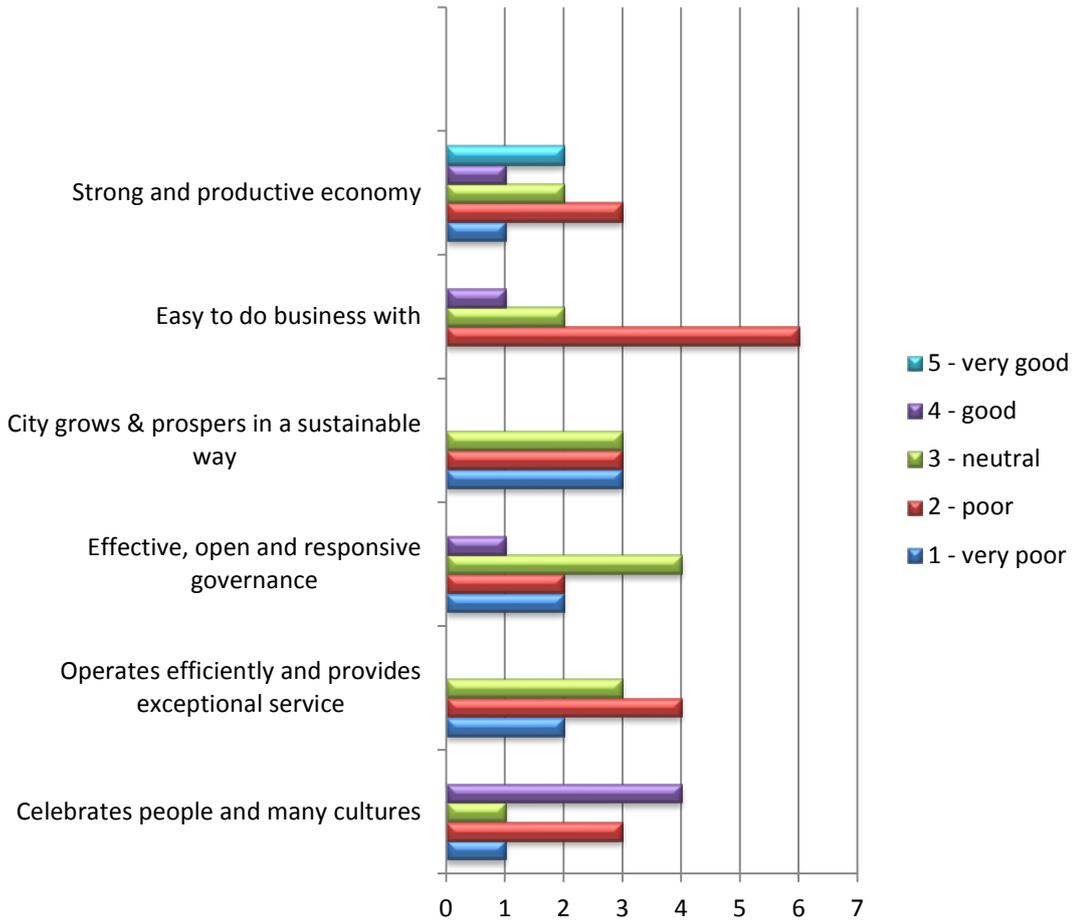


Figure 5.14: Acceptability of selected New Outcomes/Goal Statements

x) Continued Relations with Council:

Question 7.6: Results from the enquiry as to whether the key informant’s organisation will continue to progress the business/stakeholder relationship with HCC in the future, are shown below. This question offered a ‘Yes/No’ response, however six from nine of the answers, responded with the qualifier statement, “Yes – we have to” or “Yes – we are compelled to”.

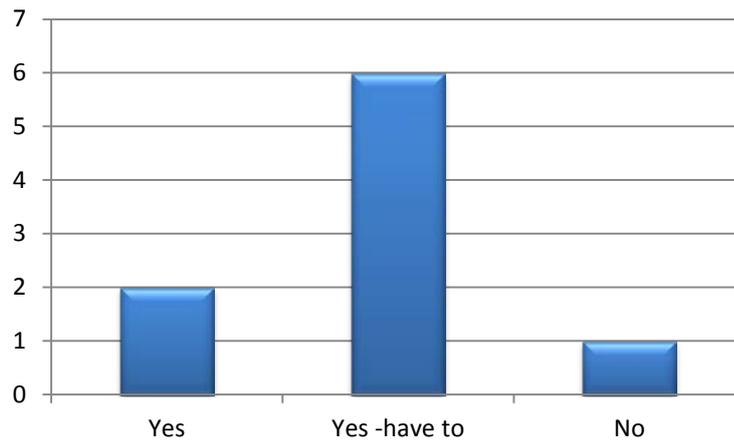


Figure 5.15: Desired for a continued relationship with Council

5.5.3 Qualitative Responses:

The prime collated key informant responses can be found in Appendix J. From this collation exercise, the data draws together a range of ‘social capital’ perceptions from across all four sustainability principles, of how wise the Hamilton City governing environment is in relation to achieving cohesive sustainable development success across all sectors of the City’s community. The key informant responses have been presented via discussion of the key factors and elements set out earlier in Chapter Two.

A) **FACTORS** of wise city governing:

i) **Good Governing Leadership:**

- Identification and protection of accumulated knowledge and experience:

- ✓ *There is **wisdom** there – we are not dealing with fools who cannot see the big picture – they just choose not to do the right thing, not to see and make sensible decisions. (KI.6)*
- ✓ *I don’t see them as displaying significant **integrity** as a Council – individuals do on an individual basis – but then those people tend not to last very long in that environment. (KI. 9)*
- ✓ *This is generally not associated with Councils – All Councils in this country struggle with all of these words. I certainly would not describe HCC as particularly **‘just and fair’**. (KI. 9)*
- ✓ *They don’t **value** the service that comes from the community – a lot of them would have no idea what community services are, even out there in this city, let alone how important they are to the citizens. (KI.8)*
- ✓ *I acknowledge Council as a whole for some of the things that have been enabled*

to happen. Having said that, I also know that those things have usually been enabled through individuals, rather than through the organisational structure itself. Internally, I don't think they've shown a lot of **respect** for the people who are employed by them. There have been reviews and restructuring where people have felt badly treated by attitudes and processes that lack respect and courtesy – this is put down to management styles but these have not been respectful. (KI. 10)

- ✓ One of the most important things they should be doing is increasing political awareness in regards to people's **democratic rights and responsibilities** – there should be more information and education stuff and a whole lot more listening forums. It seems more about they want people to listen to them and they're not willing to **listen to others** (KI. 9)

- Builds and delivers good decision-making:

- ✓ If you're practising all of these qualities, then all of the things that have gone belly up would have got sorted out earlier down the line and before we were in it up to our eyeballs. When did they bring these [organisational qualities] out? (KI.3)
- ✓ Council wants to be this big city, yet capacity is not available within so we get poorly planned, managed and executed outcomes. (KI.4)
- ✓ To have many minds coming to a problem – there are just so many benefits in that process – I think they are scared of this though - that's why they stick to their formal processes which don't always deliver the best value for money. The use of green papers to encourage greater public participation through a range of [feed-in] mediums should be used more to develop and give rigor to the early stages of a proposal (KI.7)

ii) Adaptability and Innovation:

- Stimulation of innovation, experimentation and social creativity (wealth creation across all sustainability principles):

- ✓ Council is totally unwilling to change until such time as there is a public outcry and they are shamed into changing. Their way of dealing with the escalating public concern is to close off and with draw. Containment or Diversion and Control – that's not at all in line with the concept of sustainability. (KI.6)

iii) Interconnection and Diversity:

- Sustains social and natural foundations for adaption and renewal:

- ✓ There are two levels, when I think of an organisation. At the individual level there are a lot of **caring** people in that organisation. Then there is the way the organisation actually operates – its culture and the kind of policies that it enacts. I have seen HCC as an organisation do some very uncaring things that the policies allow through the interpretation of them. Overall then, I would be inclined to say as an organisation, no – [Council] likes to think it is caring but I

don't really see the outcome of that in reality. (KI.9)

- ✓ *The strategic review groups selected by Council to come round the table are mainly middle class and white. There is not diversity and difference ... There is also a high-degree of using pre-prepared prompts and group responses are focused to those prompts, so consideration to wider social and natural issues are limited within that approach. (KI.5/KI.10)*

- Identifies and enhances the lost renewal capacity needed for the next generation:

- ✓ *Each one of those people who feel badly treated as a staff member or a citizen or a peer, tells at least 10 people, those ten tell ten more and so on – and the next generation is observing this. That very quickly adds up to a very bad look and bad role modelling for this City. Reputation and Respect go ‘hand in glove’ and the bureaucratic organisation, who doesn’t understand this, is arrogant and unsustainable – and puts the City at risk now and into the future! (KI. 3)*
- ✓ *I have the feeling that there are people and groups within this City that are really quite disconnected – and Council has no idea who they are and what they need (KI. 8)*

iv) Agility and Flexibility:

- Removes accumulated rigidities and impediments to achieving better sustainability development

- ✓ *[A generally] depoliticised public are not aware to what degree they are allowed to control this lot [Councillors] ... Public service is something that seems to have rather vanished under the weight of a corporatized administration – they [Councillors] have lost all notion that they have a **responsibility** to the people they’re serving and the public has a responsibility to the next generation to keep the whole thing **honest**. (KI.6)*
- ✓ *Minor things are **timely** but complex issues are ignored and not dealt with ... Very good at being on time when it is something they want (KI.6/KI.2)*
- ✓ *Takes too long and are not **agile** in taking up opportunities - its old boys club attitude of ‘we know best’ ... Easy fixes are responded to - the tele-support service is great for logging issues around city, but complex, inter-connecting issues go into the too hard basket and are ignored ... Can be a bit frustrating trying to get the information you need – in one case I had to do official information request to get the information we needed and that still took some time, one to one pretty **responsive**, if they are unsure how to do something then not responsive at all (KI.4/KI.6/KI.7)*
- ✓ *If you know who to go to or look for – yes but if you don’t it would take you a while to get bounced around the place. You have to be determined ... That’s been positive, but mainly because we’ve spent time nurturing that **accessibility** and always tried to find solutions that work best for both parties. (KI.6/KI.3)*
- ✓ *I don’t have any issues or problems in that [safety] attribute at this time! ... They*

have the wrong idea about **safety** – safety doesn't come from having more lights, wider paths or more security cameras. Safety comes from rewarding the good actions - knowing your next door neighbour, knowing families in your area or who go to school with your kids, caring for the older person who lives alone, etc and when there is a problem it is having those networks come together to sort out that problem – that people capacity is what HCC needs to be building by engaging and linking all the various networks in the City. (KI.3/KI.4/KI.5)

- ✓ I know of examples where they haven't met their **statutory timeframe** requirements ... Court action on river impact has evidenced that they drop the ball ... Lately, I would have to say not very well – building roads that encourage more personal car use at greater speeds, heightening cross town travel that increases pedestrian travel risk at these cross points, sacking waste water staff and then having to pay more to bring in contract staff to keep essential services going .. that's not really meeting statutory compliances or being economically prudent is it? (KI.4/KI.5/KI.6)
- ✓ That's interesting – I wonder what [Council's] definition for **sustainability** is? ... To be more sustainable they need to want to understand all the sectors of the City's community. They need to step into business practice and into reality. In that world you investigate, have rigor and question things because if you don't you don't have a livelihood – this is how a modern city should work – places that understand and develop sustainably are places that have evolved their institutions and embrace/coordinate all the different parts of the City to make and sustain places that people want to be in ... I know that they have a massive staff turn and any business that has staff turnover at that level has a severe management issue – why is this not being properly investigated and resolved? How can the CEO receive a bonus performance payment when this is happening – that's not sustainable for our City is it? ... there is discussion around moving towards more of a sustainable city – but I am sceptical ... there are too many conflicting visions, they want to be an art city, a sustainable city, a smart city – you can't be everything / they've been trying to find out what the next 'buzz word or selling point' of Waikato is. (KI.3/KI.4/KI.7/KI.10)

B) ELEMENTS of wise city governing:

i) Structure/Form:

- One of the reasons things keep repeating is because there is no institutional knowledge in HCC and what there is, is not high enough up the pecking order to be of any use - staff can't escalate matters, they are shut down and called trouble makers. So things that should have been signalled early - couldn't be – that's my perception anyway, but that type of structural problem is not good for business. KI.3

ii) Function/Purpose:

- *At the end of the day councillors are held accountable every three years - who holds the administration accountable? Councillors can't, because they only have one employee – the CEO, so how can they know if the information they are being fed is real. The staff are unable to escalate information upward and Councillors are discouraged to ask questions directly of staff. The public by and large are fed the sanitised version of events and are not as a majority engaged enough to place pressure on the administration. I have to wonder if this is compliant with the full function and purpose of local government – certainly from an ethical perspective. KI.9*

iii) Processes – Strategy and Policy: (rules-in-form)

- *Problem with [Council's] processes are that they pre-select that group and this group to 'consult' with and there may be more relevant groups for that problem or task – but they don't find out they just tend to use the same types of groups over and over again. KI.5*
- *They are selective as to when you are 'important', selective in whom they will deal with and selective in when they want input and the type of input they want. KI.3*
- *There is a great deal of energy put into negotiating with people over trivia but the important stuff is hidden and manipulated behind closed doors – 'commercial sensitivity' seems to be used a lot as an excuse for not being open and transparent on matters that count. KI.6*

iv) Practise – Planning and Operating Procedures: (rules-in-use)

- *If a person is very busy and overloaded they're just going to focus on what they normally do and if there is a need for change, that's an extra amount of work they've got to do. It takes time and space to think around a problem - what actually the problem is, what's the best solution, how it can best be implemented, what are the potential pitfalls and benefits, and so forth. It will be interesting to see, for example, how the district plan is applied in reality – whether the intent can be delivered? I'm unsure if there is internal capacity to make the determinations needed in that document. KI.4*

- *[Council is] slowly learning but a culture of arrogance holds them back. KI.5*
- *I don't think they have multiple feedback loops – there [are] certainly limited opportunities to feed in your ideas, feedback on their ideas – formally or informally. KI.10*
- *Still operating from a prescriptive/instructive mentality. KI.4*

C) FOUR WEAK LINKS to wise city governing:

“There are some things that haven't been working well and they are trying to fix the systems. Unfortunately, they've damaged 'people relationships' along the way, and these heighten more systemic difficulties – make them harder to repair, certainly more difficult than mere problematic processes and technologies” (KI.10).

So, what are the collective perceptions of what is working well and what could or should be improved?

Table 5.11: Perceptions - Working Well vs Improvements

Responses to question of what is working well at HCC	Responses to question of what could/should be improved
<ul style="list-style-type: none"> • Dialogue of Senior Managers, Mayor and some Councillors with commerce ... if need to talk with them you can ... whether you get answers is a different story 	<ul style="list-style-type: none"> • Must get business friendly across the board and be more cost efficient in their operations.
<ul style="list-style-type: none"> • Review and Introspection to fix itself – perhaps 	<ul style="list-style-type: none"> • Trying to do too many things and must move back to core business and contract out non-core services.
<ul style="list-style-type: none"> • Dealing with the small stuff 	<ul style="list-style-type: none"> • Fiscal management, accessible city, ecological health of city, land and river.
<ul style="list-style-type: none"> • Infrastructure generally is doing ok ... we are still connected/supplied 	<ul style="list-style-type: none"> • Capacity to work through the big stuff and not have to first manage getting over or around the brick wall – genuine public consultation on alternative thinking around big problems.
<ul style="list-style-type: none"> • Looking at what went wrong – the systems and trying to address that 	<ul style="list-style-type: none"> • Town/Urban planning in respect of future expansion of the Hamilton boundaries and vibrancy of CBD and connection to all axis of the city.
<ul style="list-style-type: none"> • Mayor is consultative 	<ul style="list-style-type: none"> • Structural/process changes to capture greater informal submissions and ideas from citizens.

<ul style="list-style-type: none"> Well I guess we do have basic infrastructure – probably not very sustainable though. There is a real unwillingness to change. 	<ul style="list-style-type: none"> Attending to socio-economic areas of the city before they get to an unmanageable sector of the city – that has to be done inclusively, supporting and developing the initiatives that stem from within those communities to strengthen education, minimise truancy, vandalism and so forth. That’s got to be a cross sector lead thing too – real participation and fronting up with resource. Advocating to central government on the cities behalf for better resources.
<ul style="list-style-type: none"> Nothing 	<ul style="list-style-type: none"> Change the culture around how staff are treated and acceptable behaviours – especially from managers – get rid of that bullying type behaviour – it destroys people, it isn’t good management, and it permeates out into relations with the civil sector.
<ul style="list-style-type: none"> Well, we get the rubbish collected and we haven’t got sewerage running down the street (occasionally into the river but not in the streets). And we’ve got a bit of recycling happening – but not much sustainable development underpinning 	<ul style="list-style-type: none"> I don’t have a sense of a bunch of people there wanting to do the right thing for the long term. I have more of a sense of “<i>well do whatever it is that will keep the greater number of people quiet</i>” – both inside and outside the organisation. Media are not helpful in that respect – an organisation with that attitude just retreats even more.
<ul style="list-style-type: none"> I really have to say nothing – systemically from a business perspective, if they were a registered company, I wouldn’t be buying their shares. 	<ul style="list-style-type: none"> Much better reduction of consumption, resource recovery systems – much more whole system thinking. More professionalism.

It is noted that understanding of the concept of sustainability, was found to be highly evolved across the majority of the key informant’s interviewed – across both the elite and non-elite groups, and certainly, this understanding appears far more matured around ‘how to’ apply cohesive sustainable development success, than has been evidenced within these institutional capital findings.

5.6 Summary

The ‘relational bracelet’ model in Figure 5.16, presents a visual summary of the key informant perspectives of where the current weak links have formed within the City Authority as a whole system. The investigation and analysis work in

sections 5.2 through 5.5, has shown that the Hamilton City Council is operating well below a ‘successful sustainability-oriented’ bar, in terms of delivering a high level of democratic engagement, capacity building and systemic health achieved via transitioned and transformed local governing institutions. This determination is based on a combination of the information gathered through the sustainability literature, a Hamilton City historical review, and the interview with Key Informant 1, as well as the documents analysis, the tracked 2011-2012 ‘public and media-noise’ (Appendix B), observational exercises and the community Key Informant’s 2-10 findings and is supported by the evaluated position of Hamilton City Council’s current local governing model (Table 5.12).

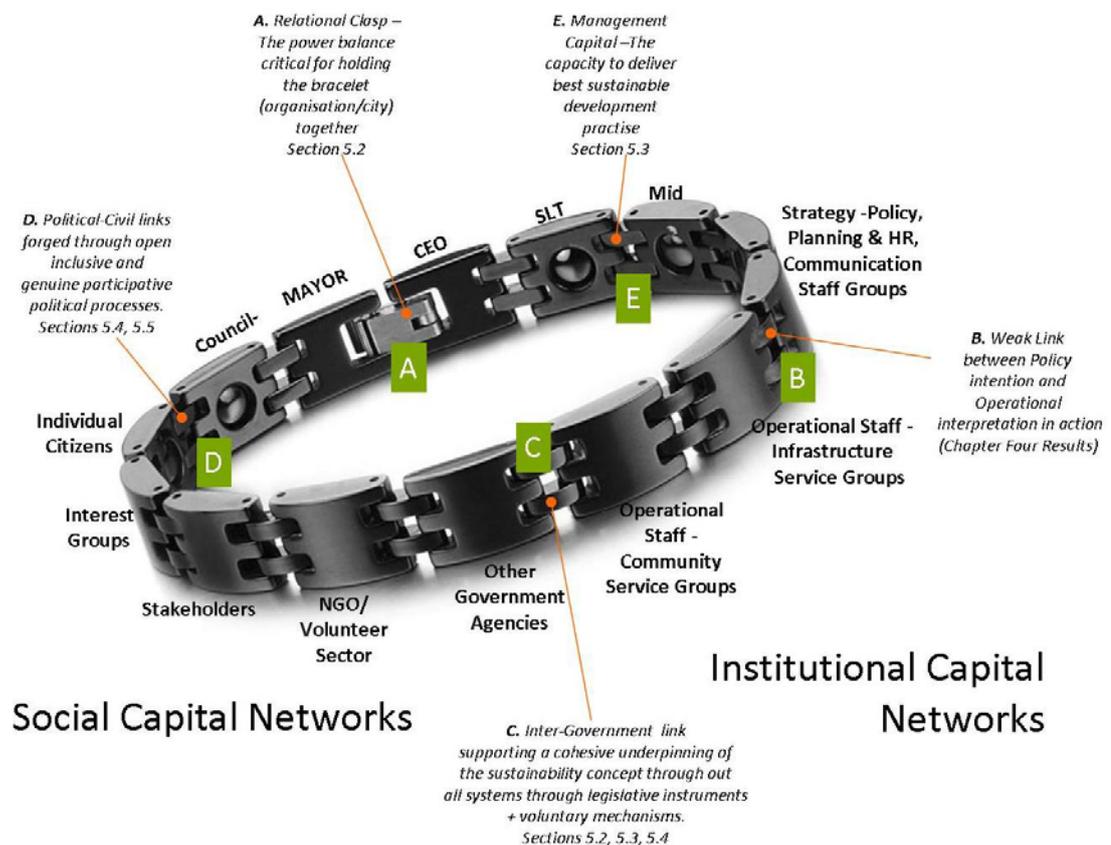


Figure 5.16: Full Relational Bracelet Model

5.6.1 Structure and Function:

The collective case study material shows that the ‘structural and functional’ elements within the wider context of the NZ Local and Central Government regulatory relational environment, have had a significant influence on the ‘whole

of HCC's' capacity to nurture its institutional and social capital's sustainability-oriented development. As Key Informant 10 offered, "An organisation is merely a group of people that work under a set of policies (precepts or rules)." What has become evident through this case study development, is that, if the rules are written so that they are open to interpretation in a way that was not originally meant, and there is an embedded culture that is diametrically opposite to those policy's intention, then it is highly likely that the organisation as a whole system, will be limited or even diverted in its ability to develop or indeed purposefully redesign its institutions, to be more supportive of and synergistic with successfully fulfilling the original intention of those policies and strategies.

5.6.2 Process and Practice:

Additionally, the collective recommendations from the evaluated consultant's reports signal serious systemic failures within the local Authority elements of 'process and practise'. The PWC *Transparency Report* for example makes comment in its overall assessment that, "there are inconsistent messages [being] received by employees from management and at times Council [elected representatives] which impact the Council-wide approach to both tolerating inappropriate behaviour and in responding to it" (Hamilton City Council 2012b Item 9, Attachment 1 53).

5.6.3 Top-down Determinism:

The collective consultant recommendations also indicate that, a greater level of courage is needed by the organisation to open up and open out in formulating an appropriate remediation program for 'process and practise' matters. From discussions with Olly Te Ua, General Manager Organisational Development during the HCC study participation request (Appendix G), HCC appears to have taken the external consultant's recommendations on board, and have developed a three year, comprehensive *master change plan*. However, in making informal enquiries with a number of current staff at HCC, and as evidenced in the observational and key informant research stages of this case study, this seven streamed, *master change plan* appears to have been constructed within the 'elite' group of top managers – possibly with external consultants inputs? – but in

isolation from the wider organisation and community. This approach, while being applauded for seeking to address the consultant's (business-fiscal focused) recommendations, does little to build institutional and social capital capacity depth, and rebuild confidence through a process of collectively identifying a broader picture of the real 'problématique' of the City and its Organisation. The top down attitudinal approach of 'we will fix the problem' based solely on an embedded conceptual logic of economic efficiency, places limitations on the problem identification and solution-making process. This behaviour was also evident within the process for creating the new city vision, outcomes and goals. As with the administrative top-down approach the 'discarding and replacement' process associated with the new city direction appears to lack any broad participative engagement from within, across and between the City and the organisation and looks to sit on the very edge of legislative permissibility.

5.6.4 Missed Opportunities:

More importantly, the Council organisation has missed a golden opportunity to build capacity through facilitating a richer focus toward fostering a greater level of sustainability debate and understanding forged through an open participative partnership with the staff and the citizens of Hamilton (Appendix L, ecological modernisation, dimensions 4 and 5). For example, this Hamilton approach seems to be at the opposite end of the Nelson City methodology, which attempts within its '*Framing our Future toward Nelson 2060*' process (Nelson City Council 2012a; 2012b), to at least generate a greater level of public discourse around the concept of sustainability for its city, as well as pursue some improved measures of institutional reflexivity.

It is clearly evident that the HCC orientation to 'efficiency' holds a much higher value in analysis, planning and decision-making than does 'effectiveness'. This is unsurprising in that this approach tends to be reflective of the wider local government context – especially given the 2006-2010 Central Government and LGNZ commissioned report discussions focused toward structure and efficiency, which have resulted in the Local Government Act changes since 2010. Within this orientation however, the Council Authority as a whole system, runs the risk of

reinforcing the unhealthier aspects of the currently entrenched organisation culture which ultimately works against achieving a level of deeper integrated sustainable development transformation. For the citizens of Hamilton, more-over, the undercurrent of Council's '*we know best*' was signalled as being felt across all KI.2-10 interviews – whether from the elite or non-elite group. This harks back to the KI.1 discussion around the HCC attitude to leadership, '*we will give you leadership*' (KI.1 2012 2-3). The case study material has found that, systemically, this local Authority perpetuates its historically ingrained, fiscal-preoccupation and hierarchical dominated behaviours. The resulting culture is apparent in language 'tells' that are used throughout the entire organisation, and have directly impacted both internal and external relationships, and damaged the organisation and City's credibility, levels of trust and reputation. This totality of systemic failures, therefore, limits the capacity of HCC to nurture inclusive, balancing, well considered and executed integrated sustainable development solutions within the organisation and across the whole cityscape. As previously mentioned, this is evident when assessing the full case study material against Stoker's local governing literature (Stoker 2011 18 Table 1). Table 5.12 highlights HCC current mixed position (grey highlighted areas) based on these case study findings.

5.6.5 How wise is Hamilton City's governing?

And at this point in time, based on the evidence gathered, the short answer to the question: how wise is Hamilton City's governing, would have to be 'not very'. But perhaps this question is better summarised, by KI.10's response,

Wisdom comes from the accumulation of knowledge and experience over time – there is wisdom that has sat with some staff, so you would say that the organisation must have potential for being wise. However, HCC has not acknowledged that, respected or valued it, or even intentionally sought it out – because of personal agendas [and system limitations]. I think then that accumulated wisdom sits in pockets and resides with individuals (KI.10).

The following Chapter Six draws upon the results of the five city survey (Chapter Four), these case study findings (Chapter Five), and the literature review (Chapter Two) to provide discussion in relation to the study's prime Research Question.

Table 5.12: Evaluated Position of Hamilton City Council's Current Local Governing Model

	TRADITIONAL PUBLIC ADMINISTRATION 'Taker' (Taylor 2007)	NEW PUBLIC MANAGEMENT 'Taker-Maker' (Taylor 2007)	NETWORKED COMMUNITY GOVERNANCE 'Taker-Relater' (Taylor 2007)
Governing System Key Focus	<ul style="list-style-type: none"> Manage Inputs Service-delivers-in-National-Welfare-State context 	<ul style="list-style-type: none"> Overarching goal: Fiscal Resiliency Embedded principle/aim: Greater efficiency ensure economy in guise of customer responsiveness Manage Inputs & Outputs 	<ul style="list-style-type: none"> Overarching goal: Greater effectiveness to tackle problems-public-care-most-about
Dominant Ideologies	<ul style="list-style-type: none"> Professionalism Party-Partisanship 	<ul style="list-style-type: none"> Managerialism Consumerism 	<ul style="list-style-type: none"> Managerialism Localism
Public Interest Definition	<ul style="list-style-type: none"> Politician-Expert-Driven Little Public Input 	<ul style="list-style-type: none"> Individual Preference Aggregation Demonstrated by Customer Choice 	<ul style="list-style-type: none"> Complex-Interactive-Individual-and-Public Preferences
Account-Ability Dominant Model	<ul style="list-style-type: none"> Top Down (Political and Administration) Overhead-Democracy—voting-in-elections, mandated-party-politicians, tasks-achieved through-control-over-bureaucracy 	<ul style="list-style-type: none"> Top-Down-/Bottom-Up Separation of Politics and Management Politics gives direction only Managers manage / hands on control Additional loop-of-consumer-assessment built-into-the-system 	<ul style="list-style-type: none"> Multi-Directional Elected-Leaders, Managers-and-Key Stakeholders-involved-in-search-for-solutions to-community-problems-and-effective-delivery mechanisms System-in-turn-subject-to-challenge-through-elections, referendums, deliberative-forums, scrutiny-functions-and-shifts-in-public-opinion
Preferred Service Delivery System	<ul style="list-style-type: none"> Hierarchical Departmentalised (Silos) Self Regulating Profession 	<ul style="list-style-type: none"> Private-Sector Tightly-Defined-Arms-Length-Public-Agency 	<ul style="list-style-type: none"> Menu-of-Alternatives Pragmatically-Selected
Public Service Ethos Approach	<ul style="list-style-type: none"> Public-Sector-Monopoly Service-Ethos Consistent-across-all-Public-Bodies 	<ul style="list-style-type: none"> Public Service Ethos Scepticism (leads to inefficiency, inequities and empire building) Favours Customer Service 	<ul style="list-style-type: none"> Equity-Based—no-one-sector-has-monopoly on-public-service-ethos Maintenance-of-relations-through-shared-values-is-critical
'Higher' Government Tier Relationships	<ul style="list-style-type: none"> Tightly Bound Partner Relations with Central Government over Delivery 	<ul style="list-style-type: none"> Upward-through-Performance-Controls Key Performance Indicators {can be open to misuse/abuse by Managers using as 'existing' mechanism} 	<ul style="list-style-type: none"> Complex Multi-directional Regional, National, European (Asia-Pacific) Negotiated and Flexible
UK/EU Evolution Time Frames	1950-60's	1970's	1990's >
NZ Evolution Time Frames	< 1989	1989-1992	2002-2012

Source: Stoker, 2011, 18, Table 1: Era of Local Governing - Reproduced with permission

six analysis - discussion

6.1 Overview

This chapter analyses the focus questions one through three, against the results of the survey and case study findings and alongside of the literature review. It does this via discussing the final and forth focus question: *To identify what features, conditions, factors and elements underpin a greater shift toward more consistent and cohesive wise governing in the mid-sized New Zealand city.* Through this analysis and discourse the study then draws conclusions and offers in Chapter Seven, learning around how the model of ‘wise city governing’ may bridge the sustainability aspiration-action divide.

6.2 Focus Questions 1 and 2

1. *To identify where the NZ local governing modernisation effort sits when compared to the European Union/United Kingdom (EU/UK) experience.*

Stoker’s discourse on local governance and the associated EU/UK time line (Stoker 2011 18) served as a comparative foundation for setting a time line analysis of New Zealand’s (NZ) own local government philosophical shifts (Bush 1983; Naschold 1997; Norton 1994; Scott *et al.* 2004; Sutch 1956). The two sets of data clearly show that the three features of the local governing landscape are that:

- a) The NZ local government’s modernisation pathway has occurred and continues to sit well behind the EU/UK modernising transformational experience in terms of the comparative transitional time frame (Chapter Two; Tables 4.1, 4.2),
- b) NZ’s modernisation effort has manifest as the corporatisation of local government, which differs markedly to the EU/UK focus of an ecological modernising framework (Appendix L), and

- c) There is a strong indication that the institutional transformation across the three eras of local governing – as described by Stoker – is mixed and incomplete within many NZ Authority organisations (Chapter Four and Five findings).

These three features of the local governing landscape pointed toward the existence of four probable conditions, as summarised below:

- i) A disconnection within the policy-action continuum (Ham and Hill 1984),
- ii) A poor level of institutional capacity within, across and between the Authority organisation (Evans *et al.* 2006),
- iii) A low civil engagement level (Evans *et al.* 2006; Stoker 2011), and
- iv) A highly centralised legislative prescription with a low level of associated resource support including time, for meeting transformational outcome expectations (Naschold 1997; Scott *et al.* 2004).

The research then, aimed, via the exploration of Focus Question 2, to offer an institutional perspective to the above preliminary findings.

2. To discover what the NZ mid-sized city Authority's organisational perceptions are toward their current level of sustainability aspiration-action continuum success, and what, if any, barriers to transformational progress are also being experienced.

The literature review, a data source search with preliminary evaluation and a mid-sized city survey (via the 'policy ends' of each participating Council) was undertaken. The five key barriers set out below, reinforce the presence of the features and conditions that were identified within Focus Question 1.

6.2.1 Barrier 1 – The Sustainability Aspiration-Action Divide Exists:

The survey results indicated that the strategic and policy ends of the participating Council Organisations are reasonably informed around the concept of sustainability, but there was evidence that underlying barriers restrict the intended sustainable development policy from being authentically manifest within, between and across other areas of Council. This reinforces both the anecdotal evidence

(Appendix B) and the preliminary data source evaluations (Chapter Four) that suggested there was a sustainability aspiration-action divide within NZ mid-sized cities and their Authority organisations. While the survey data confirmed the divide existed, the data did not ask for detail as to what the underlying causes might be. This disconnection (condition i) was explored further within the case study portion of the research.

6.2.2 Barrier 2 – Sustainability on the Periphery of Business-as-Usual:

The level of CEO support for integrated sustainable development to be embedded within the City Authority (Figure 4.7) returned a near-zero response rate. There was a strong indication that the concept of sustainability as an overarching guiding principle remains thwarted by the more entrenched fiscal bottom-line imperative. Sustainability-orientation within many of the participating Authority's therefore, continues to sit as an optional extra, or side practise, to the majority of business-as-usual operations – although evidence of pockets of sustainable development success through a more active re-focusing effort, was evident from some of the participant organisations. Generally however, normative day-to-day practises were strongly favoured, despite sustainability strategy and policy intent. This institutional capacity and sustainable development underpinning (condition ii), was also explored further within the case study portion of the research.

6.2.3 Barrier 3 – The Impediment of Corporatised Government Model:

NZ local government through a highly centralised legislative relational framework has taken a corporatised approach to its modernisation effort. This corporatised direction is characterised by an environment of contestable funding and other market-force instruments (Appendix L), which are in opposition to the traditional guardian nature of government (Jacobs 1992; Taylor 2007), and indeed divergent with the concept of sustainability, as discussed in Chapter Two. An editorial review on ecological modernisation (EM) states that, “EM requires strong integration, with strategic and operational characteristics of government departments modified to the extent that their original character may be lost altogether” (Murphy 2000 3). The 1989 amalgamations definitely attempted to kick start the NZ government modernising effort along a clear

aspirational/operational transformation pathway (Appendix L). But as the DISCUS study of Evans *et al.* and Stoker's local governing discourse argue, while a modernising transformation is essential for effective and efficient governing within an evolved modern city context, it must have at its core,

- a) a highly engaged social and institutional capital capacity, and
 - b) an embedded and fully supported sustainability-oriented guiding principle,
- in order that, the evolving hybrid Authority is kept from corrupting itself (Evans *et al.* 2006; Jacobs 1992; Stoker 2011; Taylor 2007).

Further-more, the collective research highlights that any transition takes key supportive resourcing, in order to effectively embed the expected transformations. This study strongly indicates that while there has been policy synergy between the various spheres of government, this has predominantly been prescribed via a top-down and statutorily applied exercise. With the exception of a short period around the LGA 2002 reforms (Cheyne 2008), this approach is reflective of the true historical nature of the central-local government relationship. The survey results further suggest that time was not considered a critical factor by central government, for example, in the 1989 reforms. Instead the amalgamation process, as later offered by KI.1 within the case study, was, "...fast! Two years and they had collected nearly seven hundred units into seventy two Territorial/Metro and fourteen Regional Authorities" (KI.1 2012 1). Additional resourcing from central government in support of local government's transitioning to a viable corporatised-government hybrid model, has also not been consistent or cohesive, since the 1989 legislative amalgamation changes. Both policy and resourcing, has been subjected to political agenda changes, within the central and local government election cycles. From this understanding it may be viewed that this central-local government relationship stands as the 'real role model' for the local government-community relations, no matter what the current statutory expectations for structure and function are.

While central government impacts local government operations through this type of legislative mechanism, it has been evidenced through this study, that this model falls short in its provisioning of 'localised enablers' to implement those statutory

demands. Further-more, unlike the overseas experiences where local government has been held up, and supported as, the key promoters for local sustainability initiatives, the NZ experience has leant more toward a subtle undermining of local government, through a central unwillingness to authentically devolve and support local government in its transformation to a more sustainable model of governing. Central government has instead, tended to hedge its bets, by championing, for example, the third sector to build local social capital capacity, and a greater environmental awareness. This has been pursued through direct funding and other support mechanisms – albeit at an equally under-resourced level. This effective neutering of institutional capacity building, and a lack of attention to institutional transformation, is seen in the short fall of local government measurement and authentic transparency in accounting for local decisions or outcome benefits of proposed initiatives (Chapters Two and Five). Rather, the overall system appears to reinforce an accepted context of hidden agendas and ‘spin’ reporting, acting as a barrier toward creating a strongly valued and credible local government environment. This context has instead, produced a wide spread of social and institutional capital mistrust, and dissatisfaction of many Authorities political and management behaviours and performances (Appendix B).

This disconnection along with the institutional capacity and civil engagement (conditions ii, iii, iv) was explored in greater depth within the case study portion of the research.

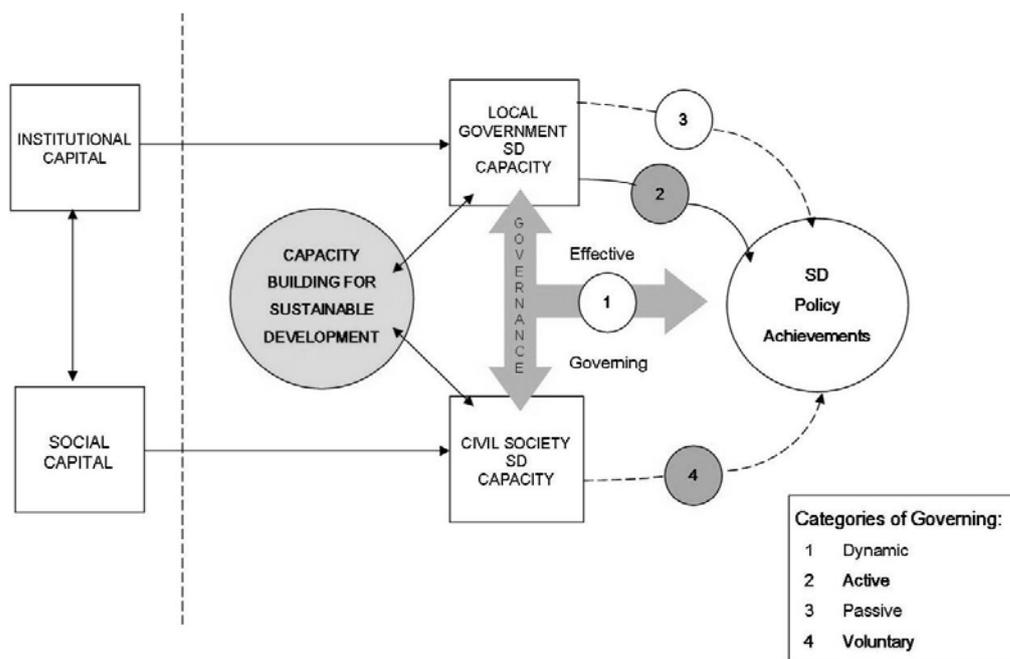
6.2.4 Barrier 4 – Dearth of Effective Dynamic Local Governing:

It is noted, that the study data highlighted, that while a low civil ‘political’ engagement level is considered to be present across many NZ cities, the social capital capacity was perceived to be reasonably high. More specifically the social capital connectivity and inter-sector support, was thought to primarily be due to the strength of the ‘grass-roots’ NGO/Volunteer network in NZ, rather than through any local government nurturing initiatives. Feedback recognised that while the third sector remains under resourced, it has never-the-less built strong direct links with central government agencies, commerce, and philanthropic foundations, and continues to increase its inter-relationships within, between, and

across, the broad range of organisational third sector actors. To a large degree therefore, this sector has been able to by-pass local government, tending to work at maintaining an ‘open door policy’, rather than a ‘close mutuality’ type of relationship.

From this study’s findings then, it may be said that a strong relationship between an equally dynamic institutional and social capital capacity, and therefore a flow-on to successful sustainable development policy-action achievement (Evans *et al.* 2006), is not present in any of the survey respondent’s cities. Further-more, all participant’s indicated that their cities sat within the Active or Voluntary categories (Figure 4.12) of the DISCUS model, as shown below (Evans et al. 2006 Figure 3: DISCUS model for Effective Governing 858).

Again, the institutional and social capital capacity (conditions ii, iii), was explored further within the case study portion of the research.



As Chapter Four - Figure 4.12 Results

6.2.5 Barrier 5 – Limited Confidence to meet City Continuity Challenges:

The survey respondent’s overall sense of preparedness to manage the complexities of their modern city’s continuity challenges, sits slightly above the mean average

with a two-way, narrow spread between all responses (Figure 4.9). Overall this did not evidence that a high level of confidence existed within the participant Authorities. In some respects – given the four barriers already discussed, this result is not surprising, but when considering the visibility on continuity planning within the disaster management discourse of the early-mid 1990’s (Box 6.1), this result seems to reinforce the inherent systemic features, conditions, limited successes and barriers that this study has identified to date.

Box 6.1: 1995 Disaster and Continuity Response Planning

A nation-wide push on NZ local Authority led ‘disaster and continuity response planning’ has only recently come to the fore again, spurred on by the impacts from the Christchurch earthquakes. This is despite, in 1995, the Earthquake Commission and Centre for Advanced Engineering with a wide range of government/commerce participants and global experts, undertaking an intensive three day workshop focused on the challenge of post-disaster city re-building. The focus of this and subsequent types of multi-stakeholder discourses of the day were clearly on building preparedness by way of having the right local government and inter-agency systems, and institutional capacity in place that could cope with managing the impacts of potential natural disasters – i.e. a strong continuity modality (EQC 1995).

Additionally, the survey results reinforce the argument that, many local governing institutions, continue to operate in silo’s, and are unable to wisely ‘join the dots’ for achieving a cohesive level of preparedness within their mid-sized cityscapes (Linnenluecke and Griffiths 2010; Lowndes 2005; Rees 2002; Rydin 2011; Shove and Walker 2010). The institutional capital capacity (condition ii) was explored further in the case study portion of the research.

6.3 Focus 3 / Case Study Question

While the survey findings evidenced that, the participant Authority’s confidence to managing their cities’ continuity challenges was limited, it did not explore what underlying causal factors and elements may be in place that create and maintain this position. The third study focus sought on investigate these deeper level aspects, and draw out a community perspective to the selected City’s current governing capacity, relative to the concept of sustainability.

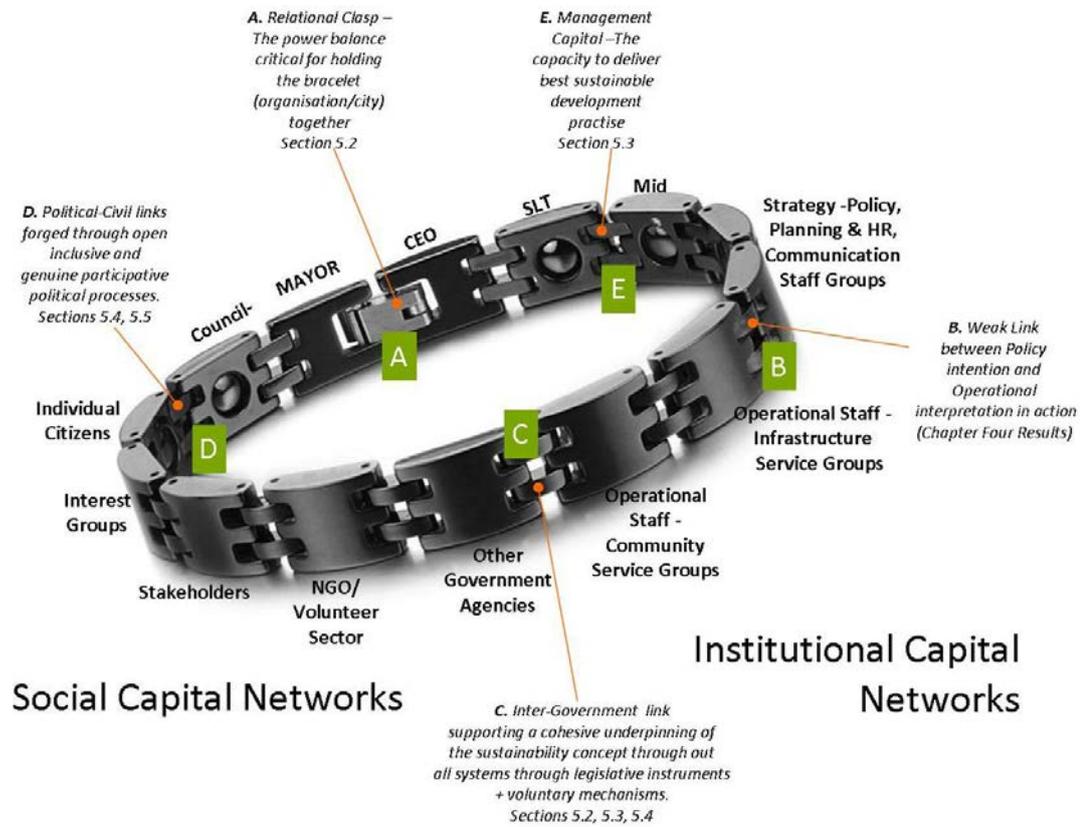
3. *To identify how and where, the selected city Authority's attitudes, behaviours and language use, impact on the collective institutional and social capital's capacity to deliver wise city governing.*

Hamilton City Council (HCC) was held up as being 'a shameful example' of local government in central government's justification for their '*better local government*' 2012 reforms. An unenviable position, considering Hamilton City is also recognised as a pivotal partner in the Upper North Island Strategic Alliance Group (Ministry of Business Innovation and Employment 2012), and has "aspirations to expand its metropolitan boundary and take on a unitary Authority model with both city and regional council functions" (Adams 2012). Yet, Hamilton City's Council Authority has been plagued by a raft of unwise decisions, and costly consequences. These range from, the V8 events fiasco, to elected representative squabbles, to an apparent poor manager capacity, organisational culture, and reputation – all played out, and made highly visible, through mainstream and social media channels (Appendix B; Figure 6.2 – organisational reflexivity and learning). Utilising the latter part of this study's proposition to contend that, a City Authority must have its own 'sustainability-house-in-order' before wise city governing can be successfully informed, formed, and embedded, a detailed case study was undertaken on HCC by way of gathering together information from the sustainability literature and a Hamilton City historical review, a Key Informant 1 interview and the analysis of HCC commissioned consultant review and other internal documents. This data combines with, Appendix B's tracked 2011-2012 'media-noise', three linked observations, and the Key Informant's 2-10 community interview findings to submit two prime discoveries of this case study.

6.3.1 Discovery 1 - Relational Weak Links:

Firstly, the combined data and evaluations (Chapter Five) evidenced that five points of relational weak links exist within the case study organisation. These reinforced the presence of conditions (i to iv) as indicated by the five city survey findings.

The weak links are noted as items A-E, and illustrated through the relational bracelet concept Figure 5.16.



As Chapter Five - Figure 5.16 Results

A Mayor/CEO Power Balance: The type of power balance within the Mayor and CEO relationship is critical to maintaining a healthy relationship between the City (as figure-headed by the Mayor) and the Authority (as figure-headed by the CEO). The LGA 2002 *'better local government'* 2012 reforms aim to address the current relational imbalance through applying legislatively increased 'powers of general competence'. However, empowering elected representatives, including the Mayor, without having a highly dynamic social capital capacity or the whole system institutions available to support a continuum of civil democratic participative engagement in their city's political processes, poses its own set of dangers – see for example, the Jacobs/Taylor discourse (Jacobs 1992; Taylor 2007).

B Policy Intent/Operational Interpretation: The sustainability aspiration-action divide was proven to exist within the five surveyed City Authorities, and is

strongly evidenced as being in play in the HCC Case Study – see 5.3 and summary comments 5.6.3. This first barrier (6.2.1), reinforces the second (6.2.2) whereby, the sustainability concept sits to the periphery of a fiscal business-as-usual operating focus. As discussed earlier in this thesis, the fiscal imperative demands an entirely different and opposing positional logic, than does a concept of sustainability as an overarching guiding principle for the City and the Authority organisation.

C Inter-government Cohesion and Support: The central-local government relationship is not supportive of enabling local government to mature from its traditional system. This is a historic preset and opposes modern city governing needs. By only dabbling at the statutory policy end, without the supply of the necessary time and resource provisions, central government has not enabled the local government environment for a full and authentic transitioning of its factors and elements. Rather, the corporatised local government model has a highly embedded acceptance to opaque and changeable measurement and reporting spin, which harks back to the Taylor/Jacobs hybrid-corruption discourse. This aspect currently does not appear to be recognised, or have priority on being addressed at either, the central or local levels.

D Political/Civil Participative Democracy: Democratic participative engagement processes demand that a highly dynamic social capital capacity, and a flexible, innovative, and adaptive institutional system, is available. Political representation has to encompass the multi-dimensional constituent needs in a genuine, open, and continuous way. There must be entry points that are both, formalised and informal, for capturing feed-ins, as well as feed-backs. Democratic engagement must be modernised ecologically, as the ‘corporatised-way’ is evidenced as being rigid, bloated and self-serving. This has ultimately been costly to the rate and tax payers of New Zealand. A low level of civil-civic participative engagement is evident within this case study, and is reflective of the response data gathered from across the five city survey. This aspect does not appear to be recognised, or have priority on being addressed at either, the central or local levels,

but was raised as a concern across both the ‘maker (commercial) and relater (third)’ sectors of the key informant interviews.

E Management Capital Capacity: Normative operating mind-sets hamper collective management capacity to; i) purposively create innovative, flexible and adaptive institutions, ii) build institutional and social capital capacity, iii) manage conflicting demands, and iv) deliver cohesive sustainable development policy-practise. The short term, fiscal imperative, continues to underpin decision-making in local government.

6.3.2 Discovery 2 -

Mixed/Incomplete Transitional/Transformational Governing Mode:

The second discovery was made via an evaluation back against Stoker’s, era of local governing table. Based on the full case study data, HCC is evidenced as currently operating within a mixed Traditional Public Administration and New Public Management Mode. As discussed in 6.2.4, an equally high level of institutional and social capital capacity, gained via a new community governing or similar type of co-governing model, is needed to meet modern city continuity challenges, manage the evolving hybrid nature of the transitioning governing system, and deliver integrated sustainable development success (Evans *et al.* 2006; Stoker 2011; Taylor 2007).

These characteristics are clearly not present in the current HCC government model. In terms of delivering a high level of democratic engagement, capacity building, and systemic health, achieved via well transformed local governing institutions and a strong institutional capital capacity, HCC’s governing characteristics have been found to be operating well below that needed for sustainability-oriented success – see the grey highlighted areas in Table 5.12 indicate HCC’s current operational characteristics. Additionally, this mixed and incomplete transition creates an environment of confusion, inconsistent messaging, and opens spaces, where an acceptance of informal rules-in-use (Lowndes *et al.* 2006) are frequently applied over the organisation’s rules-in-form (Hamilton City Council 2012j).

As Chapter Five - Extracted Table 5.12 Results

	TRADITIONAL PUBLIC ADMINISTRATION 'Taker' (Taylor 2007)	NEW PUBLIC MANAGEMENT 'Taker-Maker' (Taylor 2007)
Governing System Key Focus	<ul style="list-style-type: none"> • Manage Inputs • Service delivers in National Welfare State context 	<ul style="list-style-type: none"> • Overarching goal: Fiscal Resiliency • Embedded principle/aim: Greater efficiency ensure economy in guise of customer responsiveness • Manage Inputs & Outputs
Dominant Ideologies	<ul style="list-style-type: none"> • Professionalism • Party Partisanship 	<ul style="list-style-type: none"> • Managerialism • Consumerism
Public Interest Definition	<ul style="list-style-type: none"> • Politician/Expert Driven • Little Public Input 	<ul style="list-style-type: none"> • Individual Preference Aggregation • Demonstrated by Customer Choice
Account-Ability Dominant Model	<ul style="list-style-type: none"> • Top Down (Political and Administration) • Overhead Democracy – voting in elections, mandated party politicians, tasks achieved through control over bureaucracy 	<ul style="list-style-type: none"> • Top Down / Bottom Up • Separation of Politics and Management • Politics gives direction only • Managers manage / hands on control • Additional loop of consumer assessment built into the system
Preferred Service Delivery System	<ul style="list-style-type: none"> • Hierarchical • Departmentalised (Silos) • Self Regulating Profession 	<ul style="list-style-type: none"> • Private Sector • Tightly Defined Arms Length Public Agency
Public Service Ethos Approach	<ul style="list-style-type: none"> • Public Sector Monopoly • Service Ethos • Consistent across all Public Bodies 	<ul style="list-style-type: none"> • Public Service Ethos Scepticism (leads to inefficiency, inequities and empire building) • Favours Customer Service
'Higher' Government Tier Relationships	<ul style="list-style-type: none"> • Tightly Bound Partner Relations with Central Government over Delivery 	<ul style="list-style-type: none"> • Upward through Performance Controls • Key Performance Indicators • (can be open to misuse/abuse by Managers using as 'exiting' mechanism)
UK/EU Evolution Time Frames	1950-60's	1970's
NZ Evolution Time Frames	< 1989	1989-1992 2002-

Source: Stoker, 2011, 18, Table 1: Era of Local Governing - Reproduced with permission

Overall this research analysis highlights why the case study Council has experienced a limited capacity to stimulate *effective* and *efficient*, wise city governing within the Authority organisation and across the City. It also explains to a large degree, why the organisation is perceived to be fragmented and lacking in a cohesive aspiration-action continuum.

In assessing the full case study data against the Evans et al. DISCUS model for effective dynamic governing (Figure 6.1), HCC is currently sitting within the passive governing category – ‘demonstrates little or no capacity-building across civil sectors and the organisation, fails to demonstrate sustainable policy-action achievements.’

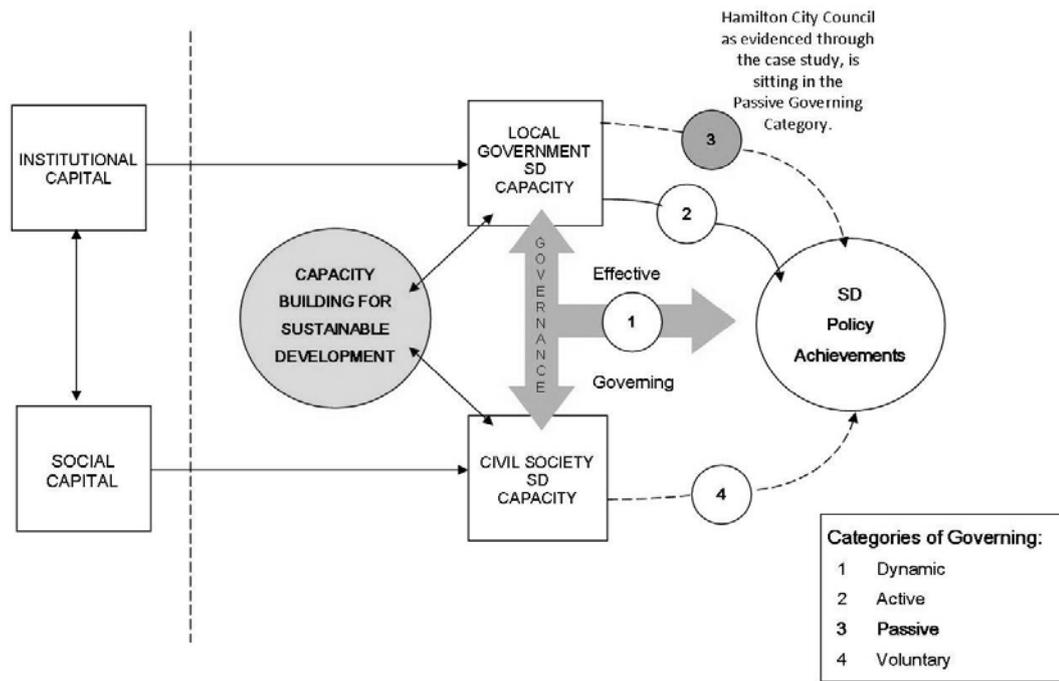


Figure 6.1: Hamilton City Council’s Placement within the Model

Source: Evans *et al.* Figure 3: DISCUS model for Effective Governing, 2006, 858 reproduced with permission.

These two prime case study discoveries, along with the features and conditions from the survey results and literature review, have been scrutinised for the deeper level causes of policy-action interruption. The literature points toward there being three main aspects that underpin a more consistent and cohesive wise city governing model:

- i) **four factors** of sustainability-oriented governing institutions,
- ii) **four elements** of sustainability-oriented governing institutions, and
- iii) **organisational attention** as a foundation for wise city governing.

6.3.3 Analysis/Discussion 1 –

Sustainability-Oriented Governing Institutions:

From the social capital perceptions of the case study (drawn out of the KI.2-10 interviews - Chapter Five, Section 5.5), Table 6.1 rates the attributes associated with the four factors of sustainability-oriented governing institutions (Chapter Two, Table 2.6), in order to calculate the current social perception of HCC’s

overall effectiveness in embedding wise sustainability-oriented governing institutions.

Table 6.1: Sustainability-Oriented Governing Institutions

FOUR FACTORS		Common Attribute Concerns	SCORE
1	Governing Leadership	1.1 Identifies and protects accumulated knowledge and experience	3
		1.2 Builds and delivers good decision-making	2
2	Adaptability and Innovation	2.1 Stimulates innovation, social creativity and experimentation	3
3	Interconnection and Diversity	3.1 Sustains social and natural foundations for adaption and renewal	3
		3.2 Identifies and enhances the lost renewal capacity needed for the next generation	0
4	Agility and Flexibility	4.1 Removes accumulated rigidities and impediments to achieving better sustainable development	2
TOTAL SCORE			13/60

The *effectiveness* score of twenty two percent (rounded percentage) indicates that HCC has an extremely limited chance of successfully achieving integrated sustainable development and supports the analysis undertaken through the Evans *et al.* effective governing model. Weak relational links (section 6.3.1) combined with mixed/incomplete transformational characteristics (section 6.3.2) and a low level of social capital connectivity (figure 6.1), work to obstruct the Authority to recognise crisis cues (see 6.3.5, figure 6.2), let alone move toward successfully strengthening its sustainability-oriented city governing institutions.

6.3.4 Analysis/Discussion 2 –

Seven Themes and Related Elements:

From a sustainability-oriented logic, and given that these collective links, characteristics, and factors, currently act as obstacles to achieving a high level of organisational and city continuity success, common impediment concerns around the ‘system elements’ have also been explored and discussed below. The KI.2-10 perspectives have highlighted seven problematic themes of shared concerns around HCC’s current institutional capacity. These themes and concerns have then been assessed against the four local government system elements of: Form, Function, Process and Practice. It is noted that, in this study Funding/Finance is

considered to cross between all four elements, but does not constitute a separate element of its own. This is reflective of the integrated conceptual model discussed in Chapter Two, Figure 2.5. The components of each system element, as determined within this study, are outlined below:

Table 6.2: Four Local Governing System Elements

	FORM (S)	FUNCTION (F)	PROCESS (P)	PRACTICE/ACTIVITY (A)
INSTITUTIONAL SYSTEM ELEMENTS	Structures: - Organisational - Relational * Political * Societal - Resourcing (<i>incl. Funding</i>)	Purpose: - Legislative Act/ Statute - Ethical	- Communications (<i>incl. IT Platforms</i>) - Decision-making - Planning (<i>incl. Finance/Funding</i>) * Strategic * LTP * Annual - Policy-making	- Mngt of Resources (<i>incl. Financial/Data & Human/Infrastructure Capital</i>) - Project Planning - Implementation/ Service Deliveries - Measuring - Reporting - Evaluation - Improvements/ Recommendations
	The concept of sustainability embedded as the Guiding Principle across the four elements and their instruments for capturing Attentional Cues of the Authority/City for Whole System Continuity.			

So, in utilising this referencing framework, and the seven themes, an analysis of where the elemental impediments are currently perceived to be occurring has been tabulated against the collective key informant response data (Table 6.3).

Table 6.3: Themes and Related Impaired System Elements

(KEY: √ indicates where elemental improvement is required)

THEMES	KEY CONCERNS	System Elements			
		S	F	P	A
Trust / Buy In	• Trust that the city's networks can work for the greater good when not strangled by predetermined decisions;	√	√	√	√
	• Real time reporting on progress through interactive IT vehicle (increased transparency);			√	√
	• Problem ID and solve in participation with community;	√	√	√	√
	• Demonstrate a wiser balancing of penalty/infringement versus reward/enabler strategies and ensure these are put into practise with integrity.			√	√
Valuing The Network	• Shift Authority attitude of off-loading the 'mahi' onto commerce and community - work to a more equitably shared resource approach;	√	√	√	√

	<ul style="list-style-type: none"> Sponsor and run a free access, open source data base of who's doing what, where, for what value and to whom in the city – cross linked network base with a rich search facility. 		√	√	√
Multi-directional Feeds	<ul style="list-style-type: none"> Effect a 'democratic dynamics' program to educate and inform citizens of their rights and how to get/be involved in their city's political decision-making or participatory future and in conjunction with stimulating the wider discourse on sustainability in the city; (Lead by example) 	√	√	√	√
	<ul style="list-style-type: none"> Build authentic multi-point participative engagement opportunities; 	√		√	√
	<ul style="list-style-type: none"> Create an Authority climate where Feed Ups and Feed Downs are acceptable and source direct; 	√	√	√	√
	<ul style="list-style-type: none"> Make informal and formal mechanisms available to hear citizens, stakeholders and interest groups Feed Ins and Feed Backs. 	√	√	√	√
Opening Up/Opening Out	<ul style="list-style-type: none"> Open invitations to participate are extended out through institutional and social networks and this is a SOP; 	√	√		√
	<ul style="list-style-type: none"> Back the staff by allowing them to do their job with integrity – clean up the accepted climate of diversion and unacceptable management behaviours. 	√	√	√	√
Big Stuff/Small Stuff	<ul style="list-style-type: none"> Build culture of listening, hearing and understanding the real local problems; 	√	√		
	<ul style="list-style-type: none"> Deliver credible, reliable and genuine data in a timely way; 			√	√
	<ul style="list-style-type: none"> Resolve big stuff with integrity and from an open and collaborative methodology; 			√	√
	<ul style="list-style-type: none"> Deliver the same authentic level of transparency, accountability and performance the Authority expects from its partnerships and CCOs. 	√	√	√	√
Core Function - Public Service	<ul style="list-style-type: none"> Improve institutional capacity from how to manage conflict through to whole systems improvements within form, function, process and practice; 	√	√	√	√
	<ul style="list-style-type: none"> Stop using commercial sensitivity to hide accountability and avoid responsibility; 		√		
	<ul style="list-style-type: none"> Minimum compliance is not acceptable for a sustainability-oriented city; 	√		√	√
	<ul style="list-style-type: none"> Proactive lobbying to Central Government to deliver policy that supports the concept of prime system continuity. 	√	√	√	√
Reframing Value	<ul style="list-style-type: none"> Build a dynamic and on-going discourse around what a 'Sustainable Hamilton' means from everyone's viewpoint; 	√	√	√	√
	<ul style="list-style-type: none"> Embed sustainability-orientation as the guiding principle and establish an enquiry-based organisational culture; 	√	√	√	√
	<ul style="list-style-type: none"> Build capacity for delivering better cohesive sustainable development success. 	√	√	√	√
TOTAL SCORES		17	17	20	21

From the above case study table, the results indicate that all four elements from a sustainability-oriented local governing perspective currently require improvement, with process and practice needing a slightly higher degree of attention, ahead of structure and function – see 6.3.5 organisational attention also. Additionally, within the ‘functional element’ score, all 17 items are ‘ethically’ rather than ‘legislatively’ oriented. This suggests that there is a strong desire that HCC moves beyond meeting minimum legislative compliance, and stretch itself and the city, toward a far greater authentic ethical application.

This analysis is interesting also, in light of the central government’s proposition statements used for justifying the LGA 2002 *better local government* 2012 reforms (Appendix C), and in particular, the first phase directives; 1. refocused scope (function); 2. fiscal responsibility (across all four elements and reinforcing a capital accumulative logic); 3. increased governance power (form); and, 4. streamlined reorganisation procedures including potential amalgamation and ward changes (form). The central government’s argument for all of these first phase measures appears to be founded on heavily anecdotal evidence and broad generalisations (Appendix C; Harris 2012). In focusing on a narrow financial, rather than, the wider ecological cost/benefit, the reforms ignore equity considerations, and in particular, those of intergenerational equity.

The ‘*better local government*’ 2012 reforms do not appear to address the fundamental system failures of local government’s institutional design, or its associated weak relational links, and this approach differs markedly from the EU/UK experience as Lowdnes and Wilson make comment,

...the outcome of institutional re-orientation has created a broad and more interconnected governing framework, where institutional design and associated resource support has been of particular importance to the shaping of sustainable development and mobilising both social and institutional capital (Lowdnes and Wilson 2001 643).

Without a fundamental whole system redesign of local government, the NZ tax and rate payers may perhaps get a more ‘*expedient*’ local government from the

2012 reforms, but it remains highly questionable, as to whether, *'better'* local government – from a sustainability viewpoint – will be the result of this partially problematized, fiscal reform focus. The NZ public are far more likely to see a continuation of “a local government unmoved” (Lowdnes 2005 291) in its everyday Authority system.

6.3.5 Analysis/Discussion 3–

Organisational Attention:

As HCC declined to participate in this study, it is not known if the problematic five weak links will be addressed within the HCC Senior Management Team’s 2012 comprehensive *master change plan*. However, in order to devise this type of master plan, it would be natural to assume that some form of organisational learning has first taken place, and that this learning has gone beyond a sole reliance on consultant reports.

In order to assess the likelihood and extent of organisational reflexivity, an analysis of HCC, through the work of high reliability organising (for example, Vogus 2011; Vogus and Welbourne 2003) and organisational attention (for instance, Rerup 2009; Weick and Sutcliffe 2006) was undertaken. Based on the entry crisis point of the V8 Events, the HCC case study data is summarised into the reflexivity flow chart shown in Figure 6.2 (Rerup 2009 876-893). From the collective case study material there appears to be three pre-event context features of the organisation that worked to shade Council’s analysis, justification, and decision-making around the proposed V8 event.

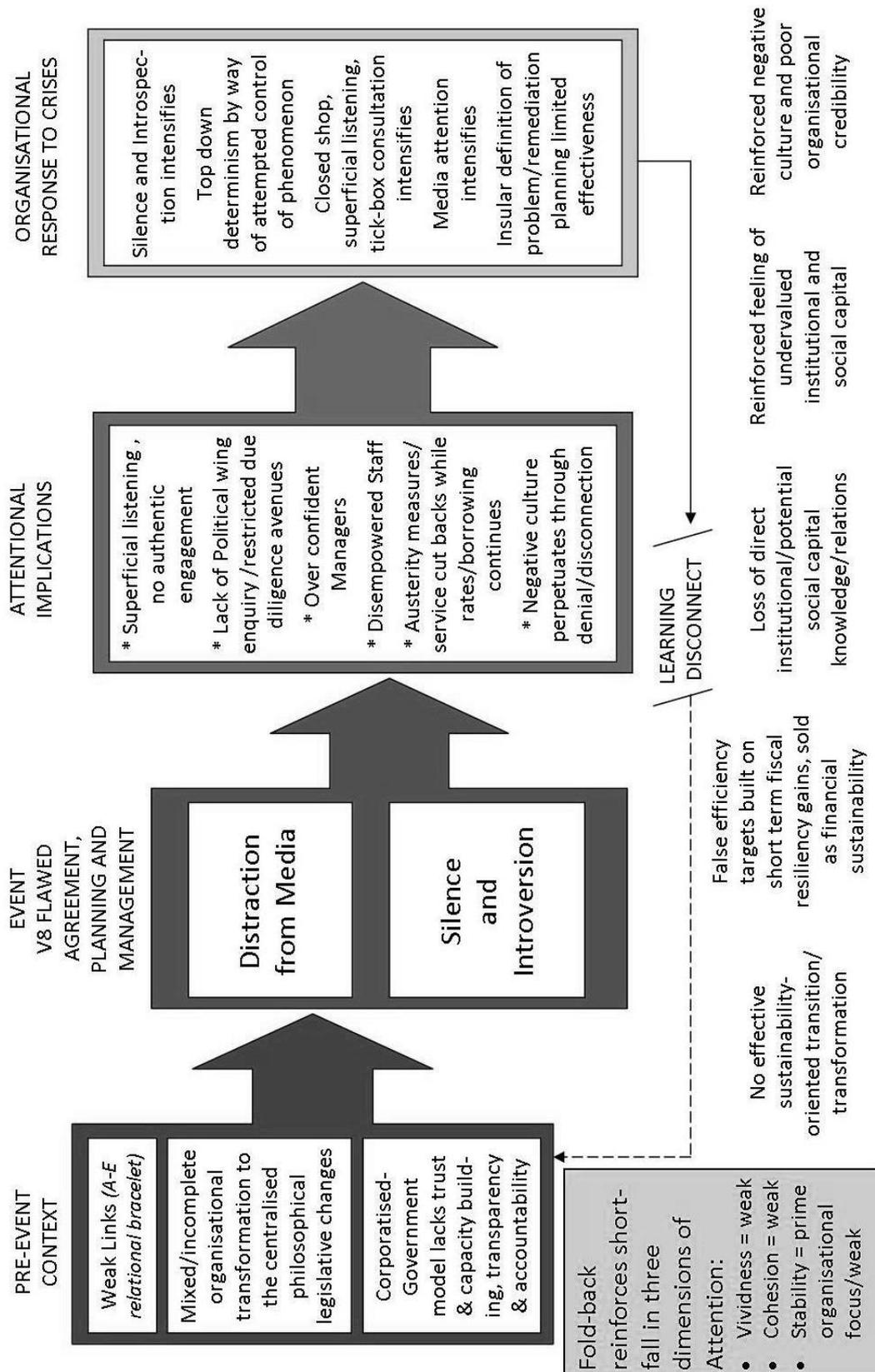


Figure 6.2: HCC Organisational Reflexivity and Learning from the V8 Events. Source: Rerup 2009 881 Figure 1, Model reproduced with permission.

When the results of the collectively flawed governance/management of the V8 event, appeared in the mainstream and social media, two reactive organisational responses occurred. Firstly, the organisation swung into a damage control, with a public relations exercise based on deflection, and that resulted in further restriction of information flow and transparency (Hamilton City Council 2012f). Secondly, silence and introspection pervaded the organisation, as decision-makers ‘ducked for cover’, and a fear of doing/saying the wrong thing swept through the organisation – this seemed to be compounded by the convergence of the organisational review roll-out programme, and the tightening of budgets, which signalled inevitable job cuts.

The attentional implications of this reaction to the event crisis, resulted in further reinforcement of the pre-event features, evidenced within this case study (Chapter Five) as involving:

- i) a superficial listening, and use of non-authentic consultation mechanisms to placate, rather than integrate, connect, and capacity build - internally and externally to the organisation,
- ii) an un-enquiring political wing who utilised a rules-in-use approach, by taking manager recommendations on trust – a situation compounded by the restricted access to lower hierarchy staff, limiting the capacity for due diligence through direct upward-downward information flow,
- iii) over-confident managers, who work the system spaces for self-gain and/or empire building – evidenced by strong silo power-bases, poor analysis/business case preparation and decision-making, hiding behind positions to avoid accountability, as well as a high reliance on informal, rules-in-use practices,
- iv) a disempowered, stressed, bullied and harassed staff, where questioning directives, is highly discouraged and frequently penalised through a subjective and inequitable performance-pay review process - leading to a high staff churn, with associated recruitment/embedding costs, and a low reputation as an employer of good standing,

- v) inefficiencies and ineffectiveness of the whole system, leading to the need to apply austerity measures to reign in inflated budgets – this fiscal tightening included, public service delivery reductions, lower tier staff cutbacks, and asset sales within a downturned market environment. Meanwhile, the upper hierarchy bonus payments and salary increases, rates increases and borrowing continued – the latter two, being needed for meeting commitments to long deferred and now urgently required infrastructure development,
- vi) focus on short term growth and development tactics, to offset the immediate cash flow problématique, while medium term equity and social/natural ecological indicators, and long term intergenerational equity strategies are largely ignored,
- vii) a negative institutional culture is perpetuated, and reinforced, through this framework and folds back on itself to manifest a continued shortfall in the three organisational attention dimensions of; stability, vividness and cohesion (Rerup 2009), and lastly,
- viii) the resulting preoccupation with managing potential risks inhibits any potential success in advancing the four governing elements (Table 6.2) into any meaningful, institutional re-design that may strengthen the four governing factors (Table 6.1).

6.4 Summary

The key aspects from this combined literature review, survey and case study research, may best be summarised as three prime weak zones: Institutional System, Relational Links and Organisational Attention.

6.4.1 Five Relational Weak Links:

- Mayor/CEO Power Balance:
- Policy Intent/Operational Interpretation:
- Inter-government Support
- Political/Civil Democracy
- Management Capital Capacity

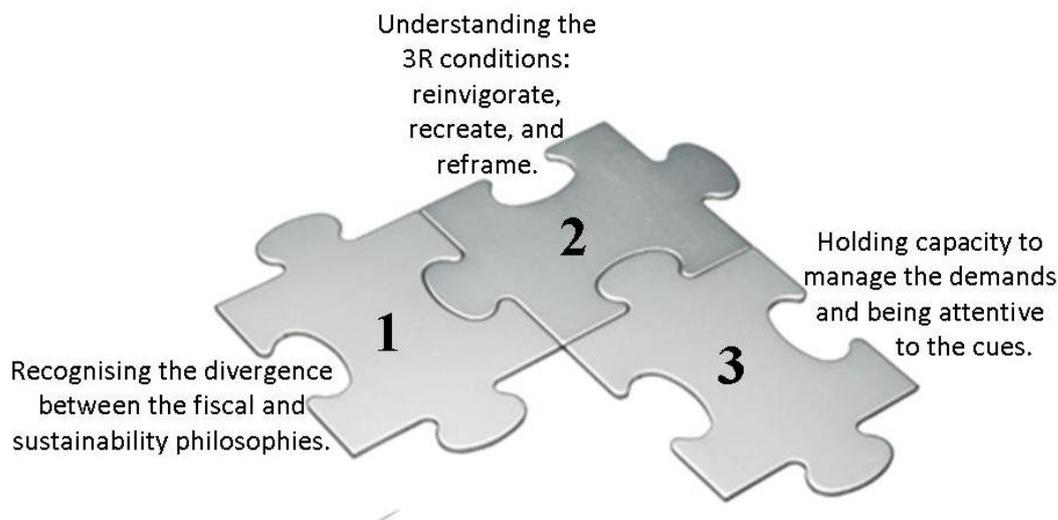
6.4.2 Four Institutional System Weaknesses:

- | System Elements: | Inhibits System Factors: |
|--------------------|-----------------------------|
| - Structure/Form | - Governing Leadership |
| - Function/Purpose | - Adaptability/Innovation |
| - Process | - Interconnection/Diversity |
| - Practise | - Agility/Flexibility |

6.4.3 Attentional Weaknesses:

- High Level of Missed Cues and Low Organisational Reflexivity
- Inability to Openly Deal with Conflict and Negative Repercussions
- Low Level of Organisational Learning

These combined weak zones, serve to undermine the building of capacity within the three core dimensions of modern city governing leadership:



From Chapter Two: Figure 2.9: Three Core Dimensions of Modern City Leadership

Through this study's research and discourse, conclusions are drawn and in the final Chapter Seven, learning insights are shared toward the process of moving toward 'Wiser local Govern-ing' in the NZ mid-sized city.

seven

study conclusions

7.1 Literature Overview

The previous chapters have presented the results of this study, in which sustainability in New Zealand (NZ) local government was explored via a social constructionist, whole systems and mid-sized city perspective.

Through this lens the literature shows that in order to preserve the continuation of the prime system (the earth/ecosphere – Table 2.1), all secondary (human constructed) systems must be embedded with intrinsic qualities of flexibility, innovation and adaptability. This is necessary so that these human constructs may effectively respond to the continual, dynamic interplay between the prime and secondary systems – see Clayton and Radcliffe 2010 for example. Currently however, the democratised world is firmly captured within an entrenched capitalist accumulative logic. Here, strong path dependencies at the local, national and global levels that hold in place and perpetuate this reasoning, tending to produce much slower, reactive and more rigid sets of sub-systems (Brown *et al.* 2011; Radjou *et al.* 2012). Therefore, this deep-rooted fiscal imperative may be viewed as being on a divergent path from the real concept of sustainability, and as modern humanity continues to migrate and cluster to sites of greater size and density (Bettencourt *et al.* 2007), this divergent path is accentuated by the associated increased risk of conflict and/or continuity weaknesses and failures (Bulkley and Betsill 2003; Rees 2002; Robbins 2012).

Contrary to this dominant globalised logic, these local places and spaces of modern complexity necessitate that evolved systems for governing human patterns of demands, as well as being more vigilant to the cues of potential continuity failures, are guarded with a much greater wisdom than has previously been employed. This duty of wise guardianship cannot reside in or be dominated by one single sub-system/capital sphere. Rather, the mantel of responsibility has to be equally shared within, between and across all human organisational systems. And it must do this in consideration of both, present and future intergenerational

equity. At the local level then, achieving a model of wise city governing requires, that the two spheres of government (institutional capital and their institutions) and governance (social capital) possess an equally dynamic capacity, in order to work together, to effectively and efficiently identify and solve local problems (Evans *et al.* 2006; Stoker 2011), and where applicable, upscale those solutions nationally or internationally to others who may share similar contextual problems (Radjou *et al.* 2012).

The pre-study anecdotal symptoms however, suggested that the opposite context was present, and further that a possible sustainability aspiration and action divide existed within many NZ mid-sized cityscapes. This divide appeared to place limitations on achieving integrated sustainable development success and tended to produce instead, a raft of less than satisfactory behaviours and outcomes (Appendix B). The research commenced therefore, by considering why this may be so?

NZ local government, has for a long time been recognised as a creature of statute, with the Local Government Act (LGA) 2002, its current amendments, its predecessors and a number of other quasi-constitutional Acts, providing the foundation for its pragmatic existence. Originating within this type of functional statutory system, it may be argued that the lack of a clearly defined, written, local government constitution, has historically resulted in a shortfall of purposive institutional design (Chapter Two; Lowndes 2005; Lowndes *et al.* 2006; Lowndes and Wilson 2001), as well as the continuation of unresolved tensions and imbalanced partner relations with its central government counterpart, (see for example Bush 1995; Cheyne 2008; Hess and Sharpe 1990; Palmer and Palmer 2004; Scott *et al.* 2004). The underpinning of Local Government's more Anglophone tradition (Appendix L) may also be viewed as reinforcing the NZ civil society's pragmatic and laid-back approach to its democratic involvement – especially at the local level. These features suggest local government in NZ, sits rather uncomfortably between a highly centralised legislative control, and a somewhat laissez-faire relationship with its local citizenry, while holding a reasonably high level of autonomy through its fiscal and corporatised arrangements (see for example Cheyne 2008). Within this context then, it seems

the NZ local government environment was expected to modernise itself through an intense, two year corporatised amalgamation program via the LGA 1989 changes; then open itself out some thirteen years later to having an integrated sustainable development planning focus, through the LGA 2002 change; only to head back towards a tightening of core functions once more under the requirements for the LGA 2002 Amendment Act 2010 and the '*better local government*' 2012 reforms. These types of pendulous philosophical changes (Appendix L), possess deeply opposing natures which, from a whole system perspective, would necessitate a complete re-orientation of each local Authority's overarching organising principle, as well as see fundamental changes within their four elements of structure, function, process and practise. Yet not only has this systemic reorganisation not taken place, but the highly centralised legislative impositions keep occurring without adequate front end engagement or the follow through resourcing needed to ensure that intentional integrity is maintained throughout any associated transformational process. From previous in-situ observational experience, it was therefore unclear whether the '*better local government*' 2012 reforms would resolve, what appeared to be a far deeper disconnection between the sustainable aspiration at one end of Council business and the reality of a business-as-usual interpreted action at the other end.

Motivated by this insight and founded within the preliminary readings, this study's proposition asserts that, if the model of 'wise city governing' is achieved through the two equally interactive spheres of government and governance, then any deficiency in one or other of these spheres must have a limiting impact on the collective capacity of the city to flexibly innovate and adapt over time and therefore reduce the degree to which cohesive sustainable development success may be achieved. Further-more, as key local promoters for a more sustainable future, city Authority organisations must have their own sustainability-house in order before wise city governing can be successfully informed, formed and embedded. The aim of this study then, was to explore, in what ways might the model of wise governing, bridge the apparent sustainability aspiration-action divide within the New Zealand mid-size cityscape.

7.2 Research Overview

Chapter Six presented the summary of findings from the Five City Survey (Chapter Four) and City Case Study (Chapter Five) results that were built around the four research focus questions linked to the study's proposition and aim.

The city survey research comprehensively evidenced, that firstly, the sustainability aspiration-action divide exists within all five of the surveyed city authorities. Secondly, results found that integrated sustainable development tends to sit at the periphery of all five of the city organisation's operations and that a fiscal business-as-usual approach prevailed despite the majority having a sustainability strategy and related policies in place. Further the survey participant's felt that this condition was magnified by a lack of political and/or administrative will to embed the concept of sustainability as the overarching organising principle for the City and the Authority. However, experience from two Authorities also highlighted that where either the CEO or the Mayoral support had been strong, improved sustainable development outcomes and greater cross organisational synergy had resulted. Thirdly, the survey results also highlighted that the authorities felt only averagely prepared to manage the accumulative complexities of their modern city's continuity needs. This reinforced the nil data response to the 'dynamic governing' quadrant of the Evans *et al.* DISCUS model, which in turn, reflected the nil 'participatory civic culture' result based on Stoker's local governing work. These triple blind results confirmed that a low to moderate perceived level of institutional and social capital capacity exists across the five participating city/city organisations. Lastly, the findings indicated that the corporatised government hybrid model does not necessarily offer the best system for the pursuit of the concept of sustainability – especially when there is a low institutional and social capital capacity and a suspected incomplete governing institutional transformation.

The survey results presented the perceptions of the five participating city authorities via the strategic/environmental end of Council. It was important to this study to gain an administrative rather than a political perspective toward the concept of sustainability within the City Authority environment. As the strategic/environmental units, network within/across their organisation and

across/between elected representatives and the city’s communities, it was possible to secure a comparative range of results for presenting this mid-sized city Authority viewpoint. However, while this survey provided this snapshot of current local governing perspectives, it did not seek deeper casual data as to what factors and elements inhibit or restrict ‘wise city governing’ to take place. This deeper exploration was undertaken via a case study methodology.

The selected city case study findings firstly allowed a deeper understanding of the preliminary evaluation of the different modernising approaches between the EU/UK’s ecological focus and NZ’s corporatised methodology (Appendix L). In turn, this supported the cautionary Jacobs/Taylor discourse around the potential risk of continuity failure associated with combining the natures of government and commerce within a governing hybrid system. The case study additionally evidences how the hybrid system may become corrupted from its original intent, heightening risk, when a condition of a highly disengaged citizenry and staff is present. Secondly, through this study’s relational bracelet concept, five weak relationship links are evidenced as stemming from this corporatised governing system and as summarised in Figure 7.1.

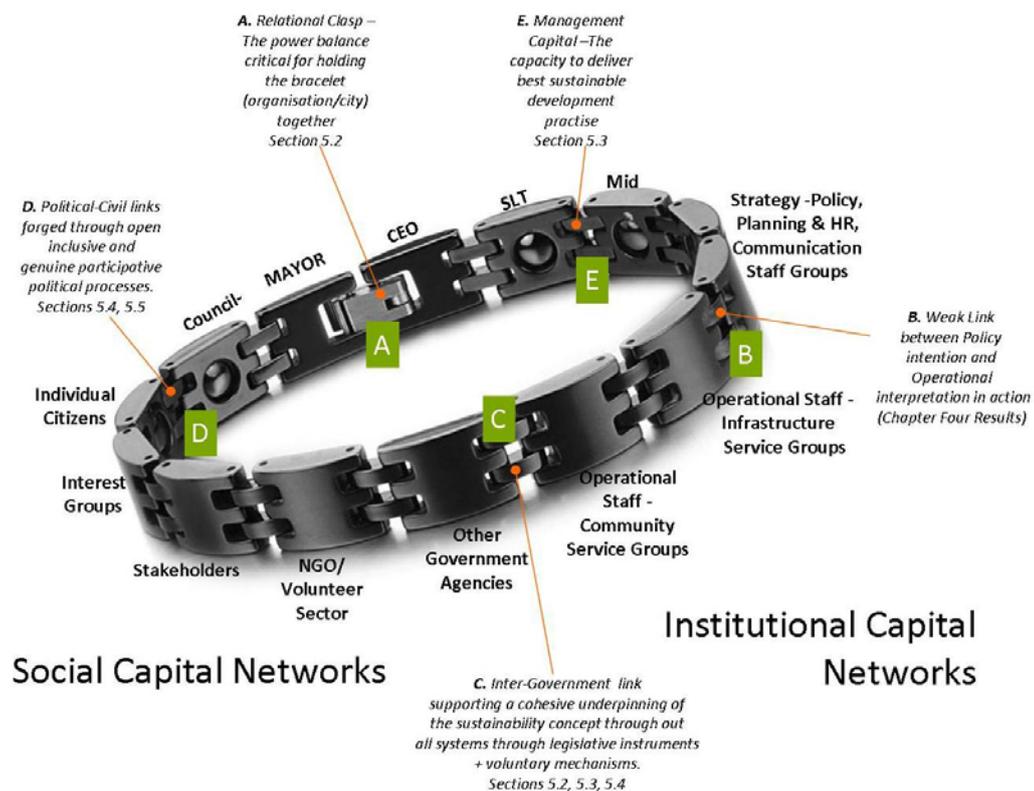


Figure 7.1: Potential Relational Weak Links in City Governing Environment

Along with these relational weaknesses, a mixed and incomplete transformational governing mode was verified as being in play for the case study Authority organisation. Correlating evidence, provided via the documents review, observations and key informant interviews, substantiates that the case study Authority organisation has not transitioned its institutions and relationships anywhere near the ‘networked community governing’ model (Stoker 2011) required for an effective participative and highly engaged operative style (Evans *et al.* 2006). Further-more, it was found that the existing organisational silos had a mix of characteristics found within the traditional public administration and new public management models (Stoker 2011). These findings highlight why the case study Council has experienced limited capacity to stimulate *effective* and *efficient*, wise city governing within the Authority organisation and across the City. It also explains to a large degree why the organisation resonates of fragmentation and a lack of capacity for securing a cohesive sustainability aspiration-action continuum. The case study Authority remains sitting firmly entrenched in the divergent fiscal and perpetual growth imperative, despite the liberal use of the word ‘sustainability’ sprinkled through the aspirational, strategic and policy statements and reporting publications.

The analysis and discussion of these two key findings, confirmed that the four institutional factors of wise city governing – governing leadership, adaptability/innovation, interconnection/diversity and agility/flexibility – are currently poorly understood, embedded and promoted within, between and across the City Authority organisation. The analysis also signalled however, that these factors are reasonably well understood and used across the City’s commercial and third sector key informants group. Further analysis and discussion, also suggests that the Authority requires a significant and fundamental re-design of all four of its system elements, with ‘process and practise’ needing a slightly more urgent focus than ‘form and function’. Additionally, of the 17 functional elements analysed, all were ethically focused, rather than legislatively based. This indicates that the interviewed city representative groups, desire the Authority to stretch beyond its minimum legislative operative mode. This latter analysis is interesting in respect of the ‘*better local government*’ LGA 2002 2012 changes (Appendix C), as the first phase of the reforms, focus strongly on fiscal efficiencies manipulated

through legislative form and functional changes. Described in the proposal as: 1. refocused scope (function); 2. fiscal responsibility (across all four elements but reinforces the capital accumulative logic); 3. increased governance power (form); and, 4. streamlined reorganisation procedures including making way for amalgamation and ward changes (form). From this study's results, there is strong indication that limited success will be gained through these reforms, relative to the short and long term costs to current and future ecologies.

The final analysis and discussion of the case study looked at organisational attention of Rerup and the high reliability work of Vogus. The case study data was run through a reflexivity flow chart, using the City's V8 Event as the entry point for this analysis. The result (Chapter Six, Figure 6.2) highlights how the accumulative effects of poor governing conditions, factors and elements, restrict institutional learning, organisational reflexivity and reinforce a path toward institutional and social disjuncture and unsustainability. The entire case study and survey findings reinforce the importance and urgency of embedding an overarching sustainability-oriented guiding principle for public organisations – especially City Authorities – and attending to a purposive institutional redesign that may move the City and its Authority toward wiser governing.

7.3 Ladder of Wise City Governing in New Zealand

From the literature review, a full matrix of sustainability-oriented values for wise city governing has been constructed – see Appendix P. The eight progressive stages of governing styles from this matrix were then overlaid onto Arnstein's ladder of participation model to evolve an equally simplified new ladder of wise city governing. Rungs one and two represent the traditional blue business-as-usual fiscal orientation in organisational thinking and action. Rungs three to five are representative of a growing sustainability awareness but lack an ability to take the aspiration into authentic action, producing instead a pale green-wash that actually tends to undermine the true concept of sustainability. The rungs six to eight represent a greater shift toward wise governing, which has an overarching organising principle that enables the bridging of the sustainability aspiration-action divide. From the survey and case study's collective findings, the NZ mid-sized city governing landscape is evidenced to be predominantly sitting within the

tokenism rungs (three to five), with possibly one of the surveyed cities purposively stretching more toward rung six (Figure 7.2).

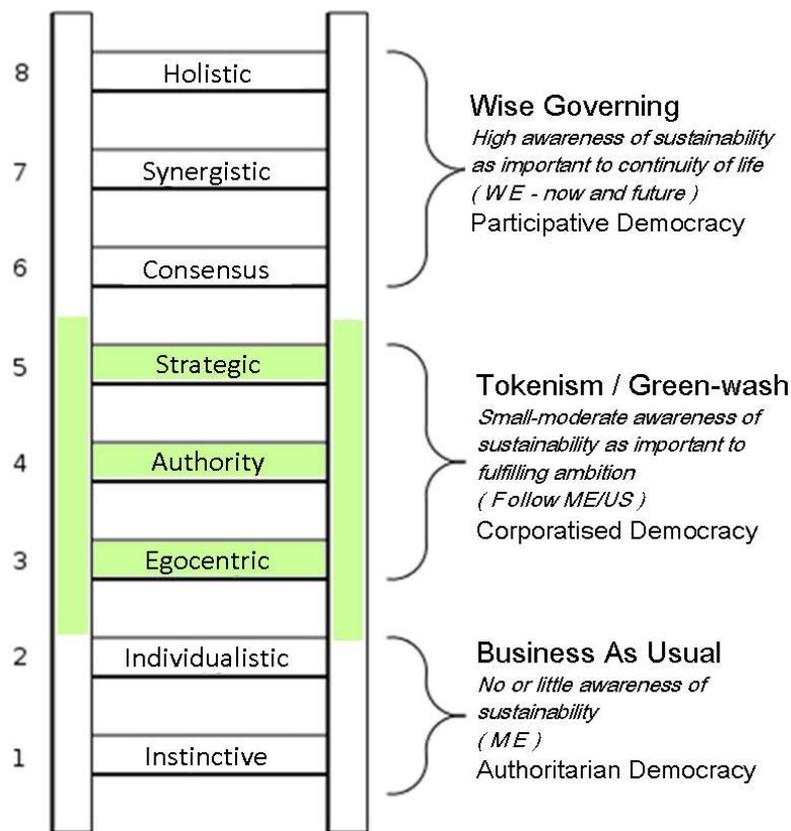


Figure 7.2: Ladder of Wise City Governing

Evolved Model from Arnstein 1996; Ladder of Participation Reproduced with permission

7.4 Concluding Remarks

Seating this study within a whole systems, social constructionist theory and selecting to orient the research toward eking out a collective institutional and social capital perception, has allowed the research results to reflect the every-day sustainability considerations of people living and working within the NZ mid-sized cityscape. This is an important feature of this research in two ways. Firstly, because the mid-sized city landscape has been under-researched in NZ to date and secondly, because previous research appears to have been primarily focused toward the political, peak body or higher level public administrative viewpoints, or been representative of the larger NZ city voices. In this way, this study aimed to scratch below the symptomatic concerns of many mid-sized city authorities (Appendix B) – especially those that have close rural heritage relations – in order to better understand the broader context, as well as the specific phenomenon that

currently inhibit successful integrated sustainable development. As a result the collective city survey and case study findings have evidenced serious whole system weaknesses within the city Authority landscape. Further-more the LGA 2002 '*better local government*' 2012 reforms, appear not to be addressing these to the level required for remediation and strengthening. More importantly, as seen by the case study, these weaknesses work to limit the achievement of cohesive sustainable development success and inhibit moving the Authority, the City and the Country toward embedding the concept of sustainability as a coordinated overarching local-national organising principle. From a wise city governing viewpoint, the mixed and incomplete institutional transformation, along with limited focus on institutional and social capital capacity building, has also left the NZ corporatised-local government environment exposed to a variety of potential continuity failures.

The collective findings support the research histories of, for example Stoker 2011, who discusses the eras of local governing and through the comparative literature of Naschold 1997; Norton 1994; Scott *et al.* 2004, and so on, finds that the NZ transformational model is at least 20 years behind the overseas comparatives. Stoker and other (Appendix L) discourses also highlight the differential between the international ecological modernisation approach and NZ's corporatised modernisation model. This collective body of findings bear out the concerns expressed by Jane Jacobs' 1992 research and Taylor's 2007 discourse, around the dangers of hybrid government manipulations. And this links with Evans *et al.* 2006 DISCUS study, whereby a high institutional and social capital capacity was evidenced as being a prerequisite for attaining a greater level of sustainable development success, as originally expressed within Agenda 21 and Local Agenda 21. In the case study findings particularly, a low level of institutional capital capacity and a deficiency in institutional transformation has produced a climate of organisational fragmentation, less than advantageous management methods, acceptance of unauthentic consultation, use of low risk, short term, tick boxing instruments and a low civic and organisational level of participative engagement. The overall result being: 'unwise city government' that rests at the diametrically opposing end of the 'wise city governing' model that has the concept of sustainability as its overarching guiding principle.

This latter model is represented by its seven strategic components Figure 7.3 – see Appendix Q for the fuller detail of the strategies, tactics and benefits.

The consequence of not moving with greater purpose to a wise city governing model is the perpetuation of an unsustainable system, where the short term fiscal imperative, outweighs longer term concerns around safeguarding the natural/human ecologies.

The current rigid, slow and non-adaptive system elements of form, function, process and practises, heighten waste and degradation, increase costs to rectify the outcomes of dysfunction and amplify the risk of continuity interruption and ultimate collapse. Lastly then, modern city governments must hold a far greater will and courage to move past their traditions to better encapsulate a tri-brid (taker-maker-relater) nature as the base line for evolving a whole system, wise governing logic. It is essential then, that the multi-dimensional features and conditions of the city governing landscape are far better understood, so that a purposive institutional redesign (of the factors and elements) may be created and recreated over time. And for this to be successful and sustained the shift must be driven by an equally high institutional and social capital capacity that holds the aspiration for sustainable development as the individual, group and civic overarching organising principle. In working the associated seven strategic components and tactics, NZ cities may then be confidently enabled to move up the wise city governing ladder and bridge their sustainability aspiration-action divide.

Wise City Governing



Model Template: www.presentationmagazine.com

Figure 7.3: Seven Strategic Components of Wise City Governing

Source: Evolved from the Fano Guideline information to suit NZ Local Governing Environment

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appendices

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appendix A

SD TIMELINE

Rachel Carson's *Silent Spring* was published in 1962. Many consider the book's release a turning point in our understanding of the interconnections among the environment, the economy and social well-being. Since then, many milestones have marked the journey toward sustainable development. This timeline captures some of the key events.

From its inaugural edition in 1997 to the present, the Sustainable Development Timeline has been prepared by Heather Creech, Director, Global Connectivity and staff and associates.

Sustainable Development Timeline

1962 *Silent Spring*, by Rachel Carson, brings together research on toxicology, ecology and epidemiology to suggest that agricultural pesticides are building to catastrophic levels, linked to damage to animal species and human health.

1967 Environmental Defense Fund (EDF) is formed to pursue legal solutions to environmental damage. The EDF goes to court to stop the Suffolk County Mosquito Control Commission from spraying DDT on Long Island's marshes.
www.environmentaldefense.org

1968 Biosphere Intergovernmental Conference for Rational Use and Conservation of the Biosphere (UNESCO) is held; early discussions occur on the concept of ecologically sustainable development.

1968 Paul Ehrlich publishes *The Population Bomb*, on the connection between human population, resource exploitation and the environment.

1969 Friends of the Earth forms as an advocacy organization dedicated to the prevention of environmental degradation, the preservation of diversity and the role of citizens in decision-making.
www.foe.org

1969 Partners in Development and IDRC (1970). Report of the Commission on International Development. This is the first of the international commissions to consider a new approach to development, focused on research and knowledge in the South. The report leads to the formation of Canada's International Development Research Centre.
www.idrc.ca

1969 Cuyahoga River, Ohio, United States catches on fire, with the cause attributed to pollution. This event brings political attention to the need for water pollution control policy and action, and leads to the Clean Water Act, the Great Lakes Water Quality Agreement and the creation of the United States Environmental Protection Agency—one of the first national departments of the environment in the world.

1969 National Environmental Policy Act is passed in the United States, making it one of the first countries to establish a national legislative framework to protect the environment. The law sets the basis for environmental impact assessment in the world.

1970 Natural Resources Defense Council forms with a staff of lawyers and scientists to push for comprehensive U.S. environmental policy. www.nrdc.org

1970 First Earth Day held as a national teach-in on the environment. An estimated 20 million people participate in peaceful demonstrations across the United States. www.earthday.net

1971 Greenpeace starts in Canada and launches an aggressive agenda to stop environmental damage through civil protests and non-violent interference. www.greenpeace.org

1971 International Institute for Environment and Development (IIED) established in the United Kingdom to seek ways for countries to make economic progress without destroying the environmental resource base. www.iied.org

1971 Polluter pays principle. Organisation for Economic Co-operation and Development (OECD) Council says those causing pollution should pay the resulting costs.

1971 Founex Report is prepared by a panel of experts calling for the integration of environment and development strategies.

1971 René Dubos and Barbara Ward write *Only One Earth*, which sounds an urgent alarm about the impact of human activity on the biosphere, but expresses optimism that shared concern for the planet could lead humankind to create a common future.

1972 Environnement et Développement du Tiers-Monde (ENDA) is established in Senegal, in 1978 becoming an international NGO concerned with empowering local peoples, eliminating poverty, and promoting southern research and training for sustainable development. www.enda.sn

1972 UN Conference on the Human Environment and UNEP. The Stockholm conference is rooted in the pollution and acid rain problems of northern Europe. It leads to the establishment of many national environmental protection agencies and the United Nations Environment Programme (UNEP). www.unep.org

SD TIMELINE 2012

1972 Club of Rome publishes the controversial *Limits to Growth*, which predicts dire consequences if growth is not slowed. Northern countries criticize the report for not including technological solutions; Southern countries are incensed because it advocates abandonment of economic development. www.clubofrome.org

1973 OPEC oil crisis fuels limits-to-growth debate.

1973 United States enacts the Endangered Species Act, becoming one of the first countries to implement legal protection for fish, wildlife and plants.

1973 Chipko movement is born in India in response to deforestation and environmental degradation. These women's actions influence forestry and women's participation in environmental issues. www.rightlivelihood.org/chipko.html

1974 Rowland and Molina release work on chlorofluorocarbons (CFCs) in the scientific journal *Nature*, calculating that continued use of CFCs at current rates would critically deplete the ozone layer.

1974 Latin American World Model developed by the Fundación Bariloche. It is the South's response to *Limits to Growth* and calls for growth and equity for the Third World. www.fundacionbariloche.org.ar/LP-mod-latinoam.htm

1975 Worldwatch Institute established in the United States to raise public awareness of global environmental threats and catalyze effective policy responses; begins publishing annual *State of the World* in 1984. www.worldwatch.org

1975 CITES, the Convention on International Trade in Endangered Species of Flora and Fauna, comes into force. www.cites.org

1976 Habitat, the UN Conference on Human Settlements, is the first global meeting to link the environment and human settlement.

1977 UN Conference on Desertification is held.

1977 Green Belt Movement starts in Kenya, using community tree planting to prevent desertification. www.greenbeltmovement.org

1978 Amoco Cadiz oil spill occurs off the coast of Brittany.



SD TIMELINE 2012

1978 OECD Directorate of the Environment relaunches research on environmental and economic linkages. The work builds the foundation for the 1987 report, *Our Common Future*.

1979 Three Mile Island nuclear accident occurs in Pennsylvania, United States.

1979 Convention on Long-Range Transboundary Air Pollution is adopted.

1979 *Banking on the Biosphere*, an IIED report on practices of nine multilateral development agencies including the World Bank, sets the stage for reforms that are still underway.

1980 *World Conservation Strategy* released by the International Union for the Conservation of Nature (IUCN). The section "Towards Sustainable Development" identifies the main agents of habitat destruction as poverty, population pressure, social inequity and trading regimes. The report calls for a new international development strategy to redress inequities. www.iucn.org

1980 Independent Commission on International Development Issues publishes *North-South: A Programme for Survival* (Brandt Report), calling for a new economic relationship between North and South.

1980 *Global 2000 report* is released. It recognizes biodiversity for the first time as critical to the proper functioning of the planetary ecosystem. It asserts that the robust nature of ecosystems is weakened by species extinction.

1981 World Health Assembly unanimously adopts the *Global Strategy for Health for All by the Year 2000*, which affirms that the major social goal of governments should be for all peoples to attain a level of health that would permit them to lead socially and economically productive lives. www.who.org

1982 International debt crisis erupts and threatens the world financial system. It turns the 1980s into a lost decade for Latin America and other developing regions.

1982 World Resources Institute is established in the United States. It begins publishing biennial resource assessments in 1986. www.wri.org

1982 UN Convention on the Law of the Sea is adopted. It establishes material rules concerning environmental standards and enforcement provisions dealing with marine pollution. www.un.org/depts/los

1982 The UN World Charter for Nature adopts the principle that every form of life is unique and should be respected regardless of its value to humankind. It calls for an understanding of our dependence on natural resources and the need to control our exploitation of them. www.un.org/documents/ga/res/37/a37r007.htm



SD TIMELINE 2012

1983 Development Alternatives is established in India. It fosters a new relationship among people, technology and the environment in the South. www.deval.org

1983 Grameen Bank is established to provide credit to the poorest of the poor in Bangladesh, launching a new understanding of the role of microcredit in development. www.grameen-info.org

1984 Bhopal toxic chemical leak leaves 10,000 dead and 300,000 injured in Bhopal, India. www.bhopal.net

1984 Drought in Ethiopia. Between 250,000 and 1 million people die from starvation.

1984 Third World Network is founded as the activist voice of the South on issues of economics, development and environment. www.twinside.org.sg

1985 Antarctic ozone hole discovered by British and American scientists.

1985 Responsible Care, an initiative of the Canadian Chemical Producers, provides a code of conduct for chemical producers that has now been adopted in many countries. www.ccpa.ca/ResponsibleCareHome.aspx

1985 Climate Change. Meeting in Austria of the World Meteorological Society, UNEP and the International Council of Scientific Unions reports on the buildup of carbon dioxide and other "greenhouse gases" in the atmosphere. They predict global warming. www.wmo.ch

1986 Chernobyl nuclear station accident generates a massive toxic radioactive explosion.

1987 OECD Development Advisory Committee creates guidelines for environment and development in bilateral aid policies. www.oecd.org/dac

1987 Montreal Protocol on Substances that Deplete the Ozone Layer is adopted. <http://ozone.unep.org>

1987 Our Common Future (Brundtland Report), a report of the World Commission on Environment and Development, weaves together social, economic, cultural and environmental issues and global solutions. It popularizes the term "sustainable development."

1988 Chico Mendes, a Brazilian rubber tapper fighting the destruction of the Amazon rainforest, is assassinated. Scientists use satellite photos to document what the Amazon fires are doing to the rainforest www.chicomendes.com

SD TIMELINE 2012

1988 Intergovernmental Panel on Climate Change (IPCC) is established to assess the most up-to-date scientific, technical and socioeconomic research in the field. www.ipcc.ch

1989 Exxon Valdez tanker runs aground, dumping 11 million gallons of oil into Alaska's Prince William Sound. www.evostc.state.ak.us

1989 Stockholm Environment Institute is established as an independent institute for carrying out global and regional environmental research. www.sei.se

1990 International Institute for Sustainable Development (IISD) is established in Canada and begins publishing the *Earth Negotiations Bulletin* in 1992. www.iisd.org

1990 Regional Environmental Centre for Central and Eastern Europe is established to address environmental challenges across the region, with an emphasis on the engagement of business as well as governments and civil society. www.rec.org

1990 UN Summit for Children is held, an important recognition of the impact of the environment on future generations. www.unicef.org/wsc

1991 The Canadian East Coast cod fishery collapses when only 2,700 tonnes of spawning biomass are left after a harvest of 190,000 tonnes.

1991 Hundreds of oil fires burn in Kuwait for months following the Persian Gulf War.

1991 Global Environment Facility is established, and in 1994, restructured to give more decision-making power to developing countries over billions of aid dollars for work on biodiversity, climate change, water, land degradation and pollutants. www.gefweb.org

1992 The Business Council for Sustainable Development publishes *Changing Course*, establishing the business interest in promoting sustainable development. www.wbcsd.org

1992 Earth Summit. UN Conference on Environment and Development (UNCED) is held in Rio de Janeiro. Agreements are reached on the action plan Agenda 21, the Rio Declaration, and the non-binding Forest Principles. Two "Rio Conventions" are opened for signature: the Convention on Biological Diversity and the Framework Convention on Climate Change. Negotiations on a third, the Convention to Combat Desertification, are called for.

1993 First meeting of the UN Commission on Sustainable Development, established to ensure follow-up to UNCED, enhance international cooperation and rationalize intergovernmental decision-making capacity. www.un.org/esa/sustdev

SD TIMELINE 2012

1994 China's Agenda 21, a white paper on the country's population, environment and development, is published. China sets an international example for national strategies for sustainable development.

1995 Execution of Ken Saro-Wiwa in Nigeria brings international attention to the links among human rights, environmental justice, security and economic growth.

1995 World Trade Organization (WTO) is established, with formal recognition of trade, environment and development linkages. www.wto.org

1995 World Summit for Social Development is held in Copenhagen. It is the first time the international community has expressed a clear commitment to eradicating absolute poverty. <http://www.un.org/esa/socdev/wssd/text-version/Index.html>

1995 Fourth World Conference on Women is held in Beijing. Negotiations recognize that the status of women has advanced, but obstacles remain to the realization of women's rights as human rights. www.un.org/womenwatch/daw/beijing

1996 ISO 14001 is formally adopted as a voluntary international standard for corporate environmental management. www.iso.org

1997 Asian ecological and financial chaos. Land-clearing fires intensified by El Niño-induced drought result in a haze blanketing the region and cause US\$3 billion in health costs and fire-related damage. Concurrently, the market crashes, raising questions about currency speculation and the need for government economic reforms.

1998 Controversy over genetically modified (GM) organisms. Global environmental and food security concerns are raised, the European Union blocks imports of GM crops from North America, and farmers in developing countries rebel against "terminator technology," GM plants whose seeds will not germinate.

1998 Multilateral Agreement on Investment (MAI). Environmental groups and social activists effectively lobby against the MAI. This, along with disagreement by governments over the scope of the exceptions being sought, leads to the demise of the negotiations.

1999 Launch of the Dow Jones Sustainability Indexes. The first of its kind, the tool provides guidance to investors looking for profitable companies that follow sustainable development principles. www.sustainability-index.com



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1999 Third WTO Ministerial Conference held in Seattle. Thousands of demonstrators protest the negative effects of globalization and the growth of global corporations. Along with deep conflicts among WTO delegates, they scuttle the negotiations. The first of many anti-globalization protests, they signal a new era of confrontation between disaffected stakeholders and those in power. www.iisd.org/trade/wto/seattleandsd.htm

2000 Miss Waldron's red colobus monkey is declared extinct, the first extinction in several centuries of a member of the primate order, to which humans belong. According to the *IUCN Red Book*, 11,046 species are now threatened with extinction.

2000 UN Millennium Development Goals. The largest-ever gathering of world leaders agrees to a set of time-bound and measurable goals for combating poverty, hunger, disease, illiteracy, environmental degradation and discrimination against women, to be achieved by 2015. www.un.org/millenniumgoals/

2001 9/11. Terrorists representing anti-Western, non-state interests and ideologies attack the World Trade Center and Pentagon, marking the end of an era of unhindered economic expansion. Stock markets and economies stumble, and the United States gears up for a war on terrorism.

2001 Fourth Ministerial Conference of the WTO, held in Doha, Qatar, recognizes environmental and development concerns in its final declaration. http://www.wto.org/english/thewto_e/minist_e/min01_e/min01_e.htm

2001 China joins the WTO, accelerating national structural economic changes. The accession signals China's emergence, together with India and Brazil, as major new forces in the global economy.

2002 World Summit on Sustainable Development is held in Johannesburg, marking 10 years since UNCED. In a climate of frustration at the lack of government progress, the summit promotes "partnerships" as a non-negotiated approach to sustainability. www.worldsummit2002.org

2002 Global Reporting Initiative releases guidelines for reporting on the economic, environmental and social dimensions of business activities. www.globalreporting.org

2004 HIV/AIDS pandemic in sub-Saharan Africa. In 2004 alone, 2.5 million people in the region die of AIDS, and over three million become newly infected. With only 10 per cent of the world's population, the region is home to more than 60 per cent of all people living with HIV. www.unaids.org

2004 Wangari Muta Maathai is awarded the Nobel Peace Prize. Founder of the Green Belt Movement in Kenya, she is the first environmentalist to be awarded a Nobel Prize. <http://nobelprize.org/peace/laureates/2004>



SD TIMELINE 2012

2004 Delhi mandates the use of compressed natural gas in city buses and auto rickshaws, responding to rising civil society pressure over air pollution.

2005 Kyoto Protocol enters into force, legally binding developed country parties to goals for greenhouse gas emission reductions, and establishing the Clean Development Mechanism for developing countries. Emissions reductions obligations expire at the end of 2012.

2005 Millennium Ecosystem Assessment is released. 1,300 experts from 95 countries provide scientific information concerning the consequences of ecosystem change for human well-being.
www.millenniumassessment.org

2005 Walmart institutes global sustainability strategy. One of the world's leading retail companies commits to: be supplied 100 per cent by renewable energy; create zero waste; and sell products that sustain people and the environment. The strategy begins to transform Walmart's global supply chain, and sets an example for other multinationals to follow.

2006 Svalbard Global Seed Vault is constructed in Norway to preserve the genetic diversity of the world's food crops for future generations.
<http://www.regjeringen.no/en/dep/lmd/campaign/svalbard-global-seed-vault.html?id=462220>

2006 NASA reports that the ozone layer is recovering, due in part to reduced concentrations of CFCs, phased out under the Montreal Protocol. http://science.nasa.gov/headlines/y2006/26may_ozone.htm

2006 Stern Review makes the convincing economic case that the costs of inaction on climate change will be up to 20 times greater than measures required to address the issue today.
http://www.hm-treasury.gov.uk/sternreview_index.htm

2007 One of the first Chinese victories for civil society environmental protests. The municipal government of Xiamen suspends construction of a multi-billion dollar chemical plant after concerted action by local residents, much of which is orchestrated by mobile phones.

2007 Montreal Protocol on Substances that Deplete the Ozone Layer. Parties agree to an accelerated phase-out schedule for hydrochlorofluorocarbons (HCFCs). <http://www.unep.org/ozone/>

2007 Public attention to climate change increases. Former U.S. Vice President Al Gore's documentary, *An Inconvenient Truth*, wins an Academy Award, and the IPCC's alarming forecasts about the planet's health make headlines. The IPCC and Gore share the Nobel Peace Prize. www.ipcc.ch

SD TIMELINE 2012

2008 World food, fuel and financial crises converge. Global food prices increase 43 per cent in one year; growing energy demand in China, India and elsewhere sends energy prices soaring; financial institutions falter over the collapse of mortgage lending in the United States and markets tumble, sending the world into a recession.

2008 Increasing urbanization. For the first time in history, more than 50 per cent of the world's population lives in towns and cities. www.unfpa.org/pds/urbanization.htm

2008 Green economy ideas enter the mainstream. National governments invest a portion of their economic stimulus in environmental actions, and a low-carbon economy and green growth become new objectives for the future economy. www.oecd.org/dataoecd/58/34/44077822.pdf

2008 Internet economy ideas enter the mainstream. The OECD Ministerial acknowledges the increasingly critical role of the Internet in economies and society; national governments invest a portion of their economic stimulus in broadband and wireless sensor network infrastructure, with South Korea leading the way. www.oecd.org/futureinternet/

2008 Oceans' acidification correlated with increasing levels of atmospheric carbon dioxide. Scientists document that the oceans are growing more acidic at a faster rate than previously thought. Research over eight years leads to an understanding of the serious consequences for global ecosystems. www.pnas.org/content/105/48.toc

2009 Fire and ice headlines. Multiyear sea ice all but disappears from the Arctic Ocean, and the Australian drought that commenced in 2003 leads to the worst wildfires in history.

2009 G20 Pittsburgh Summit: G20 nations provide guidance for a 21st century global, sustainable and balanced economy. Leaders call for phasing out fossil fuel subsidies, and seek measures that will lead to sustainable consumption, while providing targeted support for the poorest people. <http://www.cfr.org/world/g20-leaders-final-statement-pittsburgh-summit-framework-strong-sustainable-balanced-growth/p20299>

2009 Copenhagen climate negotiations. A crescendo of expectations is dashed as the Conference of the Parties fails to reach an agreement on new GHG emissions reductions commitments beyond 2012 (the end of the Kyoto Protocol time frame). The international environmental community sees this as a watershed moment, with many arguing that the multilateral process is broken. Momentum begins to shift toward national and regional efforts to reduce emissions. www.iisd.ca/climate/cop15

2009 Scientists introduce the concept of "planetary boundaries" in a highly influential article in *Nature*. The concept quantifies our proximity to limits in nine areas, including biodiversity, chemicals, climate change, oceans acidification, fresh water and others. www.stockholmresilience.org/research/researchnews/tippingtowardstheunknown/thenineplanetaryboundaries.41fe8f33123572b59ab80007039.html



SD TIMELINE 2012

2009 Nobel Prize in Economics awarded to Elinor Ostrom for her work on the economic governance of the commons Ostrom is the first woman to receive the award.

www.nobelprize.org/nobel_prizes/economics/laureates/2009/

2009 China overtakes the United States as the world's largest emitter of GHGs, but ranks only 78th in per capita emissions. Record increases in GHG emissions globally put emissions on track with the worst-case projections from the Intergovernmental Panel on Climate Change.

www.iwrpressdienst.de/iwr/Global-CO2-emissions-2008-renewable-energy-investment-plan.pdf

2010 More severe and erratic weather, as forecast by climate change models

Massive, deadly heatwaves in Europe, first observed in 2003, reoccur, killing 55,000 people in western Russia and costing US\$15 billion in damages. The changing patterns of drought and floods are now widespread, including Pakistan, southern China and other parts of the world.

2010 The rise of wind power. China becomes the world's largest domestic market for wind power, exceeding its target for installed capacity by 320 per cent. While wind power continues to expand at the fastest rate of renewable energy sources, it is still well below targeted levels for installed capacity by 2020 in OECD and emerging economies.

2010 Nations agree to the fair and equitable sharing of benefits arising from the utilization of genetic resources, under the Nagoya Protocol to the Convention on Biological Diversity (CBD); nations also agree to the Cartagena Protocol on Biosafety.

www.cbd.int/abs/

2010 The Economics of Ecosystems and Biodiversity final report calls for wider recognition of nature's contribution to human livelihoods, health, security and culture by decision-makers.

www.teebweb.org

2010 BP Deepwater Horizon oil rig explosion leaks 5 million barrels of crude oil into the Gulf of Mexico for 87 days before the well is sealed, damaging wildlife habitats, fisheries, tourism and the economy throughout the region.

www.bp.com/sectiongenericarticle800.do?categoryId=9036575&contentId=7067541

2011 The Arab Spring: Starting with Tunisia, people across the Arab region rise up to demand sweeping democratic reforms in a number of countries.

2011 The world population reaches 7 billion, and is increasingly interconnected.

One third of those have Internet access; 80 per cent have mobile phones. Increasing the population by 1 billion took only 12 years.



SD TIMELINE 2012

11

2011 Climate change negotiations in Durban. The negotiations' outcome is a step forward in establishing an international agreement beyond Kyoto—one with mitigation commitments from all major emitters, including developed countries and several major developing countries. www.iisd.ca/download/pdf/enb12534e.pdf

2011 Japan earthquake and tsunami. Damage to nuclear power plants leads to global concerns about nuclear power safety and phase out of the plants in Japan.

2011 China begins shift to a "green economy." China's 12th Five Year Plan for economic development is based on sustainable development goals, including substantial reductions in pollution and carbon and energy intensities. The plan is backed by nearly half a trillion USD in proposed expenditures for environmental protection.

www.china-briefing.com/news/2011/04/05/12th-five-year-plan-hailed-as-greenest-fyp-in-chinas-history.html

2012 Trade disputes on solar and wind energy products. China's expanded manufacturing capacity and low prices make it a leader in global trade on wind turbines. The U.S. contests both solar and wind subsidies in China as unfair trade practices. The outcomes of these disputes may influence the future of cleantech energy sourcing and adoption.

2012 One of the first of the Millennium Development Goal targets is achieved, in advance of the 2015 deadline: the percentage of the world's people without access to safe drinking water is cut in half. www.un.org/millenniumgoals/

2012 Rio +20: Fifty years after Silent Spring, 40 years after Stockholm and 20 years after the Earth Summit, the global community reconvenes in an effort to secure agreement on "greening" world economies through a range of smart measures for clean energy, decent jobs and more sustainable and fair use of resources.

www.uncsd2012.org/rio20/



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About IISD

The International Institute for Sustainable Development (IISD) contributes to sustainable development by advancing policy recommendations on international trade and investment, economic policy, climate change and energy, and management of natural and social capital, as well as the enabling role of communication technologies in these areas. We report on international negotiations and disseminate knowledge gained through collaborative projects, resulting in more rigorous research, capacity building in developing countries, better networks spanning the North and the South, and better global connections among researchers, practitioners, citizens and policy-makers.

IISD's vision is better living for all—sustainably; its mission is to champion innovation, enabling societies to live sustainably. IISD is registered as a charitable organization in Canada and has 501(c)(3) status in the United States. IISD receives core operating support from the Government of Canada, provided through the Canadian International Development Agency (CIDA), the International Development Research Centre (IDRC), and from the Province of Manitoba. The Institute receives project funding from numerous governments inside and outside Canada, United Nations agencies, foundations and the private sector.

appendix B

Data Noise: Public Media Record - 2011/2012

1. Central Government / Global Commentary			
Item	Topic	Source	Date
1.1	Comparative cost of ministers	CIS. org.au	21/04/2011
1.2	Political circus running the rebuild	Interest.co.nz	Oct 2011
1.3	Council staff to get new reality check – Govt looking to crack down on local body salaries and packages as well as costly fiascos.	WKT	12/03/2012
1.4	Local government proposals flawed (ref App. B for further commentary on Better Local Government reform proposal)	WKT	24/03/2012
1.5	State cuts akin to tweaking Titanic's deck chairs	WKT	21/04/2012
1.6	LG sector's halo has slipped	LG Mag	25/04/2012
1.7	Revolving doors delivers new LG minister	LG Mag	25/04/2012
1.8	Let's have accurate stats [in Govt]	WKT - Ed	27/04/2012
1.9	Government passes buck on city council decisions	WKT	02/05/2012
1.10	Broken Promises on environment	WKT	28/05/2012
1.11	Public sector needs bolder change management - expert	NBR	08/06/2012
1.12	Ill-fated V8 street race cited as 'worst case example'	WKT	15/06/2012
1.13	Hamilton council not off the hook yet	NZH	19/07/2012
1.14	Hamilton taken off Govt naughty list	NZH	20/08/2012
1.15	Govt depts. Clock up \$1bn in consultant fees	NZH	11/09/2012
1.16	NZIER: New report on council debt positive [for majority of councils]	LGNZ website	25/09/2012
1.17	Survey finds little growth in incomes (Stats NZ)	NZH	05/10/2012
1.18	Five million kiwis by 2031 – 2m in Auckland (Stats NZ)	NZH	08/10/2012
1.19	Auckland: one city to rule them all	NZH	09/10/2012
1.20	Workload increasing for many (Hudson survey)	Stuff	11/10/2012
1.21	Care urged in cases of technical redundancy	WKT	29/10/2012
1.22	Where'd we be without PR?	WKT OP	29/10/2012
1.23	Economic 'degrowth' no laughing matter	Stuff - Business	08/11/2012
1.24	Best motivation for staff is sincere thank you	WKT	12/11/2012
1.25	Climate Change U-turn	WKT	12/11/2012
2. Local Politics			
Item	Topic	Source	Date
2.1	Months in damage control, but what lessons have been learnt?	SST	26/06/2011
2.2	Prepare for council fee hikes	WKT	05/10/2011
2.3	Hamilton council 'whistleblower' calls for audit	NZH	04/11/2011
2.4	Herd instinct can destroy the urge to be positive	SST	26/11/2011
2.5	Deputy mayor labels council 'a shambles'	NZH	18/12/2011
2.6	Christchurch council pleads poverty over fees (same time CEO gets \$68k pay increase)	Fairfax NZ	10/01/2012
2.7	Re-branding Tony Marryatt	WKT - OP	18/01/2012
2.8	Chch councillor wants 'self-serving' CEO gone	WKT	23/01/2012
2.9	Marryatt attaches strings to payback	WKT	28/01/2012
2.10	Councils' \$100k club 'excessive' [CE salaries]	WKT	01/02/2012

2.11	Sewage spill: Council given several warnings	NZH	09/02/2012
2.12	Letter to Editor: Council Performance, The right to protest strengthens society	MT	11/02/2012
2.13	Staff morale dives after pay-pool cut to cover debt	NZH	16/02/2012
2.14	Critics of council ready their battle plans	WKT	18/02/2012
2.15	Council and PSA meet over bullying	NZH	03/03/2012
2.16	Finance review to strengthen Council processes	HCC	07/03/2012
2.17	Damning report urges 17 changes	WKT	08/03/2012
2.18	Editorial: Bowcott the fall guy for council failings	WKT ED	10/03/2012
2.19	Audits and appointments to sort out mess (CE performance bonus)	WKT	10/03/2012
2.20	Mayoral address - State of Hamilton city	Mayor	12/03/2012
2.21	Design 'transformer' to target urban generation – Anthony Flannery [plus separate article in same issue ...] Redman consultant for Flannery design venture	WKT	14/03/2012
2.22	Mayor praises city budget	WKT	16/03/2012
2.23	Mayor hails bid to rein in councils	WKT	20/03/2012
2.24	Gloomy state workers drag consumer confidence down	WKT	20/03/2012
2.25	Council staff brace for more cuts after 13 workers made redundant – Unit review role out	WKT	20/03/2012
2.26	[Councillors] Financial disclosure on agenda [for debate]	WKT	02/04/2012
2.27	Potential for conflicts of interest	WKT	11/04/2012
2.28	Council's \$12.8m IT upgrade - 'Could have been done for half that'	WKT	11/04/2012
2.29	HCC – Fantastic Comedy (1.1% Councillor payrise)	WKT	13/04/2012
2.30	Hamilton's future is up, not out: Urban Sprawl	WKT	16/04/2012
2.31	(*) Letter to Editor: [Councillors] pay rise unjustified	WKT	18/04/2012
2.32	Citizens have their say – 300 submissions to draft LTP	WKT	20/04/2012
2.33	<i>High performance programme encouraging people to thrive</i>	WKT - opposing	21/04/2012
2.34	<i>Emotional intelligence key to business success [plus] Emotional smarts make the difference</i>	WKT - opposing	21/04/2012
2.35	Lack of sacking a 'double standard'	Stuff - politics	21/04/2012
2.36	The terrifying game of chance that is city cycling [in Hamilton]	WKT	21/04/2012
2.37	Letter to Editor: Council's consultants – lack of accountability	WKT	23/04/2012
2.38	Chef shuts the door on central city 'zoo'	WKT	24/04/2012
2.39	Why you should know the cost of local government	WKT	25/04/2012
2.40	Councillor faces sack over email	WKT	28/04/2012
2.41	<i>Understanding people gives employers a leading edge</i>	WKT - opposing	28/04/2012
2.42	<i>Workplace bullying tricky to deal with but should not be ignored</i>	WKT - opposing	28/04/2012

2.43	Critics deplore move to cut funding for restoring gullies	WKT	28/04/2012
2.44	Mayoral pay increases 'fair to ratepayers' (see 1.1 comparative argument)	NZH	30/04/2012
2.45	Ratepayers force council backdown: diary of a debacle	WKT	01/05/2012
2.46	Design vision workshop to focus on Hamilton city district plan [Mayor]	WKT	02/05/2012
2.47	Directors' \$233,000 questioned	WKT	04/05/2012
2.48	Council [legal] help bill hits \$55m	WKT	05/05/2012
2.49	Letters to the editor: Is city council energy efficient?, council knew the risk, council creating chaos, city's leadership issues, shifting responsibility, lets readjust thinking, who decides pay rises?	WKT	07/05/2012
2.50	Campaign targets city bosses	WKT	08/05/2012
2.51	Website's real cost \$265,000 - councillor	WKT	08/05/2012
2.52	Billboard campaigner in council deals	WKT	09/05/2012
2.53	'Vitriol' aimed at council critic	WKT	10/05/2012
2.54	Council comparison does not stack up	RD Post	12/05/2012
2.55	Water meter protest turns from trickle to torrent	DOM POST	14/05/2012
2.56	Letters to Editor: Council's website, Pensioner housing	WKT	14/05/2012
2.57	Council under fire for asset sales plan	NZH	14/05/2012
2.58	Public grill council on plans for inland port	WKT	15/05/2012
2.59	Sports trust bid to keep council on board	NZH	16/05/2012
2.60	YMCA faces fight to keep Pembroke base	NZH	17/05/2012
2.61	Developers urge contributions regime delay	WKT	17/05/2012
2.62	Hamilton's \$105m CARPARK	WKT	18/05/2012
2.63	Bold urban design can make our city unique [Mayor]	WKT	19/05/2012
2.64	Central city about to turn 'people friendly' – tips for CBD to rival malls	WKT	19/05/2012
2.65	Councillor's blog reveals colleagues' voting history	WKT	19/05/2012
2.66	Sewage sludge in river could cost ratepayers	WKT	19/05/2012
2.67	Rebellion against Kaipara District Council rates hike	NZH	20/05/2012
2.68	Wrong decision in city's big borrowing	NZH	22/05/2012
2.69	Council told to mark city anniversaries	WKT	23/05/2012
2.70	(*) Workplace woes signalled – report	WKT	23/05/2012
2.71	'Floodgate' fiasco costs ratepayers \$120,000	NZH	24/05/2012
2.72	(*) Hamilton Council boss gets pay rise amidst budget cuts	NZH	25/05/2012
2.73	Council told to mark city anniversaries [by TOTI]	WKT	25/05/2012
2.74	(*) Council chief's pay rise	WKT	26/05/2012
2.75	Letters to the editor: Setback for gully habitat, Industrial decision, Plan Ahead, Monitoring Councillors, Sharing the burden, Not very democratic, Colourless proposal	WKT	26/05/2012

2.76	(*) CEO's pay increase seen as austere	WKT	27/05/2012
(*) at a time when a number of internal reviews are being undertaken and a significant number of staff are either being made redundant, leaving or have had minimal or no pay rises, staff morale is low and the City is faced with enormous debt, the CEO is still receiving pay increases – reoccurrence of prior action see historic Union data record (1997). Refer section 5 this appendix also.			
2.77	Council reviewing representation	WKT	01/06/2012
2.78	Nothing more than a kangaroo court	WKT OP	01/06/2012
2.79	Public convenience anything but for upper levels of council	WKT	01/06/2012
2.80	Hamilton City Council culture 'negative'	WKT	02/06/2012
2.81	CEO accepts staff critique	WKT	06/06/2012
2.82	Long term mission to reverse staff gloom	NZH	06/06/2012
2.83	Great to see some loyal city council staff	WKT	06/06/2012
2.84	Media Queries: Staff turnover and departure costs	HCC	08/06/2012
2.85	Councillors a captive audience [re: LTP hearings]	WKT	08/06/2012
2.86	Pump stations overflowing with sewage	WKT	12/06/2012
2.87	Council eyes up your car	WKT	13/06/2012
2.88	Super mayors, a step too far	WKT	15/06/2012
2.89	Hamilton – A city on the brink	CONCERN CIT.	20/06/2012
2.90	Legal threat over cronyism remark	WKT	27/06/2012
2.91	Public pays for court clash over flats	NZH	07/07/2012
2.92	PSA Bullying Survey	CEO Direct	13/07/2012
2.93	Happy Staff do work harder	NZH	14/07/2012
2.94	City council workers complain of bullying	NZH	16/07/2012
2.95	Councillors face new legal nightmare (re: citizen's OAG submission)	CONCERN CIT.	16/07/2012
2.96	Hamilton City Council staff quit in civic service revamp	WKT	23/07/2012
2.97	Waikato ratepayers hit with big legal bills	NZH	23/07/2012
2.98	Rethink anticipated for local government	P Post	25/07/2012
2.99	Money buried in city's northern paddocks	CONCERN CIT.	29/07/2012
2.100	Homes are where the financial hurt is	CONCERN CIT.	29/07/2012
2.101	Audit NZ raps council over Project Phoenix	WKT	02/08/2012
2.102	Marryatt a no-show at communication workshop	STUFF.CO.NZ	07/08/2012
2.103	Leaks to media spur council security audit, hunt for bugs	NZH	??/08/2012
2.104	Editorial: Planners' rulebook robs citizens of appeal rights	NZH	??/08/2012
2.105	Commissioners to run Kaipara District Council	NTZB	13/08/2012
2.106	Council imports workers	WKT	15/08/2012
2.107	Council bullying case costs \$300,000	NZH	18/08/2012
2.108	Climate of Fear	NZH	18/08/2012

2.109	Plant staff appalled at council treatment	WKT	24/08/2012
2.110	Gallagher calls for action over re-structure	WKT	24/08/2012
2.111	Bullying Problem at Council	WKT	31/08/2012
2.112	Most councillors keen to take up freebies	NZH	03/09/2012
2.113	Hamilton Council accused of breaking auction pledge	NZH	03/09/2012
2.114	Pension Flat Auction Pulled	WKT	03/09/2012
2.115	Seeking alternative path to copious roading- Hamilton	WKT	05/09/2012
2.116	Better strategic use of cash sought - Mayor	WKT	06/09/2012
2.117	A council's house, is an agents castle	WKT	06/09/2012
2.118	Flat buyers misled, says councillor	NZH	06/09/2012
2.119	YMCA looks set to pick up bargain	NZH	06/09/2012
2.120	Pool latest victim in council hunt for savings	NZH	07/09/2012
2.121	Hamilton City Library gets leak	WKT	12/09/2012
2.122	Carter criticises council's dog drama	WKT	13/09/2012
2.123	Fixing leak will cost ratepayers (Waikato Reg. Council)	WKT	14/09/2012
2.124	Hamilton may face massive fix bill (EQ strengthening)	WKT	17/09/2012
2.125	Super city chief's salary swells as bonus rolls in	NZH	17/09/2012
2.126	Editorial: Super city paying too much for CEO	NZH ED	19/09/2012
2.127	Council slated for volunteer reliance	P Post	21/09/2012
2.128	No time to waste (voting in 2013 elections)	WKT OP	25/09/2012
2.129	Council may be forced to sell \$1.7m plant	WKT	25/09/2012
2.130	New pan tax comes in despite protests, say business owners – Matamata Piako District Council	WKT	25/09/2012
2.131	Letters to the Editor: Undemocratic, Above the pedestrian, Ignoring the public	WKT	09/10/2012
2.132	Councils ripping off region's ratepayers (carry-overs)	WKT	10/10/2012
2.133	Workplace bullying costs millions	NZH	13/10/2012
2.134	\$13.1m for controllers of Auckland	NZH	15/10/2012
2.135	City with the freshest faces getting younger (Hamilton has youngest median age of any NZ city; 31.7yrs)	WKT	24/10/2012
2.136	HCC green lights new wastewater sludge disposal method	Voxy (online)	24/10/2012
2.137	Council faces extra bill for Citygate plaza footpaths	WKT	24/10/2012
2.138	Council's debt levels to exceed government guidelines	CONCERN CIT.	29/10/2012
2.139	The public art of spending Hamilton ratepayers' money on sculptures	CONCERN CIT.	29/10/2012
2.140	Waikato third highest for teen drink-drivers	WKT	29/10/2012
2.141	Country rage for city folk (planning conflicts – discussion on new district plan hopes) [**]	WKT	29/10/2012
2.142	Waikato Chamber of Commerce endorses HCC's draft economic development agenda	Waikato Inc - Stuff	05/11/2012
2.143	Museum staff face job losses	WKT	10/11/2012

2.145	Waikato lacks affordable housing - study	WKT	12/11/2012
2.146	Sport group told to keep off Cenotaph	WKT	13/11/2012
2.147	Letter to Editor: Threat to Museum	WKT	13/11/2012
2.148	Ratepayers fail to win district-plan delay [**]	WKT	14/11/2012
2.149	Letter to Editor: Museum Review – GM Community	WKT	15/11/2012
2.150	HCC cut to life saving funding 'risk to lives'	WKT	17/11/2012
2.151	YMCA awaits details of Hamilton property officer	WKT	19/11/2012
2.152	\$37k fine for Hamilton City Council (Waikato River spill)	BOP Times	20/11/2012
2.153	Residents vow to battle for buffer [**]	WKT	21/11/2012
2.154	Worried [HCC] staff join Union	WKT	21/11/2012
2.155	City strike action touted	WKT	23/11/2012
2.156	Penalty on loan kicked into touch	WKT	24/11/2012



3. Project Impacts – V8 Supercars Failure

Item	Topic	Source	Date
3.1	V8 Supercars Australia in new ITM400 deal	HCC	06/05/2010
3.2	Public V8 report presented to Council	HCC	13/12/2010
3.3	Govt probe into V8s sought	WKT	17/12/2010
3.4	Hamilton City Council backs V8s	HCC	17/12/2010
3.5	V8 Supercars back in 2012	WKT	28/09/2011
3.6	V8 Supercars series looks to ditch Hamilton	WKT	29/09/2011
3.7	V8 Supercars gone from Hamilton	WKT	30/09/2011
3.8	Councillor angered by V8 Supercars deal	WKT	01/10/2011
3.9	Quitting V8 event right for the city	Mayor	01/10/2011
3.10	Hamilton 'damaged' by race's early exit	Former Mayor	01/10/2011
3.11	Audit report next step in Supercars	WKT	01/10/2011
3.12	Criticism over 'haste' at Hamilton exit decision	WKT	03/10/2011
3.13	Michael Redman resigns	HCC	05/10/2011
3.14	V8s slink out of town after five years	WKT Opinion	08/10/2011
3.15	V8 debacle	WKT	27/10/2011
3.16	And the blame goes to .. everyone	WKT	28/10/2011

3.17	Council slammed over V8 races	NZH	28/10/2011
3.18	V8 repeat 'unlikely'	WKT	28/10/2011
3.19	Redman, Simcock rubbish race report	WKT	28/10/2011
3.20	Learnings from V8 Audit report focus for Council	HCC	28/10/2011
3.21	Redman quits	WKT	29/10/2011
3.22	Editorial - Ratepayers the losers in this mess	WKT Ed	29/10/2011
3.23	V8s audit: councillors dig in	WKT	29/10/2011
3.24	Calls grow for 'muppets' to go	WKT	29/20/2011
3.25	Top official quits over V8 report	NZH	29/10/2011
3.26	Bowcott says he followed Redman's orders	WKT	31/10/2011
3.27	Decision delayed on staff spending limit	CPP	28/10/2011
3.28	Council CEO defends part in fiasco	CCP	31/10/2011
3.29	Hide to weigh in on damning V8 report	NZH	01/11/2011
3.30	Call for councillors to step down	WKT	02/11/2011
3.31	City councillors want their information 'warts and all'	NZH	03/11/2011
3.32	Council in crisis talks after sackings call	NZH	05/11/2011
3.33	Former Hamilton mayor calls for sacking of council	NZH	04/11/2011
3.34	Minister called on to sack council	WKT	04/11/2011
3.35	Councillors bat off V8 deal criticism	WKT	05/11/2011
3.36	The V8 contract: behind the closed doors	Dep. Mayor	05/11/2011
3.37	Hamilton city council under siege over V8s	WKT	05/11/2011
3.38	Hamilton City Council on notice Minister	?	07/11/2011
3.39	Minister's message to Council made clear	HCC	07/11/2011
3.40	Hamilton council on notice over V8s	WKT	07/11/2011
3.41	Significant changes to stem from V8 audit	HCC	07/11/2011
3.42	Redman's spending authority disputed	WKT	08/11/2011
3.43	Calls for inquiry into V8 mess	WKT	08/11/2011
3.44	Redman's spending authority disputed	WKT	08/11/2011
3.45	City chief faces grilling over V8 debacle remedy	WKT	09/11/2011
3.46	Redman's defence 'stymied'	WKT	09/11/2011
3.47	Hamilton City councillors apologise for V8 debacle	WKT	09/11/2011
3.48	Changes mark way forward for Council	HCC	09/11/2011
3.49	Council says sorry for behaviour over V8 event	NZH	10/11/2011
3.50	V8 debacle: Your verdict on Hamilton's councillors	WKT	10/11/2011
3.51	Residents turn on Macpherson over apology	WKT	11/11/2011
3.52	Hamilton V8s promoted with wrong figures	WKT	14/11/2011
3.53	V8s' sign-off signatories revealed	WKT	16/11/2011
3.54	Editorial - Councillors, step down	WKT Ed	16/11/2011
3.55	Auditor denies it missed blowout	WKT	18/11/2011
3.56	Why the wheels fell off the V8 machine	WKT Opinion	19/11/2011
3.57	Council decides not to pursue V8 claim	HCC	22/11/2011
3.58	Councillors rule out legal action	WKT	23/11/2011
3.59	V8 audit report actions continue	WKT	21/12/2011
3.60	V8s axe falls at council	WKT	22/12/2011
3.61	Demotion over V8s number crunching	WKT	23/12/2011
3.62	City News Summer 2011/12	HCC	Dec-11
3.63	Special Edition: CFO position announcement	HCC - CE Direct	07/03/2012
3.64	End of the Road	WKT	21/04/2012
3.65	Outside advice on cuts costly for ratepayers	NZH	09/05/2012
3.66	Councillor's blog reveals colleagues' voting history	WKT	21/05/2012
3.67	Auckland decision on V8 Supercars put off	WKT	31/05/2012
3.68	Auditor-General to scrutinise refusal to show V8 documents (Auckland)	NZH	? July 2012
3.69	V8's leave a trail of controversies	WKT	11/09/2012

4. Project Impacts – Claudelands Stadium Failure

Item	Topic	Source	Date
4.1	Rates to prop up events centre	WKT	22/10/2010
4.2	Immediate steps taken to address Claudelands financial forecast	HCC	27/10/2011
4.3	Claudelands headed for million-dollar loss	WKT	28/10/2011
4.4	Claudelands to get same performance audit as V8s	NZH	31/10/2011
4.5	Working party to monitor Claudelands	HCC	01/11/2011
4.6	Claudelands review brings more realistic targets	HCC	03/02/2012
4.7	Outrage over botch-up at Claudelands	WKT	04/02/2012
4.8	Claudelands Events Centre returns 'overly optimistic'	NZH	06/02/2012
4.9	Claudelands' shortfall 'not for ratepayers'	WKT	06/02/2012
4.10	Claudelands centre more than \$2.6m behind target	WKT	10/02/2012
4.11	Loss ends centre optimism	WKT	24/03/2012
4.12	Events centre set for \$1.88m operating loss	WKT	04/05/2012
4.13	Stick to basics, Tainui tells HCC	WKT	17/05/2012
4.14	Claudelands Events Centre: Massive \$10.5 million loss projected. Threatens to eclipse losses from V8s.	CONCERN CIT.	29/05/2012
4.15	Council moves to calm Magic's concerns	NZH	06/06/2012
4.16	Claudelands Event Centre gets back on track to meet budget	NZH	25/06/2012
4.17	Were Hamilton Ratepayers Over Charged \$39.85 million on 2011-2012 Financial Plan?	CONCERN CIT.	28/08/2012
4.18	Claudelands air con decision costly	WKT	11/09/2012

5. Project Impacts – Floodgate Management Failure

Item	Topic	Source	Date
5.1	'Flood-prone' tag concerns real estate industry	WKT	25/04/2012
5.2	Flood of fear and confusion	WKT	27/04/2012
5.3	Floodgate: homeowners left in limbo	WKT	28/04/2012
5.4	Editorial - Mayor needs stop this flood farce	WKT Ed	28/04/2012
5.5	Councillors angry at latest mail-outs	WKT	30/04/2012
5.6	Flood risk work on hold – HCC apologises	WKT	30/04/2012
5.7	Ratepayers force council back-down	WKT	1/05/2012
5.8	Council retreats in floodgate row	NZH	1/05/2012
5.9	Editorial - Man up, councillors	WKT Ed	1/05/2012
5.10	Prof scoffs at flood risk	WKT	2/05/2012
5.11	Floodgate – delays continue	WKT	14/09/2012
5.12	Ratepayers to receive new flood-related data	WKT	10/11/2012
5.13	Hamilton property owners updated on flood information this week	Voxy - online	13/11/2012

CODE KEY:

SST	Sunday Star Times	CONCERN CIT.	Concerned Citizen Website
WKT	Waikato Times	HCC	Hamilton City Council
WKT ED	Waikato Times – Editorial	Dom Post	Dominion Post
WKT - OP	Waikato Times - Opinion	P Post	Piako Post
NZH	New Zealand Herald	LG Mag	Local Government Magazine
CCP	Christchurch Press	MT	Manawatu Times
NTZB	News Talk ZB	RD Post	Rotorua Daily Post

appendix C

Better Local Government Reforms Proposal & Commentary

C.1 Reform Proposal Review

Out with the Old, and In with the Older? -The Local Government 2002 Amendment Bill, Linda O'Reilly, **Partner - Brookfields Lawyers**

The Bill is the latest in a line of local government reform by the National-led Government.

In April 2010, then Minister of Local Government, Rodney Hide, introduced the **Local Government Act 2002 Amendment Bill (Transparency, Accountability, and Fiscal Management)** into the House which:

- Focused on the concept of core services in relation to planning and reporting;
- Took a new look at Councils' Long-term Plans and reporting requirements; and
- Relaxed controls on the delivery of water services.

In April 2011, Rodney Hide released [an additional] Cabinet paper setting out the purpose, framework, timing, and terms of reference for the '**Smarter Government, Stronger Communities: Towards Better Local Government and Public Services**' review of local government. This paper looked at issues relating to the structure, functions and funding of local government, as well as the existing relationships between local and central government and how they might be improved.

In March of this year, Prime Minister John Key and then Minister of Local Government, Nick Smith, announced and released the plan for '**Better Local Government**' - an eight-point reform programme for local government (superseding earlier planned reviews) and aimed at:

1. Refocusing the scope of local government;
2. Introducing fiscal responsibility requirements;
3. Strengthening council governance provisions (through employment and remuneration policies, mayoral powers, and an assistance and intervention framework);
4. Streamlining council reorganisation procedures;
5. Establishing a local government efficiency taskforce;
6. Developing a framework for central/local government regulatory roles;
7. Investigating the efficiency of local government infrastructure provision; and
8. Reviewing the use of development contributions.

The Bill (points 1-4) implements the first phase of the Government's broader programme. It looks at providing better clarity around the role of councils, stronger governance, improved efficiency, and more responsible financial management. Other parts (points 5-8) of the eight-point reform programme will feed into a second reform bill proposed for 2013.

C.2 Better Local Government – An 8 point plan

Out with the Old, and In with the Older? -The Local Government 2002 Amendment Bill, Linda O'Reilly, **Partner - Brookfields Lawyers continued ...**

The events and trends culminating in the development and introduction of the Bill are well publicised, with calls for local government reform, largely rooted in complaints about rates rises and fee hikes, but local authority spending has been a hot topic for some time.

Advocates for local government reform have attributed a slowing national economy to a 'draining' local government sector. The Government says rates increases have had the most direct influence on a rising Consumer Price Index with growth of over 7% a year for the last decade - well ahead of inflation. Another concern of the Government is the rise in Council debts to more than \$8 billion from \$2 billion over the same period.

While many factors have contributed to these financial trends, not least of which is the deterioration of local infrastructure throughout the country - mostly due to under investment in maintenance, upgrades or new infrastructure or no investment in some cases, coupled with more stringent standards (eg for water and waste) - the 2002 reforms to the Local Government Act 1974 have been identified as a key trigger.

The 2002 reforms introduced a number of broader obligations on Councils, including the promotion of the four community well-beings. There is a view that these diverted Councils into areas already covered by central government and the private sector, and that it is time to refocus the Council's core services.

The Bill's 'refocus' of the **scope and purpose** of local government, potentially changes the tenor of the LGA02. If passed, the refocused purpose for local government will replace the broader, current purpose which:

"provides for local authorities to play a broad role in promoting the social, economic, environmental, and cultural well-being of their communities, taking a sustainable development approach."

This goes further than recent local government reforms.

Another view questions whether the 'new' purpose of local government, will in fact, change anything. The 2007 Report of the Local Government Rates Inquiry dismissed the view that the 2002 reforms were the major driver of rates rises. The Inquiry Panel found little difference between the provisions of the 1974 and 2002 Local Government Acts, commenting that Councils have been involved for years in activities such as social housing, providing parking buildings, and backing cultural and sporting events. Only involvement in economic development strategies would appear to be "relatively new", the Report noting that this "does not account for a significant portion of expenditure".

[Never-the-less], the Bill *"implements the Government's decisions regarding the reform of local government legislation to improve the operation of local government in New Zealand"*.

Specifically it:

- Aims to amend the Local Government Act 2002 (LGA02) to make better provision for effective, efficient, and democratic local governance;
- Reframes the scope of councils' role, giving them stronger tools to contain costs and providing options for efficiency gains from council reorganisation;
- Introduces a new purpose statement for local government to meet the current and future needs of communities for good quality local infrastructure, local public services and performance of regulatory functions in a way that is most cost-effective for households and businesses;
- Provides for the establishment of financial prudence requirements for Councils, setting benchmarks for Councils' performance in terms of income, expenditure, and prudent debt levels and provides for these requirements to be set by way of regulations;
- Seeks to strengthen council governance provisions in the following three ways:

- Having a graduated mechanism for Crown assistance and intervention in individual council's affairs, enabling central government assistance to struggling councils before situations become critical;
- Extending some of the aspects of the Auckland mayoral model to all mayors, such as the power to appoint deputy mayors and chairs of committees;
- Enabling an elected council to determine policies on remuneration and staff numbers, and requiring standard reporting of that information in councils' annual reports; and
- Streamlines local government reorganisation procedures.

But the proposed new purpose of local government may also have implications for Council projects, both those already underway and in the future. It may be an issue for the operation of existing capital projects. Such work will often source its authority to sections 3 and 10 of the LGA02 which refer to the **four community well-beings** as part of the purpose of the statute and of local government.

C.3 Commentary

B 3.1 Better Local Government Proposed Reforms – Media Commentary

Item	Topic	Source	Date
B1.1	Local government proposals flawed <i>(ref commentary B2. - Better Local Government reform proposal)</i>	WKT	24/03/2012
B1.2	Mayors urge caution over council re-jig	P Post	28/03/2012
B1.3	City issues vision of local body change	WKT	02/04/2012
B1.4	Mayors in Closed-door meetings on reforms	WKT	04/04/2012
B1.5	Reform of councils needs public backing, says new minister	WKT	10/04/2012
B1.6	Super-ministry could axe 140 jobs	WKT	25/04/2012
B1.7	Local [district] councils know their job	P Post	13/06/2012

C 3.2 Better Local Government Proposed Reforms – Specialist Responses

Dr Christine Cheyne, Ass. Professor, Massey University (20 March 2012)

“The proposed changes to local government are ‘at best myopic and constitutionally dubious’. At worst ... they could result in a fundamental weakening of local government and significant distortion in the balance of power between the central and local government. The reforms announced yesterday reflect weak understanding of local government’s debt”

www.voxy.co.nz/politics/local-government-reform-myopic-researcher/5/118157

Dr Christine Cheyne, Dominion Post – Reforming local government a delicate affair (22 March 2012)

“Ad-hoc and fragmented reforms of local government by central government in the absence of a strong and clear vision are unlikely to provide durable solutions. Will these proposals produce better local government, as intended by central government, or will they weaken local government and democracy? NZ’s experience in the 1990’s of deferred infrastructure spending, as well as international evidence on expenditure capping, shows flaws in this simplistic solution.”

Sue Kedgley, Dominion Post – The agenda behind local government reform, (4 April 2012)

“The reforms will remove autonomy and ‘power of general competence’ from local authorities, and put local government well and truly under the thumb of central government, which will be able to dictate how much money councils can raise from rates, and what functions and services councils are allowed to provide. In doing so ... it will hobble and weaken local government and have all sorts of unintended consequences for the way our communities are run.”

Derek Nolan & Craig Shrive, Russell McVeagh Regulatory Alert (28 March 2012, p3)

“Overall the reforms are significant ... although there will be mixed views on their merits ... it should be borne in mind that local authorities exist to exercise authority delegated by Parliament ... accordingly it makes sense that a Government committed to economic reform will seek to ensure that the power delegated to local authorities matches the Government’s agenda.”

http://www.russellmcveagh.com/_docs/RegulatoryAlert28Mar2012_456.html

Simpson Grierson, FYI – An 8-point plan for better local government (March 2012, p1)

“Two aspects of the paper are immediately troubling. The first is that the report’s open summary of council rate increases, expenditure and debt levels since 1993 lacks any real supporting analysis of why rates, expenditure and debt have increased. Second, there is also an element of ‘cart before the horse’: the Government’s first four proposals are immediate solutions to the [apparent] problems of local government spending and debt, where as the second four proposals, to be implemented later, involve analysis of the potential causes.”

www.simpsongrierson.com

Linda O’Reilly, Partner Brookfields Lawyers, LG Magazine – Revolving door delivers new LG minister (April 2012)

“Local government is to be refocused to help achieve the Government aim of a more competitive and productive economy. That means the balmy days of general empowerment and unfettered borrowing are to come to an abrupt end ... It may also see an end to the near strangulation by process that has inhibited local government decision-making since the commencement of LGA02 [local government act 2002]. But it is also interesting to note that the policy reasons given for the change, amount to no more than a few statistics around increasing rates and borrowing over the last decade, without considering what might have lead to those increases ... And yes the Government does think more amalgamations would be useful, as long as the regions are prepared to impale themselves on their swords without having to be pushed.

What is disappointing is that the ‘better local government’ package is not about better local government at all, it’s about meaner local government.”

<http://www.localgovernmentmag.co.nz/News/LatestNews>

appendix D

Six City Survey:

- **Information Sheet**
- **Informed Consent**
- **Copy of Survey Forms**

FACULTY OF ARTS AND SOCIAL SCIENCES
THE UNIVERSITY OF WAIKATO

Participant Information Sheet – 6 City Online Survey

Innovative Sustainable Governing Institutions

I am a post-graduate student in the Geography Programme at the University of Waikato. As part of my Masters thesis I am undertaking research on *innovative sustainable governing institutions*. The aim of my research is to identify and examine the policy-action dynamic of attaining (or not) 'sustainable development and societal resilience' within the local NZ provincial governing cityscapes.

I am interested in examining your professional views on urban sustainability in NZ, relative to your council. I will be using an online survey to draw out a range of views for comparative data among the six selected provincial city authorities. I invite you to participate in this online survey, which I anticipate will take approximately 20 minutes of your time to complete. Your opinions, thoughts and local authority views are important, so there will be space outside of formalised questions to offer any additional information or perspectives which you view as relevant and important to my research topic.

What are your rights as a participant?

If you choose to participate in my research, you have the right to:

- Refuse to answer any particular questions(s);
- Withdraw from the research up to two weeks after the e-survey close date;
- Request that any of your contributory material be erased; and,
- Ask any questions about the research at any time during your participation

Confidentiality

I will ensure, to the best of my ability that all data remains confidential and a participant number referencing system will be used in any publications so that you and your organisation remain anonymous to specific response material. During the study all research related data will be kept in a locked cupboard in my secured work space at the University of Waikato. Any information stored on computer will only be accessible through a regularly changed password and only I will have access to the transcripts and electronic information. The results of my research will be used as part of my Masters Thesis and the findings may also be used in presentations and/or journal publications. This research project has been approved by the Human Research Ethics Committee of the Faculty of Arts and Social Sciences. Any questions about the ethical conduct of this research may be sent to the Secretary of the Committee, email fass-ethics@waikato.ac.nz, postal address, Faculty of Arts and Social Sciences, Te Kura Kete Aronui, University of Waikato, Te Whare Wananga o Waikato, Private Bag 3105, Hamilton 3240.

What is Next Step?

If you would like to take part in the research, **please complete the attached consent form and return to me by post or email, on or before date: Monday, 30 July 2012**. Once you have returned your signed and dated consent form, I will forward to your nominated email address, a link to the online survey.

How can you best get a hold of me?

Kareen McLaren: 027 or kjm66@student.waikato.ac.nz

FACULTY OF ARTS AND SOCIAL SCIENCES
THE UNIVERSITY OF WAIKATO

PARTICIPANT CONSENT FORM – **6 City Online Survey**

Please complete the following contact detail boxes.

Participant Name	
City Council	
Position Held	
Contact Phone #	
Contact Email Address	
Postal Address	

Please complete the following checklist. Tick [✓] the appropriate box for each point.

	YES	NO
I have received a copy of the Information Sheet describing the research project.		
I agree to participate in this Online Survey.		
I understand that I may withdraw my consent up to two weeks after the Online Survey closing date.		
I understand that I can decline to answer any particular question.		
I understand that I can stop my participation in the Online Survey at any time.		
I wish to have a participant numbering system applied to my responses as a representative of my organisation and in line with the Local Government's privacy/identity requirements.		
Any questions relating to the research have been answered to my satisfaction.		
I understand that I can ask any further questions about the research that may occur to me during my participation.		
I agree that the information I provide can be used for the purposes of the research as outlined in the Information Sheet.		
I understand that I retain ownership of my participative data and that it is being used in this research only.		

Participant: _____ Researcher: Karen McLaren

Signature: _____ Signature:

Date: _____ Date: 20 July 2012

Please return this completed and signed form to: **Masters
Research Participation, c/o. Morrinsville 3300 or
kim66@student.waikato.ac.nz**

Six City Survey - Sustainable Institutions

SURVEY INTRODUCTION

Thank you for taking the time to answer this survey.

It aims to provide a 'snap shot' of the six selected City Authorities rather than perform an in-depth analysis at this time.

The snap shot data will produce a comparative measure of how well sustainability is currently embedded across the aspiration-action continuum of the governing geography of each of the six councils.

It will also provide a comparative analysis which supports, refines or counters the preliminary public document data source findings.

The survey is aimed at taking approximately 20 minutes to complete.

It has eight sections, with a minimum of one to a maximum of nine questions per section.

Please note that in this study 'sustainability' is described as:

A way of thinking and acting that enables the formation and maintenance of a far reaching sustainable vision, provided through authentic leadership and ethically based institutions that deliver wise use and management of all resources, reduced consumption and waste impacts and promote sustainable innovation and growth for the City.

Six City Survey - Sustainable Institutions

BACKGROUND INFORMATION

This first section is to provide background information on your council in order to clarify details that were missing or conflicting from the initial public document data search.

There are Eight Question areas in this section.

1. Council Details:

Council Authority:

Name:

Position/Title:

2. Which of the following would best describe Council as an authority organisation?

- Metropolitan City Authority
- Provincial City Authority
- Unitary Authority

3. Which bracket best reflects Council's current full time equivalent staff numbers @ 30 June 2012?

- 300 or less
- 301-500
- 501-700
- 701-900
- 901 or more

4. Council has the following female to male representative split within the Senior Leadership Team:

of Females on SLT

of Males on SLT

5. Council has the following female to male representative split in the Mid-Management Leadership Team:

of Female Mid-managers

of Male Mid-managers

6. The City currently has:

A city population of:

A city boundary area (km²) of:

Six City Survey - Sustainable Institutions

7. Of the following descriptions, which would best describe the Council organisation?

- Administrative Management
- Corporate Organisation
- City Organisation

8. Please complete the following:

Our City Vision is:

Our City Purpose/Goals are:

Our Organisational Purpose/Goals are:

Our Organisational Values/Qualities are:

Six City Survey - Sustainable Institutions

GOVERNANCE

This section has Three Questions that seek your perception of the effectiveness of your City's Elected Governance Group in relation to its democratic capacity.

9. Demonstrates Participative Democracy:

	1. Strongly Disagree	2. Disagree	3. Neither Agree/Disagree	4. Agree	5. Strongly Agree
Is Inspirational	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Seeks Innovative Solutions to Problems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Engages Citizens in Problem/Solution Processes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

10. Undertakes Representative Democracy:

	1. Strongly Disagree	2. Disagree	3. Neither Agree/Disagree	4. Agree	5. Strongly Agree
Is Trusted and Vibrant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Uses Problem Identification Methods	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Actively Seeks Greater Detail (as/when required)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

11. Engages in Democratic Debate:

	1. Strongly Disagree	2. Disagree	3. Neither Agree/Disagree	4. Agree	5. Strongly Agree
Seeks Open Discussion/Debate	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Uses Consensus Based Decision-Making Process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Aligns Decisions to Shared Goals	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Has a High Level of Legitimacy/Credibility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Utilises Technology for Democratic Discourse and Engagement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Six City Survey - Sustainable Institutions

CIVIL SECTOR

Please read the following brief descriptions of civic culture and then select which option best describes your perception of the general awareness and engagement of the city's citizens.

1. Parochial:

Majority of citizens across all sectors have a 'low level' of understanding and engagement of their City's political system/council organisation.

2. Conciliatory:

Majority of citizens across most sectors have a 'reasonable understanding' of the political system/council organisation and a 'fairly high level' of engagement.

3. Enquiring:

Majority of citizens across all sectors 'observe and question' the value of council deliveries, are 'aware' of political system/council organisation, but tend to 'lack engagement'.

4. Participatory:

Majority of citizens across all sectors have a 'high level' of understanding and engagement in the political system/council organisation.

12. Which of the following based on the above descriptions best describes your City's civil society?

- Parochial: Low level understanding and engagement
- Conciliatory: Above average understanding and engagement
- Enquiring: High understanding but low engagement
- Participatory: High level of understanding and engagement

Six City Survey - Sustainable Institutions

SERVICE DELIVERY

Please read and rate the following sustainable service delivery statements, relative to your Council's current operations.

13. In thinking across Council operations now, how actively does Council demonstrate sustainability within its service deliveries?

	Not at all true	Somewhat true	Usually true	Always true
1 sustainable procurement procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2 Considers 'repair / reuse / recycle'	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3 Promotes continued improvement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4 Clearly defined sustainable development objectives	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5 Celebrates sustainability achievement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6 Staff capacity is developed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7 Provides EEO	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Six City Survey - Sustainable Institutions

SUSTAINABILITY CONTINUUM

This section has Nine Questions framed around the sustainability aspiration-action continuum.

14. Does sustainability sit as a core central value within Council?

- Yes
 No

If YES, where would this typically be documented?

15. Does Council have a sustainability policy?

- Yes
 No

If YES, when was this policy first developed? How frequently is it reviewed? And whom is normally involved with this review?

16. Is there a sustainability strategy that falls from the above policy?

- Yes
 No

17. Are the above sustainability policy/strategies linked to the activities of Council via a Sustainability Action Plan or similar type of process planning document?

- Yes
 No

18. Which of the following would best describe how 'actively' the sustainability action plan or similar document is used across Council business?

- Is actively employed
 Needs greater integration

Six City Survey - Sustainable Institutions

19. Where is sustainability primarily championed from within Council?

- The Mayor
- The CEO
- Senior Manager (in charge of sustainability area)
- Sustainability Advisor
- Other

If other, please state:

20. Are short and long term financial and non-financial risk assessments formalised within decision making processes?

- Yes
- No

Is this process actively implemented within all strata of Council?

21. Can new ideas and innovative suggestions be received, evaluated and implemented at speed?

	Yes	No
Received (from staff & community)	<input type="radio"/>	<input type="radio"/>
Evaluated (within risk guidelines)	<input type="radio"/>	<input type="radio"/>
Implemented (at speed)	<input type="radio"/>	<input type="radio"/>

22. Do Council decisions aim to recognise the interconnected nature of the City's social, cultural, ecological and economic systems?

	Yes	No
Policy	<input type="radio"/>	<input type="radio"/>
Planning	<input type="radio"/>	<input type="radio"/>
Operations	<input type="radio"/>	<input type="radio"/>

Six City Survey - Sustainable Institutions

QUICK FIRE STATEMENT ROUND

This quick fire statement round, seeks your perception of Council's overall sustainability performance.

23. Please rate the following general sustainability statements relative to your perception of how well Council is currently performing:

	Not at all true	Somewhat true	Usually true	Always true	Not applicable
1.	<input type="radio"/>				
2.	<input type="radio"/>				
3.	<input type="radio"/>				
4.	<input type="radio"/>				
5.	<input type="radio"/>				
6.	<input type="radio"/>				
7.	<input type="radio"/>				
8.	<input type="radio"/>				
9.	<input type="radio"/>				
10.	<input type="radio"/>				

24. In thinking about Council's overall confidence level around its capacity to proactively lead & respond to the accumulative impacts of increased globalisation, economic constraints, population/demographic change, 'new to NZ/City' migrant demands & ecosphere pressures, where would you currently place Council along the 10 point scale outlined below?

- 1 Not at all prepared
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10 Highly prepared

Six City Survey - Sustainable Institutions

CONDITIONS OF SUSTAINABLE INSTITUTIONS

Please read and consider the following 'conditions' for a sustainable governing geography and then move to the question to give each a rating that best describes your council.

Flexible:

in thinking and actions, actively seeks to work inter-departmentally, applies responsive and proactive problem identification methods and is solution delivery focused.

Interconnected:

whole of council embraces and is capable of managing the multi-dimensional complexities of the cities governing geography and has a high level of conflict resolution capacity.

Inclusive:

whole of council is participatory and trust building within-across-between council and the city sectors/individuals, demonstrates ethical decision-making, has authentic leadership, instills professionalism and seeks integrity based actions.

Diversity/Uniqueness:

whole of council embraces ethnic, gender, generational equality and actively seeks a variety of viewpoints in the external public-customer and internal staffing spheres.

Accountable:

whole of council is open and transparent, has robust data system/s for information retrieval and accurate, real, timely and credible reporting outputs.

Agile and Lean:

whole of council leads by example as an organisation by doing more while using less.

Respect:

whole of council demonstrates consistent good faith through alignment of actions at all levels with policy, statutory and legal requirements.

Continual Improvement:

whole of council seeks outcomes that deliver consistent aligned quality results and are committed to adjustment and continual improvement from feedback systems. Demonstrates ownership of results, if targets miss the mark and is willing to engage in communication around learning and changes required to do better.

25. Please rate the following 'Conditions' of sustainable governing geography relative to your Council's current position:

	1 Never demonstrates	2	3	4	5 Consistently demonstrates
- Is Flexible	<input type="radio"/>				
- Is Interconnected	<input type="radio"/>				
- Is Inclusive	<input type="radio"/>				
- Embraces Diversity & Uniqueness	<input type="radio"/>				
- Is Accountable	<input type="radio"/>				
- Is Agile & Lean	<input type="radio"/>				
- Demonstrates Respect	<input type="radio"/>				
- Seeks Continual Improvement	<input type="radio"/>				

Six City Survey - Sustainable Institutions

OVERALL ENGAGEMENT

In this last section, please read the descriptions below and move to the final two questions of the survey:

Dynamic:

Actively builds capacity across all civil sectors & the organisation. Has a high level of sustainable policy-action achievement.

Active:

Achieves reasonable capacity building across all civil sectors & the organisation. Has a medium-fairly high level of sustainable policy-action achievement.

Voluntary:

Has a voluntary capacity building across all civil sectors & the organisation. Has a low level of sustainable policy-action achievement.

Passive:

Demonstrates little of no capacity building across all civil sectors & the organisation. Fails to demonstrate sustainable policy-action achievement.

26. In thinking about the City's Civil Society, as well as, the whole of Council Organisation, and based on the previous descriptions of a Sustainable Governing Geography, please select the model that you feel 'best describes' your City at this particular point in time.

- Dynamic
 Active
 Voluntary
 Passive

27. Would you like to make any further contribution or comment about your Council or this study?

Six City Survey - Sustainable Institutions

THANK YOU

Once you have hit the 'Done' button, your survey will be submitted.

Thank you for taking the time to complete this survey.
I appreciate your feedback and input into my thesis study.

appendix E

Methodology: Academic Rigor

To assist in achieving rigor in the interpretation of the qualitative findings, the researcher has looked carefully to the four elements outlined below:

Credibility:

The interpretation of the qualitative data has endeavoured to be done in a way that offers explanations that are authentic with the key informant's intentions and consistent to the collected data. Therefore, both positive and negative findings have been presented and discussed. In analysing the data, any alternative explanations have been considered and where ever possible opportunities for confounding variables have been aimed at being designed out in the first instance. Reflective thinking has been applied by the researcher during both the observational and semi-structured interview methods/processes.

Dependability:

The process of data collection can be replicated, independent of the researcher. Forms and systems have been developed as part of the overall research design. If moving this study to any subsequent study work involving a larger or wider cross sector audience, the key informant interview could be redesigned to reduce the transcription time and cost without loss of richness of data draw. One way to do this would be to issue an on line survey to explain the study and intended meanings of concepts, draw out the quantitative data and focus the participant onto the second phase of the interview. The quantitative data could then be used as a basis for the interview and would serve to streamline the question-responses.

Confirmability:

Within meeting confidentiality requirements, other researchers can access the data and would be able to audit the researcher's rationale and collection methods and data analysis. They would also be able to undertake their own data analysis of the raw material in order to review the analysis decisions and verify the interpretations if required.

Tranferability:

This study data and findings while focused at a city/city authority level would be open to making inferences to other population concentrations (towns and cities) and/or other public service organisations (regionally and centrally). There are definitely synergies within this case study that would be applicable for comparative analysis to both of these contexts.

appendix F

Hamilton City Case Study:

- **Information Sheet**
- **Informed Consent**
- **Semi-structured Interview Questions**

FACULTY OF ARTS AND SOCIAL SCIENCES
THE UNIVERSITY OF WAIKATO



Participant Information Sheet
Semi-structured Interview

I am a post-graduate student in the Geography Programme at the University of Waikato and as part of my Masters Thesis, I am undertaking research on the topic of:

Sustainability in the New Zealand Local Governing Landscape

Cities worldwide are recognising the importance of attaining a more rapid shift towards greater sustainability. Literature shows that local governance is now at a point where integrated sustainability principles are underpinned within many city organisations aspirations, policies, planning and operations. In NZ however, this does not seem to be the case, rather a variety of attitudes and understandings continue to exist around the word sustainability and the concept of integrated sustainable development. The resulting raft of 'hit and miss' initiative/project outcomes and general lack of 'cohesive sustainability performance' as evidenced by persisting media data-noise, has hit NZ Local Government's reputation hard. The premise for this thesis, therefore, is that in order for a city to move towards greater sustainability and achieve 'better local govern-ing', the city organisation itself, must be thinking and acting within an embedded sustainability-oriented, enquiry-based culture. This study looks at how well sustainability has become established and embedded in the NZ local government organisational landscape since the National led Government's 1992 sign off on the LA21 agreement. To do this the study first captures perceptions towards sustainability across five mid-sized NZ cities and then follows with a more detailed case study of one mid-sized city authority. The researcher, through the University of Waikato, seeks to engage with a range of key informants that contribute to and relate within the institutional and social capital fabric of Hamilton City for the case study portion of this thesis. All data and writing emanating from this primary research has the option for anonymity as required by the individual informants (Refer to consent form over page).

What are your rights as a participant?

If you choose to participate in this research, you have the right to:

- Refuse to answer any particular question(s);
- Withdraw from the research up to two weeks after the interview date;
- Request that any of your contributory material be erased; and,
- Ask any questions about the research at any time during your participation.

Confidentiality

The researcher will ensure, to the best of her ability that all data remains confidential and a key informant number referencing system will be used in any publications so that anonymity for those that request it is maintained. During the study all research related data will be kept in a locked cupboard in the researcher's secured work space at the University of Waikato. Any information stored on computer will only be accessible through a regularly changed password and only the researcher will have access to the transcripts and electronic information. The results of the research will be used as part of the Masters Thesis and the findings may also be used in presentations and/or journal publications. This research project has been approved by the Human Research Ethics Committee of the Faculty of Arts and Social Sciences. Any questions about the ethical conduct of this research may be sent to the Secretary of the Committee, email fass-ethics@waikato.ac.nz, postal address, Faculty of Arts and Social Sciences, Te Kura Kete Aronui, University of Waikato, Te Whare Wananga o Waikato, Private Bag 3105, Hamilton 3240.

What is Next Step?

If you would like to take part in the research, please complete the attached consent form and return to me so that an interview appointment time may be scheduled.

How can you best get a hold of me?

Kareen McLaren: 027 254 4818 or kjm66@student.waikato.ac.nz

UNIVERSITY OF WAIKATO
FACULTY OF ARTS & SOCIAL SCIENCES



PARTICIPANT CONSENT FORM
Semi-structured Interview

Please complete the following contact details below (confidential to the researcher):

Informant Name	
Organisation	
Position Held	
Best Contact Phone #	
Best Contact Email Address	
Best Postal Address	

Please complete the following checklist. Please tick [✓] the appropriate box for each point.

	YES	NO
I have received a copy of the Information Sheet describing the research project.		
I agree to participate in this Semi-structured Interview process.		
I agree that the interview may be voice recorded for the purposes of ensuring accuracy in transcript data.		
I understand that I may withdraw my consent up to two weeks after the Interview date.		
I understand that I can decline to answer any particular question/s.		
I understand that I can stop my participation in the Interview at any time.		
I wish to remain anonymous to protect my privacy.		
Any questions relating to the research have been answered to my satisfaction.		
I understand that I can ask any further questions about the research that may occur to me during my participation.		
I agree that the information I provide can be used for the purposes of the research as outlined in the Information Sheet.		
I understand that I retain ownership of my participative data and that it is being used in this research only.		

Participant: _____

Researcher: _____

Signature: _____

Signature: _____

Date: _____

Date: _____

Please return this completed and signed form to:
Masters Research Participation, c/o. 6 Clifford Street, Morrinsville 3300 or via
kjm66@student.waikato.ac.nz

Key Informant 1:

FA C U L T Y O F A R T S A N D S O C I A L S C I E N C E S T H E U N I V E R S I T Y O F W A I K A T O



Semi-structured Interview

Key Informant Questions

GOVERNANCE/POLITICS

*By the 1980's NZ had more than 780 elected cities, boroughs, counties, boards and authorities established while serving fewer than four million people. The **Local Government Reforms Act of 1989** reduced the units of governance to 72 cities and districts and 14 regional councils.*

1. You were personally a key advocate for these reforms, but what role, via Governance leadership, did Hamilton City play in the reforms process?
- for/against, well supported/controversial, interaction with surrounding peer councils, etc?

*The National government signed off on the **1992 Agenda 21** agreement. This agreement fostered an integrated sustainable development approach. Chapter 28 of the agenda set out the local approach (LA21) which promoted 'good governance' as being a pre-requisite for achieving greater local sustainability.*

2. Tell me about your role as Mayor in promoting and embedding the LA21 thinking and action into the Hamilton City landscape at that time? What other initiatives did you promote/achieve to support the LA21 approach?
3. Was the LA21 uptake broadly supported within the authority and across the Citizens of Hamilton during your 1989-1998 (tri-term) Mayoralty?
4. Do you consider that Hamilton City evolved in terms of its institutional and social capital's thinking and activity capacity relative to an integrated sustainability direction during your Mayoralty term?
5. Were there any obstacles at play that had a limiting effect on the capacity for moving towards better sustainability integration? And, if so what were the most prominent obstacles in your opinion/experience?

*Local Government in NZ can be best described as a creature of Statute. Its powers and purpose are determined by NZ Parliament while how it applies its powers and purpose (its operating processes) are primarily left to its own devices. The **LGA02 reforms** widened the purpose of the Act and enabled local government to include provisioning for social, ecological and economic outcomes. This move was to allow for Council organisations to take on additional and/or discretionary functions as aligned to their community needs.*

6. What advantages did the LGA02 reforms offer Hamilton City? And, were there any disadvantages for the city?
7. Was there any limitations of the LGA02 reforms?

The ‘Better Local Government’ proposal is an eight point reform programme promoted by central government to improve the legislative framework for New Zealand’s 78 councils. It aims to provide better clarity about councils’ roles, stronger governance, improved efficiency and more responsible fiscal management.

8. What are the positive contributions of the 2012 proposed LGA02 reforms for a city like Hamilton? And, do you see any problematic aspects of the proposal around capacity to continue to embed sustainability within the city and its authority organisation?

The Minister’s cover letter to the ‘Better Local Government’ reforms proposal makes comment that, “we are extending some of the Auckland governance innovations to all councils and are providing opportunities for other regions to **modernise their governance structure**”. Stoker in his 2011 local governing research paper shows that this **modernisation of the whole of LG** was being undertaken in Europe in the 1990’s along side of the A21/LA21 approach.

9. Why do you think NZ LG might be so far behind other countries in its modernisation efforts?
10. Do you think the emphasis on ‘modernising governance structure’ will go far enough to address and rectify the underlying ‘casual problems’ that sit at the heart of what appears to be symptoms of systemic dysfunction and a wider level unsustainable city governing?

INTERPRETATION/MEANING

11. How do you describe sustainability? What is your understanding of what the prime principles of integrated sustainable development are?
12. How would you best describe what sustainability in LG should look like?

SUSTAINABILITY LEADERSHIP

13. What top 3-5 elements are essential to successful sustainability leadership in LG?
14. In your opinion, are any of these elements missing in Hamilton City’s current leadership – Governance and Management areas?

2012 CITY ASPIRATION

The 2011/12 Draft Annual Report describes the vision for the city as:

TO BE A SMART CITY IN EVERY WAY AND EVERYTHING WE DO.

15. Does this vision engender a high, medium or low level of integrated sustainability in your view?

SHADE OF AUTHORITY GREEN-NESS

16. What is your overall perception of how well the City and its Authority are currently doing in terms of applying the principles of sustainability towards furthering integrated sustainable development?

Key Informants 2-10:

FACULTY OF ARTS AND SOCIAL SCIENCES
THE UNIVERSITY OF WAIKATO



Semi-structured Interview

Key Informant Questions

1. BACKGROUND DATA

(pre-researched and checked, include only if not anonymous requirement)

Informant		Informed Consent Received		
Category	Commerce	Community	Environment	
Relationship to HCC	<input type="checkbox"/> Contractual Agreement Service Provider	<input type="checkbox"/> Stakeholder	<input type="checkbox"/> Ratepayer / Constituent	<input type="checkbox"/> Community Interest Group
Background	<ul style="list-style-type: none"> - Individual (profile?) - Business/Group/Industry Representative (profile?) 			
S/SD Operational Achievements	<ul style="list-style-type: none"> - Local Employment Opportunities <i>Direct or indirect support of employment opportunities for Hamilton City community?</i> - Procurement <i>conscious choice, support local, etc?</i> - Waste Minimisation <i>Actively looking for reduction in waste streams (physically & mentally), attitudes to reuse & recycling, etc?</i> - Community/Customer Service <i>clientele, reputation, repeat biz, awards, recognition, etc</i> - Economic Contribution <i>turnover bracket – individual (optional)/sector, etc</i> 			
Main Working Relationships in Council are with?				

2. INSTITUTIONAL CAPITAL CAPACITY BUILDING

(discuss definition on separate sheet as previously circulated)

2.1 What has been your experience of Council in terms of its level of overall commitment to and contribution towards Institutional Capital Capacity building, in the following areas?

General Organisational Knowledge:

Is there adequate capacity to perform its business in a highly sustainable way?

Sustainability Leadership Behaviours as demonstrated through the values of:

- Caring
- Wisdom
- Integrity
- Justice
- Respect

Demonstration of City Authority Organisational Qualities:

(refer to separate explanation sht)

- Hot
- Relentless
- Unexpected

Do these Qualities **fit** with your concept of what sustainability and/or sustainable development is?

Attitude to Long Term Relationship Building with commerce/community/environment sectors:

2.2 What has been your experience of Council in terms of its stated attributes for measuring its service performance? (Draft Annual Report 2011/12, p9)

- Timeliness
- Responsiveness
- Accessibility
- Safety
- Statutory Compliances
- Sustainability

2.3 What is your perception of Council's willingness to facilitate greater levels of participation, as described by the following attributes?

- Early and successive inclusiveness in problem identification *(in policy, planning &/or operational processes)*
- Acceptance towards alternative suggestions / inputs
- Capacity to learn from multiple feedback loops
- Capacity to learn from unexpected events / situations
- Capacity for understanding and empathy with constituents and customers/ providers/partners/ community circumstance
- Capacity for engagement to reach a coordinated and cooperative mutually beneficial outcome

2.4 In the Draft Annual Report 2011/12, p2 Council states,

"much of this year has been spent on improving systems and process to deliver better transparency and accountability".

- How well has this statement translated into the fulfilment of requirements within your project/initiative or business contract obligations? (Now) - extremely well, moderately well or not at all
- How well has this statement translated into the 'every-day relationship' with you/your organisation? (Now) - extremely well, moderately well or not at all
- How well has this statement translated into the longer term nature of endeavours with you/your organisation? (Future) - extremely well, moderately well or not at all

2.5 In the Draft Annual Report 2011/12, p8 Council states,

"it is committed to the highest standards of accountability as they perform their civic duties".

- From a scale of 1-5 (1 being the lowest and 5 being the highest) how would you rate your experience with Council in this area?
- Would you like to add any additional comments?

2.6 In the Draft Annual Report 2011/12, p8 and in response to the Audit NZ V8 and Deloitte reports, Council states,

"it will continue to work hard to re-build public confidence in the way they operate".

- In your experience, how well has this statement been evidenced and translated into Council's relationship with your organisation/enterprise?

2.7 What aspects of Council's overall performance are ...

- Working well?
- Could/should be improved?

2.8 What is Council like to engage with for you/your organisation at the levels of?

- Governance Group (Mayor/Councillors)
- CEO / Senior Leadership Team
- Mid-level Management
- General Administrative Staff

3. INTERACTION/INFORMATION

3.1 TRUST

- How 'trustworthy' do you perceive Council to be? Highly, Moderately, Low or Not at all Trustworthy
- Would you like to add any additional comments?

3.2 What is your perception of Council in terms of their:

- PARTICIPATION: Attitude towards genuine reciprocal engagement? - Highly, Moderately, Low or Not at all genuine
- ACCOUNTABILITY: Capacity for robust feasibility and business case development &/or tender evaluation processes and impact of this data on decision-making? - Highly, Moderately, Low or Not at all genuine
- TRANSPARENCY: Accuracy / Timeliness / Openness of information/data records? - Highly, Moderately, Low or Not at all accurate

4. SUSTAINABILITY INTERPRETATION/MEANING *(discuss definition on separate sheet)*

- 4.1 How well does Hamilton City Council promote 'good governance'? - Highly, Moderately, Low or Not at all
- 4.2 How well has Hamilton City Council achieved greater local resilience and sustainable development outcomes? - Highly, Moderately, Low or Not at all
- 4.3 How would you best describe what a successful 'Sustainable Hamilton' should look like?

5. SUSTAINABILITY LEADERSHIP *(discuss definition on separate sheet)*

- 5.1 What top 3-5 elements are essential to successful sustainability leadership across Council?
- 5.2 In your opinion, are any of these elements missing in Hamilton City's current leadership hierarchy?
- Governance
 - Management
 - Administrative Staffing

6. RE-ORIENTING THE CITY

- Were you/your business/organisation/group aware that the 2005 community outcomes have been dropped in lieu of a new vision, goals and outcomes for the city?
- Were you/your business/organisation/group consulted as part of this reorienting process?

7. 2012 CITY ASPIRATION – Vision/Outcomes/Goals *(show copy on separate sheet)*

The 2011/12 Draft Annual Report describes the vision for the city as:

TO BE A SMART CITY IN EVERY WAY AND EVERYTHING WE DO.

- 7.1 In your perspective, does this vision engender a high, medium or low level of commitment towards developing greater levels of integrated sustainability for the city? – High, Medium or Low
- 7.2 How well does (or does not) this new city vision reflect what you &/or your business/organisation/group's understanding of a city's integrated sustainable development aspiration should be?
- 7.3 Please rate these HCC statements on a scale of 1 to 5 (*1 being very poor through to 5 being very good*) and make any additional comments you would like included as we run through these aspirational elements and goals.

CITY ASPIRATION	ELEMENTS	1	2	3	4	5	Comments
	Hamilton is bright and innovative						
	The City offers the best socially, economically, environmentally and culturally to everyone who lives here						
	Hamilton is a smart city in every way and everything we do						
OUTCOMES	GOALS	1	2	3	4	5	Comments
Prosperous & Innovative	Strong and productive economy						
	Easy to do business with						
	City grows & prospers in a sustainable way						
Outstanding City Leadership	Effective, open and responsive governance						
	Operates efficiently and provides exceptional service						
People Love Living Here	Celebrates people and many cultures						

7.4 What is your overall perception of how well the Council is connected to the City's

- citizens?
- commerce sector?
- community/environmental NGO/volunteer sector?

7.5 How well understood and embedded do you think the concept of sustainable development is within Council?

7.6 Would you enter into / continue in a business/project/initiative/stakeholder relationship with HCC in the future?

OUR VISION FOR HAMILTON

Hamilton is a bright and innovative city, but we want to make it better.

We have a vision for the city, which is outlined here. It incorporates our goals and aspirations for Hamilton – a city we believe should offer the best economically, environmentally, socially and culturally to everyone who lives here.

This vision replaces the previous set of community outcomes, which were developed back in 2005.

The 2005 community outcomes are still referenced in the Council Services section of this report; but going forward everything that the Council does will be directly linked to our new vision.

We will be working with others in the city to help achieve it and our progress will be reported in future Annual Reports.



OUR VISION IS TO BE A SMART CITY, IN EVERY WAY AND IN EVERYTHING WE DO.

WE HAVE A UNIQUE, GREEN AND NATURAL ENVIRONMENT, WITH THE WAIKATO RIVER RUNNING THROUGH THE HEART OF OUR CITY. WE CELEBRATE OUR DIVERSE COMMUNITY AND ACKNOWLEDGE OUR AGRICULTURAL HERITAGE.

These are the OUTCOMES and GOALS we have for Hamilton:

PROSPEROUS AND INNOVATIVE

- Hamilton has a strong, productive economy and we build on our economic strengths.
- We have a thriving CBD.
- It's easy to do business here.
- Our city grows and prospers in a sustainable way.

OUTSTANDING CITY LEADERSHIP

- Hamilton is led by effective, open and responsive governance.
- Council's finances are sustainable for the long term.
- We operate efficiently and provide exceptional service.
- The city takes a leadership role regionally and nationally.

PEOPLE LOVE LIVING HERE

- Hamilton embraces the Waikato River and it is the focal point of our city.
- We value, preserve and protect Hamilton's natural, green environment.
- Our city is attractive, well-designed and compact with outstanding architecture and distinctive public spaces.
- Our city is a fun place to live with a vibrant Arts scene.
- Hamilton is a safe city.
- It's easy to get around.
- We celebrate our people and many cultures.



Working at Hamilton City Council

Hamilton City Council prides itself on being a good employer. We recognise the diversity of our employees and we are committed to equal employment opportunities. We strive to ensure that our employees have a healthy and safe work environment, and that all employees have opportunities for achieving job satisfaction and professional development. It is our desire to have a highly motivated and skilled work force able to fulfil our agreed goals on behalf of the community.

Go Beyond

We are a public entity that contributes significantly to the success of Hamilton's reputation as a confident, progressive city with a can-do attitude.

As guardians of the city we want what's best for Hamilton and its people and to enhance their quality of life. We are grounded in our dealings and proud of our role in protecting the past, present and future.

Our vision is to be a smart city in every way and in everything we do.

Our purpose is shaping a world class city through smart thinking and exceptional service.

How do we do it?

We... **GO BEYOND!** ... in all that we do. Always.

We are...



We are ambitious and passionate about everything we do. We commit to our work with energy, drive and a can-do attitude.



We are tireless in our commitment to go the extra mile and agile in finding effective solutions.



We will delight our customers in every way. We will demonstrate innovation and smart thinking to deliver great results for our community.

Go Beyond links with all that we do across the organisation to achieve our purpose. The qualities of Hot, Relentless and Unexpected describe the qualities we're looking for in our staff.

More information about working at Hamilton City Council is available at www.hamilton.co.nz/careers

POSITION DESCRIPTION

appendix G

City Case Study: Contact Diary

Request for meeting to discuss Council participation as Case Study Authority

2 Aug	Karen Donnelly Mayoral Executive Assistant	Request for Mayoral Appointment - phoned and left message. Followed up with email requesting meeting with Mayor to discuss master's study and HCC participation in case study portion of research. Email fwd'd to: Bella Scott, Advisor to Mayor as per Mayoral EA's auto-message reply.
6 Aug	Karen Donnelly Mayoral EA	Mayoral EA replied to email/phone message left on home phone.
8 Aug	Karen Donnelly Mayoral EA	Made phone contact, discussed study briefly and reason for request for meeting with Mayor. Emphasised study has a 'whole of organisational' focus. Forwarded Study Outline Briefing for Mayor's review prior to meeting date (still to be confirmed).
10 Aug	Bella Scott Mayoral Adviser	Mayoral Adviser phoned to ask about study and gave impression that there would be no problems with gaining an appointment to discuss my study with the Mayor.
10 Aug	Karen Donnelly Mayoral EA	Later that morning, however, received email from Mayoral EA saying my request had been passed onto the CEO's office as it 'relates to staff'.
10 Aug	Karen Donnelly Mayoral EA	Issued email response requesting clarification: a) Who is best to contact in CEO's office? b) Confirm that Mayor is happy for me to approach councillor's directly to canvas for involvement in study? <i>Email not responded to.</i>
14 Aug	Angela Coetzer CEO Executive Assistant	Email received from CEO Executive Assistant, advising my study briefing had been passed to the GM Organisational Development and he would be in touch.
16 Aug	Olly Te Au GM Organisational Development	Phone call received from GM-OD to schedule appointment to come in and discuss my study & HCC potential participation further.
22 Aug	Olly Te Au GM Organisational Development	Meeting held with GM-OD. Refer meeting 1 notes – pretty negative attitude, very closed and little genuine engagement e.g. "what will study show us that we don't already know" However, offered partial participation in that researcher could present what HCC have done to date.

2 Sept	Aaron Fleming & Gareth Cartwright Strategy & Research Advisers	Researcher requested and met with Strategy & Research Advisers to discuss research, value and reviewed pre-prepared follow up detail to take to next meeting with GM-OD. Strategy & Research Advisers confirmed they would attend meeting with Researcher. <i>Great support from Sustainability & Research Advisers who were open, inclusive, enthusiastic & genuinely interested in study.</i>
14 Sept	Olly Te Au GM Organisational Development With support from Aaron Fleming & Gareth Cartwright Strategy & Research Advisers	Meeting with GM-OD and S&R Advisers. Refer meeting 2 notes – GM-OD still negative but S&R Advisers supportive. Due to support it was suggested making a case to the Senior Leadership Team. GM-OD advised that the study benefits would strongly need to out-way the perceived risks. Post meeting discussion with S&R Adviser around proposal refinements and confirmation that they would make presentation to SLT on Researcher’s behalf.
18 Sept	Aaron Fleming Strategy & Research Adviser	Confirmation email from S&R Adviser advising that: Proposal had received full SLT visibility but SLT had declined participation in study.
24 Sept	Barry Harris - CEO	Email request for confirmation and 3 key study question responses – partial response received 24 Sept 2012.
15 Jan 2013	Her Worship the Mayor	Email request for study question responses – partial response received 15 Jan 2013.

Study Queries?

Kareen McLaren [REDACTED]

Mon, Sep 24, 2012 at 12:17 PM

To: barry.harris [REDACTED]

Good Afternoon Barry,

I am currently undertaking my Masters in Social Sciences through the University of Waikato, which is focused around Sustainability in Local Government.

I wonder if you could respond to the couple of clarification questions listed below for me please?

1. Could you confirm if you have been made aware of the attached HCC / Researcher participation request proposal?
2. Could you confirm, as HCC's CE:
 - a) how you view organisational sustainability?
 - b) what level of importance has the organisation currently placed on this? and
 - c) briefly, how is sustainability currently being implemented throughout the organisation?

I appreciate your time to consider and respond to these questions and look forward to your earliest reply.

Regards
Kareen McLaren
Masters Student - FASS

 **17.9.12_CS Participation Proposal_HCC_SLT_V1.2.pdf**
117K

Barry Harris [REDACTED]

Mon, Sep 24, 2012 at 1:44 PM

To: Kareen McLaren [REDACTED]

Hi Kareen

Yes I am aware of your proposed study and I have asked Olly Te Ua, GM Organisational Development to please liaise with you on this matter. I understand Olly has already met with you to discuss your proposal and that he has already provided you with some feedback. If you can please continue to liaise with Olly.

Regards Barry

appendix H

Philosophy Programme

School of Social Sciences
Faculty of Arts and Social
Sciences
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The University of Waikato
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Hamilton 3240
New Zealand

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E-mail
rmwalker@waikato.ac.nz
www.waikato.ac.nz



THE UNIVERSITY OF
WAIKATO
Te Whare Wānanga o Waikato

Kareen McLaren
Professor Bob Evans

Geography Tourism and Environmental Planning
School of Social Sciences

7 January 2013

Dear Kareen

Re: FS2012-14 the value of: sustainability as a legitimate core principle of local governing.

Thank you for submitting your revisions to me. The changes to the documents meet all the Committee's requirements and I am happy to provide you with formal ethical approval.

I wish you well with your research.

Kind regards,

Ruth Walker
Chair Faculty of Arts and Social Sciences Human Research Ethics Committee.

appendix I

Key Informant 1 (KI.1) Interview: Ms Margaret Evans, CBE Hamilton City Mayor, Three successive terms – Retired.

Summary of principle insights from full transcript

“I would rather employ an ethical person who is not that bright, than a really bright person who is unethical and arrogant.”

1. The role of Hamilton City in the 1989 reforms process:

Hamilton was pivotal in this because at that time, Ross Jensen was the president of the Municipal Association. The 1989 reforms brought the merger of the Counties Association with the Municipal Association to form Local Government New Zealand (LGNZ) ... Local government was in a state of complete disarray. Ross was strongly opposed the 1989 reforms, even though Hamilton didn't change - we had no community boards, but we did get a bit of a boundary extension - and so we were one of the few Councils in the country that really didn't get heavily impacted by the 1989 amalgamation process ... But it wasn't just councils that were required to transform, it was also other government units which included the harbour boards - it was a great time to be around. A real transition - first they corporatized central government and then moved to local government changes. The corporate changes to central government through the 1980's, was definitely an influence and you remember effectiveness and efficiency were what drove the local government reforms - transparency and accountability ... You're not just talking about sustainability; you're talking about operational transitional requirements ... The difference between what happened then and what's happened since, was that it was fast! Two years and they had collected nearly seven hundred units into seventy two Territorial/Metro and fourteen Regional Authorities - all of this business about consultants been brought in to evaluate this and that and diddly squat – that didn't happen ... In reflection I wonder if corporatisation, especially of, local government was the right way to go. Don't get me wrong I am all for CCO's – when managed properly - but the need for 'transparency' can be counter-productive with certain 'legislative

requirements' of government and the resulting environment of dysfunction has perhaps contributed to the loss of sight of sustainability as the underlying principle, as well as the rules aligning to acceptable behavioural guidelines.

2. Your Mayoral role in promoting and embedding the Local Agenda 21(LA21) thinking and action into the Hamilton City landscape at that time was:

That was really simple, [we took] the message from Rio, pursued what could we do to link with Waitakere City and engaged with ICELI (International Association - Local Government for Sustainability), which lead to Hamilton's direct involvement in the South East Asia training workshop and then in Thailand, which then lead to Hamilton's involvement in the International programme, which moved onto to leading to the development of the strategic plan (The Cloud) as an international model. As a result of that we were really thinking globally, it was a perfect example of thinking globally and acting locally - that key City officials, as well as councillors networked internationally and brought inspiration, contacts and application knowledge back to Hamilton, it was truly an international model.

City membership of ICELI was not just about the Climate Change Programme then?

Long before, the CCP programme wasn't even thought of then, that was developed when I was on the ICLEI Executive which was around 1987-1988.

3. The LA21uptake and support within the authority and across the citizens of Hamilton during your 1989-1998 (tri-term) Mayoralty was:

We had four and a half thousand people in the community involved, all of the staff involved and the councillors were involved. Development of 'The Cloud' model and process was open, transparent and participatory ... Unless the vision comes out of [that] open, inclusive, participative strategic planning process they [the words] are just spin - 'headline words' written by PR or communications people in isolation - an absolute waste of time that draws off huge amounts of time and dollar resources [to create them].

... one of the things that's coming through at the moment that concerns me is the use of the term 'leadership' within council; 'we will give you leadership', but hang on a minute, by definition, leadership needs you to have followers and this level of disengagement is telling me that you don't have followers anymore.

4. Hamilton City's building of its institutional and social capital capacity relative to the integrated sustainability direction during your Mayoralty term was:

I use to say to Tony [Marriott], I want to make the staff sing and he would look at me as usual and this was very early on in the piece and I would say to him that we've just got to engage them and its things like everybody in the building should be excited about coming to work, they should be excited because there's a committee meeting today and everybody knows that if they want to know what's going on then they can come find out - Good leaders inspire others to be and have the time to be enquiring. That's why organisational transformation needs efficiency and effectiveness.

5. The limiting obstacles at play around building this capacity for moving toward better sustainability integration were:

... We started out this conversation about rules – [a people] to give ourselves rules and guidelines by which we can work and live together - to make things better for now and the future. Unfortunately, what has happened in this City is that it started [out] in dysfunction and has continued to cycle through periods of dysfunction several times over. The City and its Authority has an interrupted rhythm.

6. The advantages/positives and disadvantages/limitations of the LGA02 reforms and associated requirements for managing the well-beings for Hamilton City were:

I don't think they [the well-beings] were been brought in [with LGA02], they were being clarified - because community wellbeing was already in the purpose. I think the biggest thing with the 2002 legislation was the fostering of the 'powers of general competence', as it were and some of them were detailed requirements and regulations and the repercussion of that was every

time you open up and ask anybody in local government why they're doing something, they say; 'because the 2002 legislation says we have to'. It's all interpretation, which I think is nonsense - so I think the 2002 stuff was a bit of an attempt to clarify rather than a redirect as such. Don't forget Rodney came in then so you can understand from the officials perspective there was a need for a bit more tightening up because that movement from the twenty first century was a bit like herding cat's. There were arguments from one end of the country to the other, with Hamilton included - it was a nightmare. Of course the big thing that came out of it all, was the lobby for the clarifications of the Mayors role, that's why I did my thesis on that because that's what all of the talk was about and the New Zealand government were actively pushing for that - the general impression was that it was killed by the Prime Minister, Helen Clarke. She didn't like the idea of attempting to describe powers - she thought that Prime Ministers would be bound from them soon if that went ahead. The 2002 legislation, I think it was really a tidying up exercise, I think it's been given a lot more movement than it deserved - where as the 1989 reforms were clearly much more significant.

7. Local government in NZ is so far behind other countries in its modernisation efforts because:

Part of the problem we have here [in Hamilton] is there isn't any robust, intellectual debate about that place and there hasn't been for a while, that's my understanding. People say it's since the V8's but it's not! I think it is more to do with the New Zealand culture.

The reign of Tony Marriot changed an awful lot in HCC - that was after I left - the City has had a dysfunctional council since ... I think that's part of the strategic plan stuff – Councillors and council staff included just ticked everything that comes in and that's why we've ended up with such bad decisions and poorly conceived and implemented development, because they [staff] think that's what council wanted.

8. Will the current emphasis on 'modernising the governance structure' (2012 proposed legislative reforms) will go far enough to address and rectify the underlying 'casual problems' sitting at the heart of what

appears to be symptoms of systemic dysfunction and a wider level unsustainability within the city authority?

I think because the 2002 was a bit of a tidy up, we've got this first decade marked by the arrival of the super city concept. This change, I think is going to be as significant [a] change as the 1989 reforms. In fact, you see there are those who believe 1989 on went the wrong way [with] the two divisions between regional and central - just pitched it wrong. It should have been neighbourhood and district rather than regional, with the regional becoming like the super cities. Therefore three tiers would have seen: central, super cities and locals. I think the big debate will be around that the idea; Does one size fit all? Do we want metropolitan versus rural? Or is New Zealand better suited to municipalities? I believe the danger [in] separating 'rural' is that there will be future conflict and further demise of rural living.

I think the next thing that needs to be done also is to amend, as the current bill appears to be trying to do, the single Chief Executive power thing – it has created dictatorships and in saying that it should be managed by the councils but this idea of 'keeping out of the plumbing' hasn't worked because some things are horribly wrong! You've got to get into the plumbing when things go belly-up. Hamilton's a perfect example, it's all very well saying that the fault was the wrong information that was fed by staff, the fact is it's a bit like finance collapse, at the end of the day the buck stopped with the council and they weren't inquisitive and still aren't. It comes back to the essence of public service, that's what I've said in the beginning, people are forgetting that the best model of all was in fact the engaged person. Communities and people are the same and we know that to have engagement is part of human need and it is the essence of democracy. The 'engagement-participatory' model means that staff and citizens have got to be allowed to participate – not just tick some boxes on decisions already made. And so going back to the 1989 model, you've got to have the sense of openness and you've got to have the sense of accountability and that comes from within, no system can ever compensate if people don't back responsibility and feel responsible.

9. Sustainability in local government is best described as, and the prime principles of integrated sustainable development are:

... Ongoing-ness ... so that's how I describe sustainability and you will notice that I talk about the two core ecological systems – nature and human, and these are our imperatives. Financial sustainability is a bi-product of our human ecology and not the other way around.

10. The top 3-5 elements which are essential to successful sustainability leadership in local government are:

- *Accountability in Attitude*
- *Transparency/Openness in Behaviour*
- *Efficiency in Practise*
- *Effectiveness in Policy*

11. In your opinion, are any of these elements present in Hamilton City's current leadership – Governance and Management areas?

"No"

12. The HCC vision below engenders a high, medium or low level of integrated sustainability in your view:

The 2011/12 Draft Annual Report describes the vision for the city as:
TO BE A SMART CITY IN EVERY WAY
AND EVERYTHING WE DO.

To me there's walking death in the Hamilton City Council because no one is turned on by anything and yet there's stories going around, I just don't understand it, I thought we left the place in good heart. In those times all of the councillors were turned on by this [the challenge of applying integrated sustainability], I know they respected me, they genuinely knew that my ideas were maybe a bit advanced, but on the whole a pretty good direction.

13. The overall perception of how well the City and its Authority are currently doing in terms of applying the principles of sustainability towards furthering integrated sustainable development is:

... because so much has gone wrong, people are busy with trying to cover everything up, smooth things over and put the spin on data instead of really dealing with the complexities of the problems. The Chicago Model is in play here - I get sick and tired of it! Managers being far too busy (or incompetent) to do their work, so they get consultants in or they want extra staff - well the economic downturn put paid to that way of thinking ... Unfortunately, bureaucratic survival has 'played-out', by Council becoming more and more divorced from reality. The Administrative Management continues to operate in its silos of un-enlightenment, the strategy and research unit continues to grow in its power, as it is seen as the go between [for] Council and Citizens and they produce detached strategies and policies that the Councillors have little courage to scrutinise in detail or enact with any teeth. Operational units have become more and more divorced as the strategy and research team gained in power. I think that's a really important element to all of this, when was the rise of the strategy in the research unit? ... [So] operational units carry on as they have always done and the City gets disconnection, waste and stupidity ... Combine this with the atmosphere of secrecy - look at how often the use of 'commercial sensitivity' is used for 'in committee, closed meetings' or rejections of an official information act request - it is a dangerous, dangerous threat to the whole tenet of democracy. Transparency and accountability are the corner-stones of public service, but we have moved away from these in our shift to corporatisation. The [Print Media] has told me that Hamilton City Council is one of the most difficult to deal with in terms of delivering to requests for timely information releases - it reinforces what I am saying that there is a culture of secrecy and I think that's part of the bullying culture, because when I ask people about the bullying, it [their response] is usually to do with 'don't tell anybody that, or you're not allowed to talk about that' - so it is a secrecy thing! The concept of sustainability and enactment of integrated sustainable development cannot form in that environment.

appendix J

Key Informant 2-10 Interviews:

Key Informant	Key Stakeholder / Interest Group	Related Sustainability Principle	HCC Relationship
K.I- 1	Margaret Evans 3 term Hamilton Mayor - 1989-1998, CBE	Local Government & HCC background relative to A21/LA21	Ratepayer and Arts Lobby Advocate
K.I- 2	The Jacobs Ex-proprietor Hamilton Garden Café & Restaurant	Economic	Commercial - Landlord/Lessee
K.I- 3	Graham MacFarlane Proprietor Veranda Café	Economic	Commercial - Landlord/Lessee
K.I- 4	Rob Dol Property Council – Waikato Branch President	Economic	Commercial - ES Strategy Leadership Forum
K.I- 5	Tim Manakau Tainui Holdings – Environment	Environmental/Cultural	Environmental/Cultural - ES Strategy Leadership Forum
K.I- 6	Anonymous	Social/Environmental	Interest Lobby Group Environmental/Community
K.I- 7	Rex Bushell Gully Restoration Trust	Environmental	Interest Lobby Group Environmental/Community
K.I- 8	Heather Moore GM, Volunteering Waikato	Social	Community - Interest Lobby Group & Council sponsorship recipient
K.I- 9	Anonymous	Social/Cultural	Community - SWB Strategy Leadership Forum
K.I- 10	Anonymous	Social/Environmental	Environmental/Community - ES Strategy Leadership Forum

Semi-structured interviews were undertaken with the above key informants. Three of the ten wished to remain anonymous, so transcript responses have been collated into key responses to the leader questions shown in Appendix F.

2. INSTITUTIONAL CAPITAL CAPACITY BUILDING *(discuss definition on separate sheet as previously circulated)*

2.1 What has been your experience of Council in terms of its level of overall commitment to and contribution towards Institutional Capital Capacity building, in the following areas?

General Organisational Knowledge: Is there adequate capacity to perform its business in a highly sustainable way?

- There are aspects of council that are good, aspects that are not so good
- Good will is high
- Wastes money and takes no action – unsustainable in short!
- The direct relationships are inhibited by Council’s consolidated financial system arrangements – that impacts on per asset transparency and accountability. The maintenance budgets sit with property and risk under performance unit but the property officers we deal with sit with economic development unit. The property officers don’t have a direct budget for this asset and are limited in being able to meet leasing and partnership commitments. The whole process is frustrating and inefficient. Partnership agreements are more than the operators having to go cap in hand asking for basic maintenance repair work that has an annual value of way less than the actual revenue being produced for the Council. Council has to continue to invest in the development of those assets and profitable partnership relationships. There is little understanding of basic commercial practise to keep assets, enterprises and relationships developing beyond the initial high viz and glory of a venture initiation and opening date. Council must enable the systems to allow staff to bring their institutional and commercial knowledge together for the benefit of the City.
- Takes long time to get policies through
- Staff too afraid to make decisions / Not many people want to be accountable or make decisions / By-pass staff and go to Managers for decisions
- Had a lot of issues with HCC and it’s all around people at the end of the day
- Tend to take a very conservative [approach] or not actually apply policy, they’ll apply their own views [to the policy]
- Good staff are hamstrung by lack of money and lack of cooperation from within HCC
- There is not enough thinking things through and making links between things – joining the dots and making inter-connections
- Relationships inhibited because of institutional structure – funding / people
- Staff have been responsive to us in the past but because of the huge amount of change council has gone through and continues to undergo, we don’t know where we stand
- Mayor good leader and when she wants to get something through, she’ll get it through
- Seems to be far too controlling and micro-managing and also dismissive of the public or staff who question things
- Stakeholders are told what is being done and there are no requests for input from any of us
- They present favourably the things that they want to get through and push up the price presentation if it’s something they don’t want to bother with / ‘the too hard baskets’
- Depoliticised public are not aware to what degree they are allowed to control this lot [Councillors] ... Public service is something that seems to have rather vanished under the weight of a corporatized administration – they have lost all notion that they have a responsibility to the people they’re serving and the public has a responsibility to the next generation to keep the whole thing honest.

<ul style="list-style-type: none"> • Lacks commercial understanding and system alliances with various industry standards • Seriously need to improve their awareness and impacts on river and gullies – natural improvements/enhancements • They tend to take a very conservative line with things – there’s a certain amount of will to listen to change but not a lot of will to act with cohesion • Sustainability is the next thing that they’ve got to grapple with. Coupling sustainability with a conservative organisation – it’s going to be a gradual thing that has to filter through. Some people will rather just keep doing business as usual because it nice and safe – new things upset the boat. • Local politics tends to sit within a general conservatism approach • Its politics!
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Sustainability Leadership Behaviours as demonstrated through the values of:

Caring	<ul style="list-style-type: none"> • Everyone believes they are caring and probably for a majority of staff and councillors that’s just been said to them enough so that they believe it • Some people genuinely there out of really caring for the community and the city, but majority believe they care but don’t demonstrate it • Patronising Mayor, with some Councillors being inept and other who are good people but working in the dark ... trying to work through red herrings and distractions • They can be very good on the minor matters, but it’s like banging your head against a brick wall to try to get more complex problems heard let alone discussed and good solutions implemented for a more workable city • Across board genuinely try to care, but unable to seriously included mitigation of natural environment impacts in everyday actions • I think they try – they have to by law, so they consult because they are required to but outside the formal process it’s hard to gain traction • Yes as an organisation generally • Yes and No – it depends on the individuals. As an organisation – they are shifting a whole lot of services back to user-pays or onto the shoulders of an already burdened community group sector, and this is because they have to recover from the impacts of a bunch of unsustainable decisions they made – shift the load to ratepayer and the community does not demonstrate caring. • There are two levels, when I think of an organisation. At the individual level there are a lot of caring people in that organisation. Then there is the way the organisation actually operates – its culture and the kind of policies that it enacts – I have seen HCC as an organisation do some very uncaring things that the policies allow through the interpretation of them. Overall then, I would be inclined to say as an organisation no – it likes to think it is caring but I don’t really see the outcome of that in reality • Higher up, there are a lot of words that are not supported in the right systems, people and actions. Lower down in the day to day relationships, there are a good many staff who are caring but are inhibited by the system they work within – this is the 21st century but Council systems are still operating out of a ‘gliding on’ environment. • Absolutely zero, no compassion, no understanding, not an inkling of respect for an alternative viewpoint. • We have been careful to make the document wording simple so that everyone can read [understand] it • There is wisdom there – were not dealing with fools who cannot see the big picture – they just choose not to see and do the right thing, not make the sensible decision
Wisdom	

	<ul style="list-style-type: none"> • Around sustainability – good intentions but again have difficulties in resolving conflicting priorities • In some areas yes – there’s probably more wisdom within the authority than within councillors. With councillors there is a lack of an analytical skill/process that results in good decisions • Trying to learn from their mistakes • There is a sense of listening but they underestimate the slow pace and resistance of bureaucratic change and what short and long term costs are associated with that condition – that is not being wise in the governance or the administration • Wisdom comes from the accumulation of knowledge and experience over time – there is wisdom that has sat with some staff so you would say that the organisation must have potential for being wise. However, HCC has not acknowledged that, respected or valued it or even intentionally sought it out – because of personal agendas. I think then that wisdom sits in pockets and resides with individuals. • Tricky one – higher up – no they don’t. They are detached and don’t want to understand the problem, issue or proposal. Lower down the people see the practicalities of the problems or proposal but can only do part of what’s needed to successfully resolve things. The sticking plaster mental is what I call it – cover it up quickly and hope that it goes away. Again it’s not about maintenance spending it is about investing in maintaining a standard and improving that standard for the enjoyment and benefit of everyone in this City. • None, managers indulge their own self interests and have little wisdom toward anything they don’t understand.
<p>Integrity</p>	<ul style="list-style-type: none"> • Generally, yes but of the more entrenched lack integrity / they’re just being bully boys and girls really. • No organisational integrity – there are probably people with a great deal of integrity working for council but I doubt they will be there for very long. A negative organisational culture us just self-perpetuating • Double standards • There is integrity in paid staff I would say but personal agendas within the voted element – well that’s politics • I personally haven’t experienced a problem with this • I don’t see them as displaying significant integrity as a Council – individuals do on an individual basis – but then those people tend not to last very long in that environment • We have had leadership at that Council, over the last few years, that has shown a lack of integrity - Integrity is not a word that I would use with HCC at the moment. • The people I deal with directly have shown integrity but again they are in a difficult situation, particularly when they have these unrealistic KPI’s that they have to deliver to and which are unrelated to the practical of giving value in their every day work. Who sets those targets? • Zero
<p>Justice</p>	<ul style="list-style-type: none"> • Everyone’s views on the review group have been listened to and heard and that’s about the chairperson – leadership • Not a lot – certainly not for administrative staff. I don’t think there is any justice for staff who have problems – not from what I have seen .. they are basically hounded out if they don’t toe the line – whatever the line is and whoever sets it. Who is responsible for that culture? • Not at all transparent – need to do better • Getting better • No

	<ul style="list-style-type: none"> • This is generally not associated with Councils – All Councils in this country struggle with all of these words. I certainly would not describe HCC as particularly just and fair. • Let me put it this way; if it was their own business, they would not make those decisions the same way because their thinking is not business related, they're bureaucrats and if someone says; if we do this we can save this amount of money or time or frustration, as a businessman that's what you would do as long as you maintain the standards and keep the business evolving. The institutional type thinking is that it's a lot easier to say no and not even be forthcoming with an explanation or enquiring if there is there another way we can solve something together? That is a mid-management blocking SOP. • If they believed in justice, they would have given our case a fair hearing – but we have been shafted! Whether, we have been treated poorly or they are squeaky clean and it is all just a part of our imagination – well there was never an opportunity to really investigate this in a fair and equitable way. Decisions had been made and due process was swept under the carpet and then covered up ... there is no dependency in that behaviour from our experience.
<p>Respect</p>	<ul style="list-style-type: none"> • Everyone on the review group gets a voice, so yes it has been and even with the tree huggers, I respect their opinion and what they do • There is none – they don't respect their staff and they don't respect the public • Do they consider we are all fools? Why do they go ahead and make decisions without proper consultation – the due process of public consultation is a complete farce • Do show this in some ways • Respect is something you earn and it works both ways • They don't value the service that comes from the community – a lot of them would have no idea what community services are even out there in this city let alone how important they are to the citizens • Sometimes – not to Maori however – there is no appreciation of the Maori world view in the organisation. And that's quite interesting considering that Te Ao Maori is more aligned to sustainability. • I acknowledge Council as a whole for some of the things that have been enabled to happen. Having said that, I also know that those things have usually been enabled through individuals, rather than through the organisational structure itself. Internally, I don't think they've shown a lot of respect for the people who are employed by them. There have been reviews and restructuring where people have felt badly treated by attitudes and processes that lack respect and courtesy – this is put down to management styles but these have not been respectful • Each one of those people who feel badly treated as a staff member or a citizen or a peer, tells at least 10 people, those ten tell ten more and so on – and the next generation is observing this. That very quickly adds up to a very bad look and bad role modelling for this City. Reputation and Respect go 'hand in glove' and a bureaucratic organisation, who doesn't understand this, is arrogant and unsustainable – and puts the City at risk now and into the future! • There is a lack of respect for somebody's who is in a venture or partnership agreement with Council • We have seen no evidence that HCC managers even know the meaning of the word.

Demonstration of City Authority Organisational Qualities: (refer to separate explanation sht)

<p>Hot</p>	<ul style="list-style-type: none"> • I find the complete opposite to all of this to be brutally honest • I have not seen staff being relentless about trying to get something through for a customer. Couple of direct reports may act more innovatively, but generally I have not seen anything 'unexpected'. • We work every day with this council here and they're one of the most difficult councils to deal with and they think they're not • There are ambitious people there but their ambition is not always for the common good. There is no outcome from working with energy and a 'can do' attitude from what I have seen. Tirelessness – no it's a lie. Agile in finding ways to cover up their own problems, but certainly not going the extra mile for the community – their hiding from us. Unexpected? Yes in the worst possible sense. • Working group and some management levels these evident, but not reflective of organisation as a whole – old council mentality persists • Fell good qualities – people in waka are all rowing in different directions – need greater courage to resolve conflicts through negotiation – and come to that with open hearts and open minds • Some people say that council doesn't listen but my experience has been that if you put up a good argument – a good case with full details of proposal and costings, etc - through the submission process, then they will act. You have to make it easy for them to give you a 'Yes'. • Well the organisation is reasonably conservative and those aren't conservative qualities are they? I think there might be factors within council that demonstrate these but this is inconsistent with who they are in reality at this point. • Energy and drive and a can do attitude isn't where it should be – it's hard to go the extra mile when you just don't have the time because you are doing 2½ peoples jobs because your team has just been severed in half • These are not words or related concepts I would have dreamt up to set judging staff performance against. • They are silly to be honest • Unexpected – I have had some horrible surprises in the past emerging from HCC • I would say the individual staff I have been fortunate to have direct contact with have been relentless, but they can only beat their heads against a brick wall for so long. Hot resides in the power to be able to see and make good business decisions and along with relentless, drive and can do attitudes – the system does not allow for that to take place. These are business focused qualities and that's not really their philosophy is it? The level of innovation and ability to deliver great results – that is just talk. • This is a figment of someone's imagination – HCC is not associated with any of those words unless you use them in their negative – in which case they are most appropriate. • If you're practising all of these qualities, then all of the things that have gone belly up would have got sorted out earlier down the line and before we were in it up to our eyeballs. When did they bring these out?
<p>Relentless</p>	
<p>Unexpected</p>	

Attitude to Long Term Relationship Building with commerce/community/environment sectors:

- Council wants to be this big city yet capacity is not available within so we get poorly planned, managed and executed outcomes
- Council has a 'buy Waikato or buy Hamilton' policy yet so many of the consultants they use are from Auckland or have ownership outside of the city. They are a lot of skills in Hamilton – not many consultant and contractor services that we need to go out of town for – so why do it?!
- Some councillors and staff have just been there too long and have become institutionalised – I don't think they're effective at all.
- These guys haven't figured out yet that the village tabloid has a much wider coverage now – [Hamilton is] getting a lot more national press / stuff ends up in the Herald and we all look like idiots down here in the Waikato. It makes us look like a hick town.
- There are managers in some departments that never put anything in writing – nothing on record. How can they then be held accountable? How can decisions have transparency? Once several layers have operated this way, you have no clue what was driving things and what has happened - That's no way to run a city.
- Tries but missed the target / Commercially they only bring rate payers money to the table – need to be more commercially aware and astute
- We don't get invited to stakeholder consultation meetings, we operate generally independently of Council but would be amenable to be involved with policy and direction
- We haven't had Council working toward building a long term relationship with our Organisation – Any relationship building has come from use, because we have more to lose, on the surface, than the Council does
- Council is totally unwilling to change until such time as there is a public outcry and they are shamed into changing. Their way of dealing with the escalating public concern is to close off and with draw. Containment or Diversion and Control – that's not at all in line with the concept of sustainability
- Over the past two decades – actually three, they have tried various things – outreach programmes, participative planning, real community consultation and the like – so over that reference frame there has been a willingness to try to build long term relations, but most of it has not been effective in achieving an evolving longevity toward a common goal or purpose.
- The strategic review groups selected by Council to come round the table are mainly middle class and white. There is not diversity and difference. There is also a high-degree of using pre-prepared prompts and group responses are focused to those prompts
- A few years back they tried to open the process – got us to all go out to our networks in an attempt to get a much more diverse feed in. Great idea, but lacked the resource behind it. Volunteers, business people etc have just as huge a work load as Council ... the process is not valued to the point where it can go to the place it needs to go - to crack the numbers to make participative input an easy by building it into what is already existing and in need of recovering, reusing or refreshing and it has to be a regular thing with immediate tangible results, that people can see they are making a difference right now for other people and for future people – that's where the political system and process has to evolve to next if it wants to succeed in moving toward better sustainable outcomes, I think.
- Up to the end of last year, if anybody would have asked me how my relationship was with the council, I would have been able to say that I've had zero problems with the council. In the last eight months or so, that relationship has changed because people have been disempowered. That disempowerment relates to the financial cutbacks but the other part of it, is that there is always underlying issues about if they've still got their job – Trying to work effectively and efficiently in an environment of livelihood concern, is unsettling and disruptive and makes staff just hanker down rather than trying to be innovative and look for better solutions. It also makes the good people look for work elsewhere and then we get left with the dregs.
- Look at the staff turnover figures and this is in a recession. If I had that level of turnover in my business I would have gone bankrupt.

- We went into a joint venture in good faith as new immigrants. We took the advice of our solicitor and accountants who told us entering into a relationship with a public service is as 'safe as houses'. We trusted that HCC would act equally in good faith as set out eventually in the standard commercial agreement. But they change the rules – legal agreements, trust, performance and long standing relationships mean nothing to them. They just change the rules to suit themselves as use rate payers money to out play anyone who tries to stand up to that appalling behaviour and attitude.

2.2 What has been your experience of Council in terms of its stated attributes for measuring its service performance? (Draft Annual Report 2011/12, p9)

<p>Timeliness</p> <ul style="list-style-type: none"> • Very sceptical about information they're producing around timeliness • Prepared to pay premium for quicker process turn via having a dedicated staff to deliver a faster service but counter-argument is that it is unfair to the have-nots. Reality is that some things are urgent and some are not, so what's wrong with having a premium service option available? • Need to do better • Minor things are timely but complex issues are ignored and not dealt with • I have no complaints about timeliness, generally if we ask for something we get it • The person responsible for our tenancy seems to have a huge workload, so he's as timely as he can be. • Very good at being on time when it is something they want • In a business sense, too slow • Couldn't be less timely and their tardiness costs others 	<p>Responsiveness</p> <ul style="list-style-type: none"> • They're relatively but not overly responsive in that they always stick to statutory timeframes even when they are quiet • Generally, you have to jump up and down to get a meeting, then it still takes a few days to sort out unless you escalate to their managers • Takes too long, not agile in taking up opportunities, old boys club – attitude of 'we know best' • Easy fixes are responded to: tele-support service is great for logging issues around city, but complex, inter-connecting issues go into the too hard basket and are ignored • Can be a bit frustrating trying to get the information you need – in one case I had to do official information request to get the information we needed and that still took some time • Yes but because of the person not the organisation • One to one pretty responsive, if they are unsure how to do something then not responsive at all - seems to be a lack of capacity for researching to make big issues into bites so that practical connected steps can be figured out. It's like the job is too big so they will only attend to a small part that there is confidence in doing and then because they haven't attended to the whole, they say well that didn't work so we won't do that again. • You'd hope! • Zero
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<p>Accessibility</p>	<ul style="list-style-type: none"> • Generally they are pretty good • If you know who to go to or look for – yes but if you don't it would take you a while to get bounced around the place. You have to be determined. • Not as accessible as I would like – partly that's me, they're so busy I don't like to bother them • Yes although we have had 3 tenancy officers in a year • Highly accessible if you have the connections and know how to deal with them • That's been positive but mainly because we've spent time nurturing that accessibility and always tried to find solutions that work best for both parties. • Zero – you can never get anyone to front up and give you a straight answer
<p>Safety</p>	<ul style="list-style-type: none"> • I don't have any issues or problems in that attribute • Minor public safety is dealt with but complex issues are ignored and not dealt with • Never been any problem there – all our volunteers use the H&S sheets supplied by Council – these are very good and keep people safe • They have the wrong idea about safety – safety doesn't come from having more lights, wider paths or more security cameras. Safety comes from rewarding the good actions, from knowing your next door neighbour, knowing families in your area or who go to school with your kids, caring for the older person who lives alone, etc and when there is a problem it is having those networks come together to sort out the problem – that people capacity is what HCC needs to be building by engaging and linking all the various networks in the city • It is also about delivering better infrastructure solutions at that neighbourhood level to help alleviate the capital and operating costs associated with municipal water, sanitary waste, rubbish, etc systems – that's about making wise choices around these things so that our kids and their kids are not indebted by us. We individually set up family trusts to put our accumulated assets into, so that our kids will have more freedom when we are not here, yet we burden them with waste, water and energy systems that are expensive to build and increasingly costly to run as that asset ages. • Only a couple of public safety issues come to mind and those have been dealt to quickly • Burglaries, vandalism, break ins ... these occurred to such an extent that we could no longer get insurance cover and had to carry the costs of rectification ourselves. Our concerns for people and property – even our offer to have the whole [site] monitored free of charge, fell on deaf ears.
<p>Stat. Compliances</p>	<ul style="list-style-type: none"> • Know of examples where they haven't met their statutory timeframe requirements • District plan will be interesting as they are relying on planners straight out of university or very green to understand the complexities and balance real economic value of a project versus the social and environmental impacts and then make impartial comments and determinations – consistency is also going to be difficult to achieve. • Court action on river impact has evidenced that they drop the ball • Lately, I would have to say not very well – building roads that encourage more personal car use at greater speeds, heighten cross town travel that increase pedestrian travel risk at these cross points, sacking waste water staff and then having to pay more to bring in contract staff to keep essential services going .. that's not really meeting stat. compliances or being economically prudent • Tend to overdo these ... I can understand that – its around risk management • Statutory Compliances are minimums standards – that why NZ has such an appalling housing stock – because everyone for years has been going we can build that house for x dollars if we do the bare minimum we can get passed Council. Too bad if our kids get sick and our elderly die in them, because they are like iceboxes in winter and the centralise energy system is too expensive to pay for heating on a minimum wage. Value again ... we

	<p>value a cheap deal more than we value a healthy home and healthy family. Councils buy into that by not educating people in healthy affordable options – look how many eco-advisors there are throughout NZ. Look at the state of HCC’s own pensioner housing stock</p> <p>The way the licensing agencies operate is BS – they are suppose to be serving and promoting the industry, but they have a little power and wheel that in an unhelpful manner – the need to be more customer focused and less dogmatic</p>
<p>Sustainability</p>	<ul style="list-style-type: none"> • Will become more of a focus moving forward as its built into district plan • There is discussion around moving towards more of a sustainable city – but I am sceptical ... there are too many conflicting visions, they want to be an art city, a sustainable city, a smart city – you can’t be everything / they’ve been trying to find out what the next buzz word or selling point of Waikato is • I don’t know how much actual community liaison has been done to find out what the city really wants? • I know that they have a massive staff turn and any business that has staff turnover at that level has a severe management issue – why is this not being properly investigated and resolved. How can the CEO receive a bonus performance payment when this is happening – that’s not sustainable is it? • That’s interesting – I wonder what their definition for sustainability is? • They are working at it, they appear to be moving in the right direction • A couple of councillors have doggedly kept it on the agenda – but the maturity of understanding is still pretty light – look at how it has been applied to urban design in the new district plan, have to wait and see how it all rolls out I suppose. But the district plan has a lot more grey areas where planning will have to make determinations and the staff are over loaded now, how can they set time aside to think their way clearly around something that might be more out of the box – again the system is likely to thwart the intent • To be more sustainable they need to want to understand all the sectors of the City’s community. They need to step into business practise and reality. In that world you investigate, have rigor and question things because if you don’t you don’t have a livelihood – this is how a modern city should work – places that develop sustainably are places that have evolved their institutions and embrace / coordinate all the different parts of the City to make and sustain places that people want to be in. • Certainly don’t see sustainability being worked out in the day to day activities or relationships of Council

2.3 What is your perception of Council’s willingness to facilitate greater levels of participation, as described by the following attributes?

<p>through early and successive inclusiveness in problem identification (in policy, planning &/or operational processes)</p>	<ul style="list-style-type: none"> • Generally they do – not sure how wide though? Again I think they do it to say they’ve gone through a public consultation process. • Politically reactive • There is a great deal of energy put into negotiating with people over trivia but the important stuff is hidden and manipulated behind closed doors – ‘commercial sensitivity’ seems to be used a lot as an excuse for not being open and transparent on matters that count • If a person is very busy and overloaded they’re just going to focus on what they normally do and if there is a need for change, that’s an extra amount of work they’ve got to do. It takes time and space to think around a problem, what is actually the problem, what’s the best solution, how it can best be implemented and what are the potential pitfalls and benefits and so forth. It will be interesting to see, for example, how the district plan is applied in reality – whether the intent can be delivered? – I’m unsure if there is the internal capacity to make the determinations needed in that document.
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	<ul style="list-style-type: none"> • Problem with their process is that they pre-select that group and this group to 'consult' with and there may be more relevant groups for that problem or task – but they don't find out they just tend to use the same types of groups over and over again • Not at all well – One of the most important things they should be doing is increasing political awareness in regards to people's democratic rights and responsibilities ... should be doing more information and education stuff and a whole lot more listening forums. It seems more about they want people to listen to them and they're not willing to listen to others • Forthright community members (and staff) become branded as a nuisance and are ignored. You have to make yourself part of the solution which means knowing how to play their game, if you are seen as offering some value to them then they are inclusive and you are generally invited early on to input to the process – it's just how it is sadly. • Zero • Relates back to the fact that Council doesn't face up to the reality of situations.
<p>Through acceptance towards alternative suggestions / inputs</p>	<ul style="list-style-type: none"> • Must understand the lobbying process – many voices saying the same thing maximises a submission getting heard. • Improving a little • Basically none - Lowering the residential speed limit around schools is fantastic, but what about the whole journey for kids? Not much point when they get whipped out trying to cross an arterial or cross-city connector on the way to school is it? People having been saying this until they're blue in the face – lots of other examples - council just isn't interested in what is being said • To have many minds coming to a problem – there are just so many benefits in that process – I think they are scared of this though that's why they stick to their formal processes which don't always deliver the best value for money. The use of green papers to encourage greater public participation through a range of mediums should be used more to develop and give rigor to the early stages of a proposal • We don't do a lot of lobbying but the couple of time we have we have felt heard, although that didn't influence may change in outcome • It's very much: "we are going to do it this way and now we 'consulted' with you, you can fit in with us." • Not great. • If you put it the right way and have made the right contacts and built the right type of relationship then they may accept your ideas more readily • No they are selective as to when you are 'important' ... selective in who they will deal with and selective in when they want input and the type of input they want. • Zero
<p>Through capacity to learn from multiple feedback loops</p>	<ul style="list-style-type: none"> • Think there a two or three more steps that can be taken to work together better, but the infighting and political manoeuvring has to stop – it is very individualised at the moment / lacks cohesion • Are slowly learning but a culture of arrogance holds them back • Apparently very limited – people have to die on the city's roads before there is enough urgency and will to do something about it • Talk-fests and vague non-specific planning discourages people from being involved. Generally there is not ability for information feed-in systems for the public. • It's easy to have and get your opinion across when you know the system and have the contacts (like anything). How much difference it

	<p>really makes that's another thing.</p> <ul style="list-style-type: none"> • Hmm .. have they learnt anything? We don't know just yet, but I expect not. • I don't think they have multiple feedback loops – there is certainly limited opportunities to feed in your ideas, feedback on their ideas – formally or informally. • Most of their feedbacks are formalised legal requirements and all of it pays lip service to those feedbacks, because it is all quite prescribed – surveys only give you limited choice between this or that, strategy workshops ask for responses to specific questions and nowhere is there a continuing conversation that asks open ended questions, like asking what is value?, what does value mean for the different sectors of this City? How does everyone want to be treated and included in major decisions? What do we want to leave for our kids? And so forth. • None
<p>Through capacity to learn from unexpected events / situations</p>	<ul style="list-style-type: none"> • They have strong leadership so generally do pretty good • Yes .. trying to rebound from V8s learning curve • Almost nil I would say – the risk of dying on roads is still severe because nothing has changed /North end of Victoria St is an example of that • Not confident that they have learnt from V8's, Claudelands etc • Not sure – but I think pretty. There are some sharp minds in there. • As previous (Hmm .. have they learnt anything? We don't know just yet, but I expect not.) • We have had a few biggies lately – we will wait and see, not sure how much concrete things have been put in place in reality to make sure these types of things don't happen again • One of the reasons things keep repeating is because there is no institutional knowledge in HCC and what there is, is not high enough up the pecking order to be of any use, because staff can't escalate matters – they are shut down and called trouble makers. So things that should have been signalled couldn't be. • No same stupid mistakes repeated over and over again, because the decision makers don't have the ability to make good judgements – they don't understand and rely on consultants to get things right – but consultants run to different rules again. Short term contracts on fixed fees to limited and strictly defined scope of work, so they might do that piece of boxed work really well but Council has to bridge or link all the boxes together and that's what they do not have the capacity to do, because their world is a bureaucratic box. • None
<p>Through capacity for understanding and empathy with constituents and customers/</p>	<ul style="list-style-type: none"> • The minority groups have way too much power in the city • Still operate from a prescriptive/instructive mentality • Leverage issues for self interest and personal gain / unaccountability for poor choices • Management treat staff like shit – cut backs to staff and services to scrimp a few dollars here and there, while ones at top still give themselves pay rises and continue to operate in wasteful way • Token gestures if you are a 'valuable stakeholder'

<p>providers/partners/ community circumstance</p>	<ul style="list-style-type: none"> • Feel there is a divide between council and the community – would like to see a closer relationship • Depends on how squeaky the wheel is – they are definitely more responsive to certain types of groups from the community sector • I don't think so – no not great at all • People that work at the coal face generally have great empathy, some councillors have great empathy – Daphne for one, but as you go up the hierarchy – those people tend to lack the basic understanding of what matters to others and that reduces their capacity to have empathy and further more to have the will to do something about it. It does come back to the individual though – unfortunately it is unusual for a person who has competed to get to their mid-upper management positions, to possess an enormous amount of empathy and understanding for others (there are the expects though) • On day to day working relationship with staff – yes. Within the hierarchy ‘you are just another small fish in their big pond • None
<p>Through capacity for engagement to reach a coordinated and cooperative mutually beneficial outcome</p>	<ul style="list-style-type: none"> • It is just never going to happen! [City] has too many small competing lobby groups. Never be able to complete Nationally or Internationally of we operate like that – jumping from one thing to another • Not so well – environmental and social interests are still battling to be heard and have serious attention put into ecosystems management • There is an inverse relationship between the amount of notice you're given [to respond] and the degree of significance of the thing that is being proposed – things are pretty much pre-determined and consultation is a sock – a waste of time, energy and resources • Could do better • Community Development has gone through massive changes – the staff that are still there are really good and do well in this area. • Not as an organisation. The strategies are a complete waste of time – they get written at such a large level and are so abstract and council wont back the proper implementation of them anyway, so the Units just blindly carry on re-interpreting them and ticking off the boxes with no real evidence that anything has been progressed. That's if they do the mahi – usually its passed off to the community to implement at their cost – then they claim community participation. That is not how you build capacity in the City is it, it's not respectful or caring or trying to get win-win outcomes through shared effort and resource • I have the feeling that they are people and groups within this City that are really quite disconnected – and Council has no idea who they are and what they need • Some parts are connected within their circles and the NGO and volunteer sector is responsible for building this capacity, but there is a huge lack of connectivity across all the parts of the City and that is a Council responsibility – HCC has done poorly at linking those connections because they can't even manage it internally for themselves. They have to shift their own silo's out and put better mechanisms in place • This would be an area I am most disappointed in. It's not their money they spend, not their house or business on the line, so they don't really give a toss – minimum effort to get the job done and box ticked. No question of quality or added value of that process, because that isn't built into their performance pay review system, despite all their fancy ‘qualities’ words. What they say and what they do are two completely different things – if you show up, clock in and out on time every day, and cover your arse with bureaucratic red tape and play the system well then you have got a job for life haven't you? That's why they are in the shit, because they pay people for showing up and

	making poor decisions
	<ul style="list-style-type: none"> • We wish!!

2.4 In the Draft Annual Report 2011/12, p2 Council states,

“much of this year has been spent on improving systems and process to deliver better transparency and accountability”.

- I haven't seen any improvements
- Wait and see – pressure is on
- Not at all – we get invited to stupid meetings where we are told what is going to happen, there's very little chance to put anything in. When you state the obvious it is treated with surprise and nothing will happen
- I haven't seen any result of change
- There are some things that haven't been working well and they are trying to fix the systems. Unfortunately, they've damaged 'people relationships' along the way, and these heighten more systemic difficulties – make them harder to repair, certainly more difficult than mere problematic processes and technologies.
- I have seen no evidence of this
- That's the perception they are giving, in reality – how do we know? I haven't seen any tangible difference
- No, at all

2.5 In the Draft Annual Report 2011/12, p8 Council states,

“it is committed to the highest standards of accountability as they perform their civic duties”.

- Not at all, hope next election punishes those who knew exactly how much money was spent on the V8's and didn't do anything about it, I feel sorry for staff who have been made a scape-goat for that
- Commercial interests are treated fairly and consistently as they have the money that council wants
- Respond to the small stuff and are happy to be accountable for that, but how can they make that statement when you look at how 'accountable' they have been for monumental failures like V8's, Claudelands, Flood letters, waste of money spent on the garden place make over, etc meanwhile the councillors and managers give themselves pay rises while they're cutting back staff and reducing service deliveries with one hand and trying to justify more borrowing more money because of the NZTA 'financial carrots' to build bigger faster roads that will see inter-regional travel by-pass the city completely – ludicrous!
- We have to be a bit careful with the wording here – as I say, they're committed to it but [statement] doesn't say they do it.
- Some Councillors are really good at supporting events – others just never even respond
- At the end of the day councillors are held accountable every three years - who holds the administration accountable? Councillors cant, because they only have one employee – the CEO, so how can they know if the information they are being fed is real and is compliant with the full function and purpose of local government ...
- As before - that's the perception they are giving, in reality – how do we know? I haven't seen any tangible difference
- Just words
- Not at all – councillors are ineffective to make any inroads of issues of contention and injustice – their hands are tied by a system that leaves them powerless to make a

difference

2.6 In the Draft Annual Report 2011/12, p8 and in response to the Audit NZ V8 and Deloitte reports, Council states, “it will continue to work hard to re-build public confidence in the way they operate”.

➤ In your experience, how well has this statement been evidenced and translated into Council’s relationship with your organisation/enterprise?

- Demonstrating the will to do that
- Think they are being forced to genuinely try to improve
- No evidence as far as I’m concerned
- As far as organisation goes – not at all. Services have been cut due to debt levels that are a result of silly decisions – good will has been stretched.
- I think they are trying, but who really knows – there seems to be a lot more closed meetings now?
- As before - that’s the perception they are giving, in reality – how do we know? I haven’t seen any tangible difference
- It translates to making relationships more difficult, because its seems from a position of negativity
- As a ratepayer, Council is its ‘own worst enemy’ – they put band aids on one thing and rip it off another before its healed and healthy, they retreat when criticised instead of opening up and going ok how do you think we could do better or how do you want us to do better? In business you don’t always make the right call, and that’s when you have to have courage and front up and say – ‘you know we cocked up – we got that wrong’ but this is what we plan to do about it – is there anything we have missed? Council haven’t owned their mistakes yet, they’ve retreated and said this is what we will do (Annual Plan) but they haven’t asked is this the right way to go and if it is what have we missed? Their sense of humility is underwhelming
- Not at all

2.7 What aspects of Council’s overall performance are ...

➤ Working well?

- Dialogue of Senior Managers, Mayor and some councillors with Commerce / if need to talk with them you can / whether you get answers is a different story
- Review and Introspection to fix itself – perhaps
- Dealing with the small stuff
- Infrastructure generally is doing ok – we are still connected/supplied
- Looking at what went wrong – systems - and trying to address that
- Mayor is consultative
- Well I guess we do have basic infrastructure – probably not very sustainable though. There is a real unwillingness to change.
- Well, we get the rubbish collected and we haven’t sewerage running down the street – occasionally into the river but not in the streets. And we’ve got a bit of recycling happening – but not much sustainable development underpinning

- I really have to say nothing – systemically from a business perspective, if they were a registered company, I wouldn't be buying their shares
- Nothing – not one thing in twelve years

➤ **Could/should be improved?**

- Must get business friendly across the board and be more cost efficient in their operations
- Trying to do too many things and must move back to core business and contract out non-core services
- Fiscal management, accessible city, ecological health of city, land and river
- Capacity to work through the big stuff and not have to first manage to get over the brick wall – genuine public consultation on alternative thinking around big problems
- Town/Urban planning in respect of future expansion of the Hamilton boundaries and vibrancy of CBD and connection to all axis of the city
- Structural / process changes to capture greater informal submissions and ideas from citizens
- Attending to socio-economic areas of the city before they get to an unmanageable sector of the city – that has to be done inclusively, supporting initiatives that stem from within those communities to strengthen education, minimise truancy, vandalism and so forth. That's got to be a cross sector lead thing too – real participation and fronting up with the resources. ... Advocating back to central government on the city's behalf for better resourcing.
- Change the culture around how staff are treated and acceptable behaviours – especially from managers – get rid of that bullying type behaviour – its destroys people and isn't good management, and it permeates out into relations with the civil sector.
- I don't have a sense of a bunch of people there wanting to do the right thing for the long term. I have more of a sense of “*well do whatever it is that will keep the greater number of people quiet*” – both inside and outside the organisation. Media are not helpful in that respect – an organisation with that attitude just retreats even more.
- Much better reduction of consumption, resource recovery systems - much more whole systems thinking.
- More professionalism, more fiscally responsive and progressive within looking for better outcomes for short and long term, realising that stakeholders can actually help them if they open up, share the power and have more trust
- Everything – the lack of accountability is institutionalised to the point that there is no adequate re-dress for anyone with a grievance – internally or externally – from a commercial business, community partnership and a ratepayer perspective this must urgently be addressed

2.8 What is Council like to engage with for you/your organisation at the levels of?

➤ **Governance Group (Mayor/Councillors)**

- Average – they don't really listen or understand the problems and don't really care
- Mixed bag with some progress since last elections re; reaching out to the community (but perhaps selectively)
- At a cross roads learning and recovery through much better cohesion and integration or continue down some old path
- Some are excellent to deal with – Dave McPherson and Daphne Bell and more recently Maria Westphal, but overall these people are hamstrung by the rest of the group
- Daphne comes and keeps in contact, others we don't really have much to do with
- We invite them to take part in charity and awards events – more than half are there, but generally always the same people

- Challenging .. in a brick wall sort of way. It is a challenge to maintain relationships in a constructive way
- Pretty accessible, easy to talk to but have structural and functional limitations, so not very effective
- Political Superficiality – how are they engaging people of this city to be more proactive in their lives, in the city communities, in the politics of moving the City forward into the future? There is no ‘provocative-ness’ to make people think in a positive way about getting involved. The sea but not the complexity and differences and connections between all the life in the sea
- I just refused to believe that they would be so unreasonable – normal people, social people just don’t go about their day like that. That they could be the lying, conniving, deceitful group of people that they turned out to be – from the Mayor all the way down – just defies belief.

➤ CEO / Senior Leadership Team

- Good – good dialogue
- Mixed bag
- No interaction with CEO – if you tried to made an appointment to go see him, I’m not sure you’d get one. Senior leadership team – my contact is accessible, he appears to be listening but little happens as a result
- Informal chats during submission processes really
- A major difficulty is that senior managers have the habit of speaking as though they represent the whole region and it gets up the noses of their peers – that doesn’t build strong or long-term relations
- Very risk adverse
- Missing the proactive enquiry – it is much easier not to ask any questions and then you don’t have to response or take any responsibility in dealing with the causal issue underpinning the question. That’s not how to keep people happy and build a productive team.

➤ Mid-level Management

- Starts to get weaker / recruitment policy doesn’t seem very good as you’ve got guys there since they were part of the ministry of works and they’re not up skilling or developing with market needs
- Mixed bag
- I suspect that this is where a lot of the trouble arises ... people covering their butts ... working to some peculiar agenda. So concerned with process that they’re not actually listening to the reality of the situation ... endlessly investigating things and not achieving anything. Holding meetings to make it look as though they are doing something but not actually dealing with the problem. Antagonising by micro-management of staff at lower levels. I think this is where the bullying is coming from.
- Don’t really know, would like to chat more with them but they’re seem so busy
- The capacity to deal with people depends entirely on the skill and attitude of the person you are dealing with
- The line is septc – too much self interest and justifying shuffling of paper and making sure you stay on top. I accept that they have a budget and targets but it is the way they disrespect people in going about managing those things – poorly, ineffectively and inefficiently. Just bad business!!

➤ General Administrative Staff

- Mid-managers select staff that will do as they are told / need to move away from a prescriptive attitude
- Mixed bag
- Basically harassed! Generally good people trying to do a decent job and the best of them get driven or pushed away.
- Personally, can be a bit difficult but we usually end up getting what we need if we push hard enough
- Pretty much all of them are positive and even though organisational morale is low
- General staff are great actually and totally under-valued, the majority work really hard and will go out of their way to try to help you. They are a bit like the councillor's in that they too are hampered by the structure, functions and systems
- Good staff are leaving! and that makes it inefficient for me, as I have to take time to re-start building the relationships, trust and re-educating new staff on prior agreements all over again. That's a burden to my business performance and it is a cost to my business as well as my ratepayer dollars.

4. SUSTAINABILITY INTERPRETATION/MEANING *(discuss definition on separate sheet)*

4.3 How would you best describe what a successful 'Sustainable Hamilton' should look like?

- Have visionary leader, backed by appropriately qualified councillors that understand the balance needed between caring for the community and environment and commercial business modelling. Understanding that there's got to be dirty businesses operating along side of industrial, research, retail and green businesses.
- Healthier natural environment, healthier people and sustainable economy
- We have a relatively small, compact and flat-ish city – its ideal for walking and cycling, bearing in mind you need a decent reliable, connected and regular public transport facility for those unable or not pre-disposed to walking and cycling. Having facilities that fulfil needs and provide choice around better sustainable ways of doing things. Where people can move around easily and don't need big roads that require borrowed funds to build – that means greater rural connectivity too.
- A city that utilises its resources (socially, ecologically, economically) in a way that mitigates the burden for future generations
- Plenty of opportunity (employment, social and educational), Engagement to maximise the opportunities, Better financial stability through a more sustainable approach – reduce costs / recover and recycle more (it is no point trying to recover losses or cover spending by increasing rates – people are tapped out too ... as a ratepayer, the V8 losses were not my fault – it was not my error of judgment or lack of enquiry!
- Concern for people and place and the sense of striving for wellbeing of everyone, no matter economic position, age, sex or ethnicity. There needs to be much more genuine concern for creating the systems that support better outcomes of health of people, land, water and air.
- That there is a high level of understanding of peoples basic needs and to have these base needs being met where ever possible locally, for everyone. That this is delivered through creative, connected and resourced systems that are overlaid with continually seeking better ways to meet those needs. To do that we have to 'value knowledge, experience and lay-expertise' much more than we currently do. We also need to explore alternative economic models that allow a better balancing of the three principles – that means re-designing our whole place in a much more integrated way
- Operates like a business, in terms of: being accountable and transparent and having good decisions that involve all the stakeholders of the City. One that rewards partnerships that deliver value and encourages excellence and team work. Also one that has a commitment to continuity – of things they have started and how they will progress those things – reenergising them over time – well into the future for the benefit of everyone in the City, not just the selected few big fish

- Honest, accountable and transparent, with a genuine concern and desire to engage with and involve the community.

5. SUSTAINABILITY LEADERSHIP *(discuss definition on separate sheet)*

5.1 What top 3-5 elements are essential to successful sustainability leadership across Council?

- Commercial reality, Policy knowledge and application, Education of future generations - like the Enviro-schools programme for example – big fan of that programme.
- Consistency throughout, Willingness to be open, listen, learn and participate (humility), Build good working relations and solid transparent track record
- Honesty, Preparedness to listen, Tenacity for central govt support/lobbying on sustainable city goals for genuine public good/service
- Innovation in the process of thinking, Courage and Leadership
- People! – the right people on the team, consulting the right people in the city community and not taking the easiest or quickest solution.
- Respect the lay-persons opinion as much as the experts – mix up who is at the table by calling for interest through established community networks rather than inviting the same old groups to come to the table to represent us all – when a decisions made, consult again.
- A shared vision, the ability to genuinely listen and act from a position of caring, and the ability to make decisions for the long term – intergenerational and not out of self interest
- Continuous education and learning (being enquiring and keeping up to date with new technologies, facts, and so forth), An ability to see things in an integrated way, An ability to communicate openly with a wide range of people. An attitude of creative risk taking – the courage to actually try things and enable things to be tried.
- Openness, Honesty, Understanding or at least ability and desire to find out if you don't understand and Accountability
- Open communication with core constituents – listen and understand their problems, seek feed in not just feedback to decisions already made ... have the courage and will to change the whole system and structure – get rid of the crooks who hide behind the anonymity of their bureaucratic positions, and hire people with profound social and high business integrity

5.2 In your opinion, are any of these elements missing in Hamilton City's current leadership hierarchy?

➤ Governance

- Yes – no one listens to people who know how to develop success business (R&D, academically, wealthy well-established business families).
- All – consistency, humility and capability
- All – Honesty, listening and tenacity for public good
- There is a lack of courage and a lack of true leadership
- Don't think they have the right people – the area of consultation needs more work
- Individuals are vested in their own interests rather than for the common good
- Definitely stuff missing – sound City leadership should have the concept of sustainability sitting at its core of everything that it does – but in HCC it is not. 'Financial sustainability' does not mean a city will be sustainable - in fact placing 'Financial sustainability' at the core may even work against achieving greater integrated sustainability success. Financial sustainability is reliant on growth and growth frequently conflicts with environmental sustainability and may have a range of negative

impacts on social and cultural sustainability. To gain balance in decision making – the concept of sustainability has to be central and underpin the vision and all the strategies and has to be phrased correctly within policy in order for the policies to be effective in practise.

- Yes all of them

➤ **Management**

- Yes– no one listens to people who know how to develop success business (R&D, academically, wealthy well-established business families).
- All – consistency, humility and capability
- They're just as guilty as top governance – something needs doing with them
- Similar - lack of courage and a lack of true leadership
- Don't think they have the right people
- Don't disrespect staff by asking them to feedback on decisions that have already been made and label it as consultation – that's just rubbish
- Definitely staff missing
- Yes all of them

➤ **Administrative Staffing**

- Yes– no one listens to people who know how to develop success business (R&D, academically, wealthy well-established business families).
- All – consistency, humility and capability
- Administrative staff actually try to do their best but are stymied by what's happening above them
- Pretty conservative – scared to move out of what is strictly formatted in their management plan or procedures/protocols
- Empower the staff to act in teams and be able to deliver their job with integrity and know they have done the right thing
- Allow the staff to feed up – even directly to councillors
- Definitely staff missing
- Individuals I deal with day to day I find are open, honest and accountable, they find things out and if they don't know they say I know don't but will find that out for you and come back to you by x date – that is great.

7. 2012 CITY ASPIRATION – Vision/Outcomes/Goals (show copy on separate sheet)

The 2011/12 Draft Annual Report describes the vision for the city as: **TO BE A SMART CITY IN EVERY WAY AND EVERYTHING WE DO.**

7.2 How well does (or does not) this new city vision reflect what you &/or your business/ organisation/group's understanding of a city's integrated sustainable development aspiration should be?

- It's a high level perceived commitment from Council but in reality it proves it is not worth the paper it is written on – if you are unwilling to change the way you think about and deliver your services
- Do they have the courage and will to do this?
- Failed! That just hopeless
- Very sceptical about these vision statements – they sit as something separate from what is actually being done – spend a lot of time creating them and then go back to business as usual. What drives things forward is not what is written on paper but the general attitude of the organisation and that comes from leadership from the top
- Smart would not be a word I would use – it's open to too many interpretations: Smart = neat, Smart-Alec, Smart = clever, Smart = intelligent ... which is it??
- What this reflects is council not wanting to engage in the hard stuff – the conversations with people about where we are all heading. But that also is reflective of the wider attitude and rhetoric in this country. However, the word smart has an arrogance about it – it's a very challenging and divisive word to have in a vision statement. Interesting! The fact that they are not able to reflect on these difficulties reveals the approach that have – ironic really
- Depends on how smart is defined. If it is defined within the current paradigm, then I would say no it will not get us anywhere in terms of advancing toward greater sustainable successes. It appears from the outcomes and goals that this is the case.
- Well they need to walk that talk don't they
- There is no vision for the future – it is all about short term focus and waffly globalised statements so that they can't be held to account. They over-inflate their budgets and spend it aimlessly on stuff that doesn't make a real difference for the rate payers, stakeholders, community and citizens – then the next year they pluck heightened the figures out of the air so they can waste more. If they are caught out they just change the rules – change what and how they monitor and report so that everything is blurry and untraceable – you can compare from year to the next.

7.4 What is your overall perception of how well the Council is connected to the City's

➤ citizens?

- Average
- Getting more connected than they have been in past – long way to go
- Good on small stuff but not when comes to dealing with overall vision and future of city
- Could do better but they try

- Overall pretty good, there are quite a few councillors who are good at talking to people and attending things. They are limited in their power to effect change though.
- Not very connected with its citizens at all
- Certain groups are well connected and possible over-represented and others are not – It's patchy and predictable.
- I believe they are trying, but they have to off load the baggage and be more inclusive and decisive at the same time – it's a skill to lead that and have the team (citizens, stakeholders, staff) own it.

➤ **commerce sector?**

- Below par in general
- Getting better but still low
- In some cases good – quite well in other very poor
- Perceive this to be reasonably good but I have no real experience
- Reasonably well actually – economic power is a great persuader of political power
- They need to make the space available for business's to be innovative and vibrant and try things that can contribute to the City and bring people together – that relies on 'accumulated wisdom' applied to making good decisions – there are so many good examples of Cities globally that do that well. That accumulated wisdom doesn't reside in Hamilton.

➤ **community/environmental NGO/volunteer sector?**

- Pretty good I think
- Below average
- Good on small stuff but not when comes to dealing with overall vision and future of city
- I think there is connection but constrained by budget cuts
- Need to do some work in this area. They don't understand (possibly) how reliant they are on community. The community sector delivers a lot of outcomes for Council and the City – not sure if council appreciates that. People from the community also keep them in their seats (governance and administratively)
- Mixed bag – some individuals are very connected and genuine in their engagement, like Daphne – they honestly try to make a difference.
- Overall very weak, individually there are some good connections
- Celebrate all the difference and diversity have to offer by capturing that within things like festivals, parades, neighbour get together's, celebrations and recognition events, etc ... again allowing spaces – making it easy for these things to emerge from within community groups and sectors means that there is authenticity behind it – it is not a contrived vibrancy that looks and feels like cheerleading because it is created out of the people of city not enforced down by a bureaucracy to wants to be seen to be something they are not.

7.5 How well understood and embedded do you think the concept of sustainable development is within Council?

- The need a lot of work (with the private sector) on that – e.g. using consultants who have no or little awareness of the specific city complexities and networks
- Below average – say the words but don't do the actions
- Despite all their internal strategies and regional strategies like three waters and Futureproof, everything is planned on incessant [fiscal] growth. We have to have growth but this should not be framed solely in the standard economic model – there is no thinking outside of that – sustainability and unlimited growth don't sit well together
- Poor past choices have left the city financial vulnerable, but that doesn't mean all future thinking should be only framed from within the standard economic and arrogant mindset that caused the problems in the first place.
- It is not! - The short term drives of the political system (3 year cycle and legislative system) works against effective implementation of the concept of sustainability – that concept is not well understood and so it cannot be implemented with any great effect.
- I think they kind of get the concept of sustainability, because they have had to – it's written into the Act. People at the top of the tree say, "we are going to be sustainable and everyone else have to move along with that." But there is resistance because 'sustainability, like smart' has not been well defined in council
- Not at all. But partly because the word 'sustainable – like smart' has come to mean so many differently things. The commercialisation of it has watered down that understanding further. I have no idea what council means by sustainability – how they define it? A really skilled leader would use this 'unknown and contested condition' to engage the City in discovery and together make the definition be doable and real for the City
- I think it is very weak
- If you don't have the right people, the right systems, with the right culture of attitudes and behaviours, you will never embed the concept of sustainability and you will never have successive building of integrated sustainable development, because it will be continually interrupted by the wrong choices and decisions from a few people who sit with the most power.

appendix K

Standards and Tools: available to Local Governments for sustainable development transitioning, monitoring and reporting

FANO Guide	Guideline	10 guidelines required for local sustainability results	www.governingsustainablecities.org ICLEI
Sustainment	Tool	Sustainability Management Centres Project – institutional & social CB [similar to EC's in NZ – re: resourcing, networking and awareness capacity building, except takes integrated I&SCB approach]	www.sustainment-project.net UBC
Local Evaluation 21	Tool : Sustainability Kit	Local Authorities online self-assessment, reporting and sharing tool for local processes for SD. Links to LA21	www.localevaluation21.org ICLEI
EMS Training Resources Kit (UNEP, FICIC, ICLEI initiative)	Tool	Local Management towards Sustainability (links to ISO 14001) – 1. supports local authorities understanding of the need for systematic approach to enviro challenges, 2. adaptable EMS framework to local context/admin needs, 3. provides knowledge and practical tools to implement EMS at local level.	www.unep.or.jp/ietc/announcements/emskit_launch.asp ICLEI
ISO 14001	Certification standard	A generic management systems stand that sets out criteria for Environmental management system, mapping out framework can follow. Does not state req's for enviro. performance. Focus is to improve resource efficiency, reduce waste and drive down costs. Links economic and environmental goals and can act to integrate mngt functions. Works on cyclical improvement – plan, do, check, act continuum	
NEST (Networking with EMAS for sustainable development)	Guidebook	Streamline and simplify the EMAS for smaller and less resourced authorities, based on networked approach. Utilises peer review processes and shared learning. Supports Aalborg Commitments 3, 4, 5 & 6	www.emasnetwork.org CEMR
ecoBUDGET	Tool	Instrument for environmental budgeting at the local level based on enviro-budgeting for ecological sustainability. Allows focus of reduced consumption over short and long term - 3 phases. ICLEI support o cities implementing ecoBUDGET	www.ecobudget.com ICLEI

Participative Budgeting	Method	
EnviPlans	Tool (Case Study on collaborative approach) <i>Future Proof / Forward Focus?</i>	<p>A bottom-up approach to budgeting that allows inclusion of people impacted by budget decisions to participate at front end of budget development process.</p> <p>Southern European Project Focus that ID's specific and common action (around climate conditions, sea & historic preservation, urban design, etc), building individual policy feeds into collective and sees implementation of Urban Environmental Management Plans for South European Area</p> <p>www.a21italy.it/a21italy/enviplans/home.htm</p>
Liveable Cities	Tool <i>Forward Focus?</i>	<p>Integrated Model Plan for Sustainable Urban Management that links to Aalborg commitments and supports local authorities in developing their sustainability urban management plans.</p> <p>www.eurocities.org/liveablecities/site/</p>
Urban Matrix	Tool	<p>Knowledge Exchange on Urban Sustainability</p> <p>Support Local authorities to ID gaps in knowledge related to sustainable urban development and support with implementation of DG Environment's Thematic Strategy on the urban environment and the Aalborg commitments.</p> <p>www.eurocities.org/main.php www.urban-matrix.net/survey.aspx www.sud-lab.com</p>

appendix L

Chapter 2: Section 2.4.2

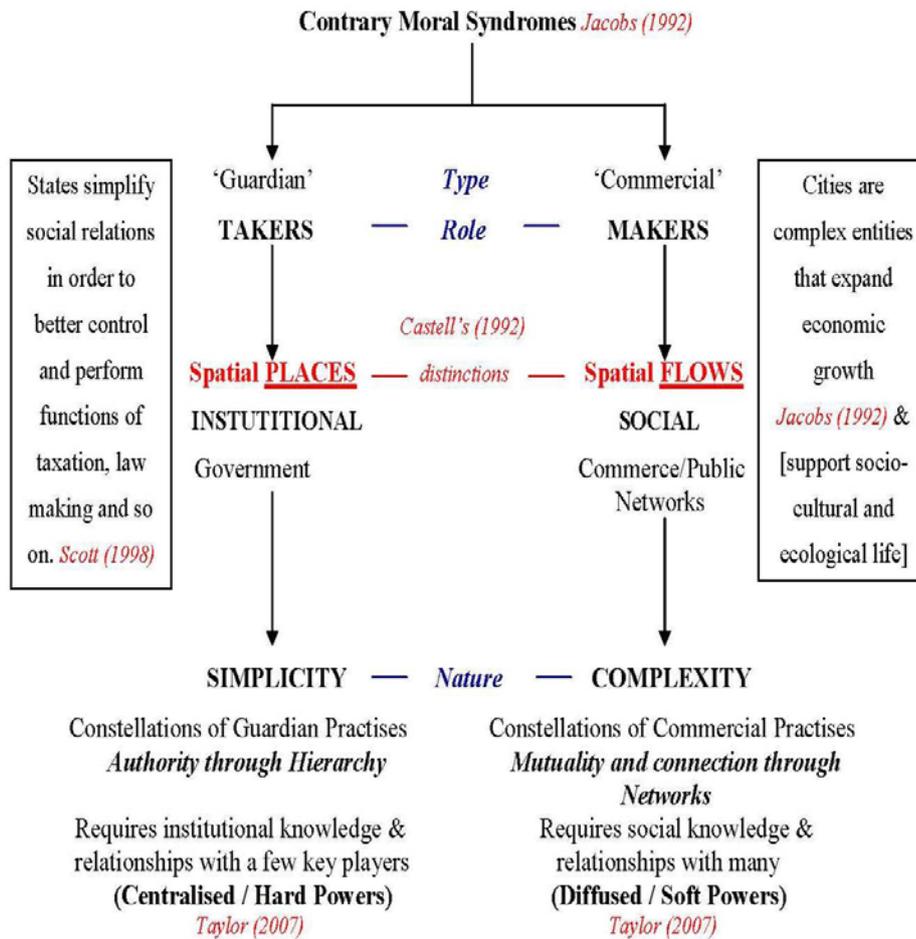


Figure 2.6: Nature of City/State and Commerce

Typologies of Local Government: Scott *et al.* 2004 5-6 and Geoform 31 2000 and others as noted.

Continental European Concept (North Europe)	Anglophone Tradition (South Europe)	Pluralist Approach	Modernisation Theory (NZ corporatised approach)	Modernisation Theory (EU/UK ecological approaches)
<p>Norton 1994</p> <ul style="list-style-type: none"> - Administrative institutions organic and form out of community - Legitimacy derived through local communities - Spheres of government having complementary roles - Seeks ways to build unity and avoid territorial fragmentation - Humanist values, humanity as social beings emphasised - Political view – steers toward collective approach - Legal Localism (Goldsmith 1996 191-192) 	<p>Page & Goldsmith 1987; Aberbach & Christensen 2003</p> <ul style="list-style-type: none"> - more pragmatic and instrumental - Legitimacy derived through legislation - Local government perceived by central government informally as an agent of CG but also one of a number of competing local interests - Utilitarian values and strong market model emphasis - Political view is one primarily of steering through legislation/policy - Political Localism (Goldsmith 1996 191-192) 	<p>Aberbach & Christensen 2003</p> <ul style="list-style-type: none"> - Communities are by nature diverse, therefore require institutional variety - Seeks to strengthen democratic base by embracing more actors and interests in a participatory engagement style - Public policy may have tendency to > ambiguity and < cohesion, however offers > legitimacy 	<p>Naschold 1997</p> <p>Three broad streams:</p> <ul style="list-style-type: none"> - Internal modernisation (focus on outcomes, output budgeting and flexi-work practices) - Democratising of decision-making (greater involvement of civil sector thru devolution of mahi/work - function/services to community (NGO/Volunteer sector) with tightly bound funding/performance oversight by central govt.) - Increased use of market style instruments (Privatisation, Public-private partnerships, Council controlled organisations) 	<p>Geoform 31 Editorial 2000</p> <p>Five Dimensions:</p> <ol style="list-style-type: none"> 1. Super-Industrialisation (uses economy/technology to reconcile human impacts with environment) 2. Macro-economic Restructuring (restructure of National-level technological/sectoral composition) 3. New Pollution Politics (economisation of ecology – underpins enviro. policy /planning in regulation & decision-making, mixed use regs/voluntary agreements) 4. Cultural Politics/Discourse (social/institutional capacity for debate/collaboration are critical to SD success) 5. Restructuring / Institutional Reflexivity (moves SD from periphery to centre of decision-making)
KEY PHILOSOPHICAL FEATURES				
<p>AIMS</p> <p>Focus on overall effectiveness through cultural diversity and decentralisation</p> <p>Stoker NCG</p> <p>New Localism and/or New Regionalism stemming out of United States “is about finding sub-national forms of decision-making that meet criteria for allocative efficiency and can also address equity concerns.” (Scott et al. 2004 6)</p>	<p>Focus on overall efficiency through cultural integration and centralised state</p> <p>Stoker TPA</p>	<p>Nature of NZ Bi-cultural philosophical differences</p> <p>Focus on overall engagement through diversity and in response to multiple power centres</p> <p>More toward Te Ao Māori</p>	<p>Focus on overall efficiency and effectiveness through restructuring of government – national agencies/local govt</p> <p>LGA 1989 Reforms</p>	<p>Focus on overall efficiency and effectiveness through the five dimensions</p> <p>Stoker NPM</p>

appendix M



Figure 5.4: 2005 Community Outcomes

Source: Hamilton Community Outcomes Progress Indicators Report – Executive Summary 2009 3.

appendix N

Table 5.7: Extract from Group 6 Report – Policy Deletions

20. Key Issues

21. Group 6 Policies

22. There are 7 existing policies and 1 proposed new policy in Group 6. The following table outlines the key research findings and high level recommendations for consideration.

Policy	Key Issue Policy addresses	Review findings	High level staff recommendation
Agenda 21	The policy outlines Councils commitment to the principles of Agenda 21 and as a tool for making progress towards sustainability issues.	Sustainability issues are more appropriately addressed by the Environmental Sustainability Strategy (under review) and the corporate sustainability plan (under development)	Delete policy. Incorporate sustainability intent into Sustainability Strategy and Corporate Sustainability Plan.
Crime Prevention Through Environmental Design (CPTED)	The policy outlines Councils commitment to incorporating CPTED principles into design, planning and implementation.	Council is a signatory to the Urban Design protocol which has CPTED as a central principle. CPTED issues are adequately addressed through Vista and the proposed District Plan (S 4.15 Urban Design).	Delete policy. Incorporated sufficiently into District Plan and embedded in current practice.
Environment	This policy sets a vision and goals for promoting and enhancing Hamilton's physical environment. It addresses requirements under the RMA, and Agenda 21 .	Significantly out of date. Environmental impact now recognised as a key aspect of how Council does business and as such has been integrated into day to day business.	Delete policy. Incorporate sustainability intent into Sustainability Strategy and Corporate Sustainability Plan.
ICLEI	This policy provides	HCC's membership has	Delete policy.

membership	confirmation of Councils membership of ICLEI (international Council for Local Environment Initiatives).	lapsed (last membership fee made in 2009). Payments ceased as a result of ICLEI no longer providing the Communities for Climate Protection (CCP) in New Zealand. This was the only active ICLEI programme the Council was involved in. No value was considered in the membership without the CCP programme and its support.	
Waste	Policy sets out national waste targets and council's commitment to achieving them. Policy has a supporting waste action plan.	Targets and action plan now out of date. Some achieved (household recycling) others not (green waste and Construction and Demolition wastes). Govt has set new targets through the Waste Minimisation Act 2008.	Delete Policy. Rely on Waste Minimisation and Management Plan as required by legislation.

appendix O

Refer to Chapter 5: Section 5.4

Figure 5.5: Eight HCC Strategies and their Review Positions

Figure 5.5 shows the flow from vision/outcomes and goals through the strategies, which feed into policy, planning and operational ends of the business. It also identifies – as at 1 November 2012 – the schedule and status of the review process for the eight HCC strategies.

Table 5.5: Five of Eight Strategies Review Groups

Table 5.5 takes five of the eight strategies: Economic Development, Environmental Sustainability, Active Communities, Social Wellbeing and the approved Arts Agenda and tabulates which key stakeholders, HCC has invited to the ‘consultation table’, for each strategy.

Table 5.8: Inter-Collaboration of Three Groups

In Table 5.8 shows the three groups who have been working in parallel on the three sustainability initiatives. There are some ‘cross-overs’ in personnel between the three groups, but the level of inter-collaboration is not obvious and appears to rely on individuals, minutes and standardised ‘high-line’ reporting mechanisms.

Refer to Chapter 5: Section 5.3

Table 5.9: HCC Senior Leadership Team Organisational Chart

Table 5.9 presents the organisational chart of the senior leadership team and their portfolio responsibilities as per August 2011 (Hamilton City Council 2011f). These managers sit on or cycle through the three sustainability development groups. Apart from the ‘invited elites’ the format is very inward facing and control-oriented.

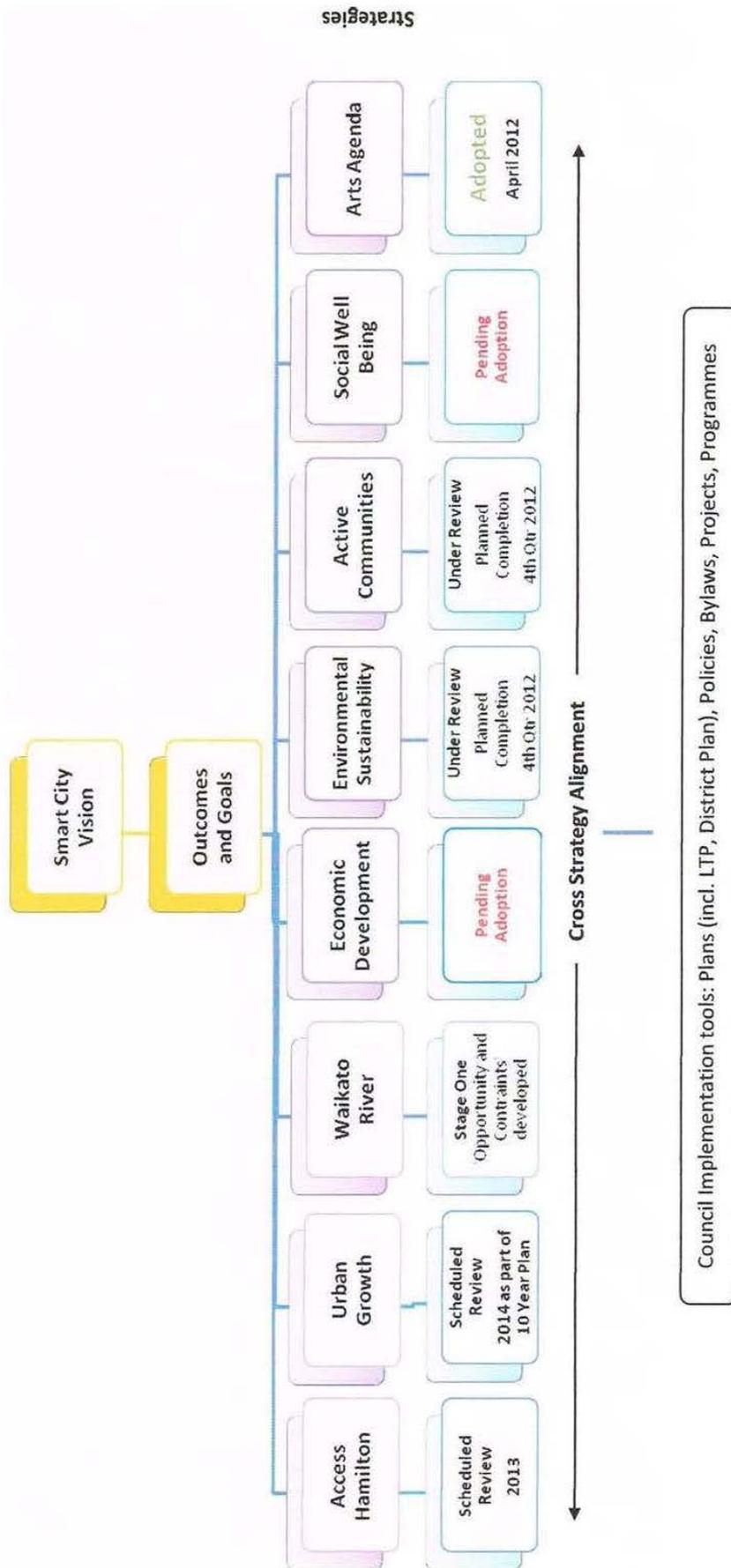


Figure 5.5: Eight HCC Strategies and their Review Positions

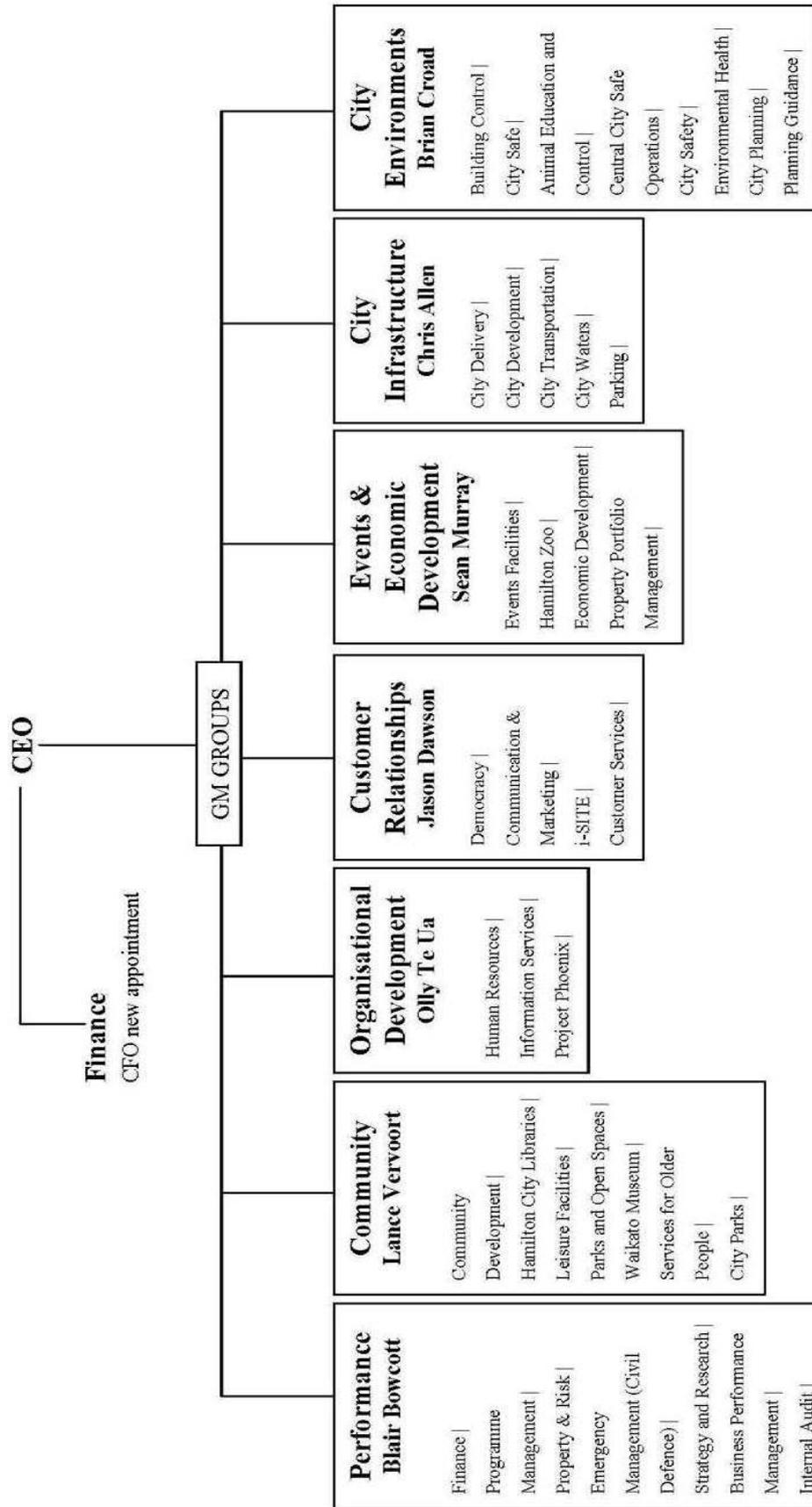
Table 5.5: Five of Eight Strategies Review Groups

Four of the Eight Strategies under review plus new Arts Agenda:	Economic Development	Environmental Sustainability	Active Communities	Social Well Being <i>S&P Committee Minutes (Sept & Nov 2012)</i>	Arts Agenda (Adopted)
<p>'Stakeholder' Consultation Groups ... invited by HCC to participate in the Review/Formation of new or altered strategy development.</p>	<p><i>Unable to identify Stakeholders from public documents, groups as per 2005 strategy document</i></p> <ul style="list-style-type: none"> ● Hamilton Mayor ● Councillors? ● Vice Chancellor - UoW ● CE - Ham Interntl Airport ● CEO - Wintec ● DoL ● Biz Dev. Centre ● CEO - Tainui Holdings ● Katolyst Group ● NZ Trade & Enterprise ● CEO Waikato Chamber of Commerce ● CE - Ag Research <p><i>(Pending Adoption Nov 2012)</i></p>	<p><i>S&P Committee Minutes (Sept 2012)</i></p> <ul style="list-style-type: none"> ● Julie Hardaker (Ham. Mayor/Chair) ● Cr Bell ● Cr Wilson ● Chris Allen (GM City Infrastructure) ● Marcus Kohn-Taylor (WEL Networks - GM commercialisation) ● Bruce Clarkson (Dean - Centre for Biodiversity & Ecology Research) ● Heidi Mardon (National Director/Enviroschools) ● Dr Eva Collins (School of Management UoW) ● Bob Latng (CEO - WRCC) ● Tim Manukau (Enviro Mngr - Tainui Holdings) ● Wiremu Puke (Hapu Representative - Nga Mana Toopu O Kirikiriroa Ltd) ● Jack Nimmes (Waik Branch Pres. -EMA) ● Philippa Barriball (Mngr - LG & Community Relations) ● Rob Dol (Chair - Property Council) ● Rob Sweet (Enviro Consultant) ● Cr Westphal (obs) <p><i>Not represented but included original 2005 stakeholder group ... DOC & Sustainable Biz Network</i></p> <p><i>(Pending Adoption Dec 2012)</i></p>	<p><i>Unable to identify Stakeholders from public documents, groups as per 2005 strategy document</i></p> <ul style="list-style-type: none"> ● Hamilton Mayor ● Councillors? ● NZ academy of Sport ● SPARC ● Perry Group Ltd ● Sport & Leisure Studies - UoW ● Life Unlimited Trust ● Sport Waikato ● Ministry of Education ● Waikato Principals Association ● Waik District Health Bd - Healthy Eating Healthy Action ● Sports & Exercise Science - Wintec <p><i>(In Progress)</i></p>	<p><i>S&P Committee Minutes (Sept & Nov 2012)</i></p> <ul style="list-style-type: none"> ● Julie Hardaker (Ham. Mayor/Chair) ● Cr Forsyth ● Cr Mahood ● Lance Vervoort (GM Community) ● Greg Versalko (Reg. Mngr CYFS) ● Andrea Goble & Jane Stevens (CEO / Mngr - Community Waikato) ● Darren Troy (Mngr - Housing NZ) ● Chris Day (Reg. Mngr - MoE) ● Mike Douglas (Coun. Mngr - Ministry of Justice) ● Te Rehia Papesch (Reg. Commissioner MSD) ● Blair Gilbert (Reg. Mngr - M of Youth Dev) ● Win van der Velde (Waik Dist Comdr NZ Police) ● Gail Campbell (Reg. Director - Te Puni Kokiri) ● Glen Tupuhi (Mngr Strat Dev - Te Rununga O Kirikiriroa) ● Bev Gatenby (CE - Trust Waikato) ● Brett Paradine (GM Planning & Funding - Waik. Dist Health Bd) ● Merran Davis (Dean - Wintec) ● Peter Waru (Reg. Mngr - Family & Community Services) ● Michelle Nathan (Tribal Development Mngr - Waik. Raupatu Lands Trustee Co) ● Sandra McKenzie (Ethnic Affairs Adviser - DIA Office of Ethnic Affairs) <p><i>(Pending Adoption Nov 2012)</i></p>	<p><i>S&P Committee Minutes (Adopted)</i></p> <ul style="list-style-type: none"> ● Julie Hardaker (Hamilton Mayor) ● Lance Vervoort (GM Community, HCC) ● Ann Hardy (University of Waikato) ● Muriwai Ihakara (Creative New Zealand) ● Tipa Mahuta (Tainui) ● Margi Moore (Wintec) ● Sarah Nathan (Creative Waikato) ● Dorothy Waking (community representative) ● Eamon Walsh (community representative) ● Jeremy Bell (community representative) ● Rupert DCruze (community representative) ● Pam Roa (community representative) <p><i>(Adopted April 2012)</i></p>

Table 5.8: Inter-Collaboration of Three Groups

Table 5.8: Three Sustainability Development Groups		
Sustainability Leadership Forum	Sustainability Working Group	Corporate Sustainability Plan
<p>KEY DRIVER: HCC Mayor Hardaker (Chair)</p> <p>PARTICIPANTS: HCC Mayor Hardaker, Cr Bell, Cr Wilson, Cr Westphal (observer), Chris Allen – GM Infrastructure Dr Eva Collins – UoW, School of Mngt Bruce Clarkson – Dean, Centre for Biodiversity and Ecology Research Bob Laing – CE WRC Marcus Kohn-Taylor – GM Commercialisation, WEL Networks Tim Manukau – Environmental Manager Taimui Wiremu Puke – Hapu Rep Heidi Mardon – Enviro-schools Nat'l Director Jack Nimmes – Waik Branch President, EMA Phillipa Barriball – Mngr LG & Community relations, Fonterra Rob Dol – Property Council Chairman Rob Sweet – Environmental Consultant</p> <p>PURPOSE: See Environmental Sustainability Strategic Review</p>	<p>KEY DRIVER: Cr Daphne Bell (Chair)</p> <p>PARTICIPANTS: HCC Mayor Hardaker, Cr Mahood (District Plan) Cr Bos (Waste) Cr Westphal (Future Proof / Policy & Strategy) Cr Wilson (Sustainability Leaders Forum) Strategy & Research – Aaron Fleming & Gareth Cartwright</p> <p>SLT then cycle through offering input around various components of business being discussed. Most sessions have themed focuses for discussion.</p>	<p>KEY DRIVER: Strategy & Research Unit</p> <p>PARTICIPANTS: Internal team of experts and highly engaged staff. 12 in development group with General Managers providing guidance.</p> <p>Instruments used: Gap analysis and planning for implementation at operational end of Council business.</p>
<p>PURPOSE: See Environmental Sustainability Strategic Review</p> <p>INFORMATION FLOW: Feeding into the revised Environmental Sustainability Strategy</p>	<p>PURPOSE: To embed the sustainability plan for Council</p> <p>INFORMATION FLOW: Informs SLF via participant cross over and meeting minutes. Strategy & Research serve as link between SWG & CSP</p>	<p>PURPOSE: First year focuses on building better core performance in energy, water, waste and procurement areas.</p> <p>INFORMATION FLOW: Reports to Senior Leadership Team (C.E. & GMs) Feeds to Sustainability Working Group</p>

Table 5.9: HCC Senior Leadership Team Organisational Chart



appendix P

From the literature review, a full matrix (A3 insert) of sustainability-oriented values for wise city governing has been constructed. The eight progressive stages of governing styles from this matrix were then overlaid onto Arnstein’s ladder of participation model to evolve an equally simplified new ladder of wise city governing. Rungs one and two represent the traditional blue business-as-usual fiscal orientation in organisational thinking and action. Rungs three to five are representative of a growing sustainability awareness but lack an ability to take the aspiration into authentic action, producing instead a pale green-wash that actually tends to undermine the true concept of sustainability. The rungs six to eight represent a greater shift toward wise governing and which has an overarching organising principle that enables the bridging of the sustainability aspiration-action divide. From the survey and case study’s collective findings, the NZ mid-sized city governing landscape is evidenced to be predominantly sitting within the tokenism rungs (three to five), with possibly one of the surveyed cities purposively stretching more toward rung six.

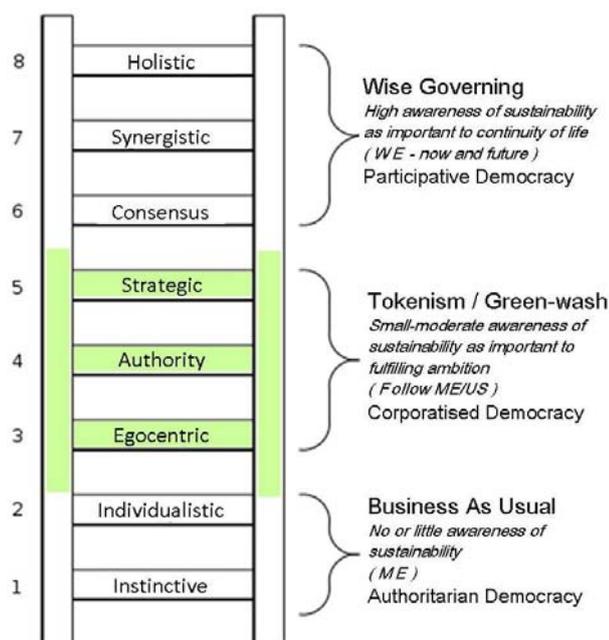


Figure 7.2: Ladder of Wise City Governing

Evolved Model from Arnstein 1996; Ladder of Participation Reproduced with permission

Principle	Instinctive	Individual	Egocentric	Authoritative	Strategic	Consensus	Synergistic	Holistic
Ambition	Routine-Self focused Haves/have nots Powerlessness of many No awareness of SO Lack of Attentional Dimensions Reactive to environment challenges	Judging / bias of other (tell our way) Haves/have nots Small awareness of SO primarily for internal driver Lack of Attentional Dimensions	Informing other (tell/teach our way) Haves/have nots Low level understanding of SO primarily for internal driver Stability Attentional Dimension used	Consulting other (listen other/ tell/teach our way) Haves/have nots Moderate level understanding of SO primarily for internal driver Stability & Vividness Attentional Dimensions used	Placating other (invited or highly formalised inputs within limited scope) Haves/have nots Moderate-Good level understanding of SO primarily for internal driver Stability & Vividness Attentional Dimensions used	Including other (open forum, high debate, good conflict mngt capacity) Networking, Sharing, Cooperation, Connection Higher level understanding of SO Attentional Dimensions used - Stability/Vividness/Cohesion Proactive to Environment challenges	Valuing other (collective problem ID, solution making, share knowledge) Community Networking, Sharing, Cooperation, Connection High level understanding of SO Attentional Dimensions used - Stability/Vividness/Cohesion Proactive to Environment challenges	Balancing with other (collective problem ID, solution making, share knowledge) Co-governing, proactive to Environment challenges Networking, Cooperation, Connection, Mutuality Highly advanced level understanding of SO Attentional Dimensions used - Stability/Vividness/Cohesion
Internal Driver	Do job /what is instructed (easy to slip into rut/presenteeism) Efficient Top-Down Leadership with passive followers Unquestioning / No enquiry	Self reward - Personal advancement Efficient Top-Down Leadership with passive followers Unquestioning / No enquiry	Title importance - Career advancement Efficient Top-Down Leadership with passive followers Unquestioning / No enquiry Reliance on experts to justify decisions	Sense of Moral Importance – perceived as duty for organisational acceptance and personal advancement Efficient Top-Down Leadership with voluntary followers Questioning within authority level Reliance on experts to justify decisions	Limited sense of Ethical Importance (enhances business case, promotes personal & organisational reputation/fiscal resiliency) Quality Top-Down / Peer Leadership with voluntary followers Questioning within bounded scope Reliance on experts to ID problems and suggest remedies	Ethical / Respect Importance Diversity / Debate /Open minded Self Principled / Attentiveness Quality multi-participant Leadership with active followers Multi-party inputs, weighted importance in decision-making	Ethical / Respect Importance Diversity / Debate /Open minded / continual learning Self Principled / Attentiveness / Responsibility Conviction of Importance Systems Continuance Enlightened multi-dimensional Leadership with dynamic followers	Ethical / Respect Importance Diversity / Debate /Open minded / continual learning Self Principled / Attentiveness/ Responsibility Conviction to Whole System Continuance Enlightened multi-dimensional Leadership with dynamic followers
External Driver	Power resides with small group of other Elites Fiscal Growth Imperative No ambition to SO but subject to outside force (legislation/statute reqs or customer demands) Traditional Public Admin with clear division of tasks/responsibilities	Power resides with small group of Elites Fiscal Growth Imperative No ambition to SO but subject to outside force (legislation/statute reqs or customer demands) Traditional Public Admin with clear division of tasks/responsibilities	Power resides in Hierarchy Elites Fiscal Growth Imperative No ambition to SO but subject to outside force (legislation/statute reqs or customer demands) Traditional Public Admin with clear division of tasks/responsibilities	Power resides in Hierarchy Elites Fiscal Growth Imperative Little ambition for SO, subject to outside force, growing concern for customer satisfaction New Public Management with clear division of tasks/responsibilities	Power resides in Hierarchy Elites Fiscal Growth Imperative Moderate ambition for SO, subject to outside force, high concern for customer satisfaction New Public Management with clear division of tasks/responsibilities	Power resides in collective active civil pressure Human/Natural/Fiscal Ecology Imperative High SO / SD as guiding principle to organisation Community Governance	Power resides in collective active civil pressure Human/Natural/Fiscal/Cultural Ecology Imperative Flexible/Innovative/Evolved Systems imperative High SO / SD as guiding principle interconnected across organisations New Shared Governing	Power resides in collective as co-creators – dynamic civil pressure / equal partners Flexible/Innovative and Adaptively Evolving Systems imperative High SO / SD as guiding principle across boundaries New Co-Governing
Criteria for Decision-making	Cellular Cogs & Silos Immediacy Highly Controlled / Lacks transparency – unable to assess accountability/responsibility performance Strong Efficiency Focus	Gain-Loss / Silos Immediacy Highly Controlled / Lacks transparency – unable to assess accountability/responsibility performance Strong Efficiency Focus	Gain-Loss / Team within Silo Short-Medium Impact on personal power Highly Controlled / Lacks transparency – unable to assess accountability/responsibility performance Strong Efficiency Focus	Gain-Loss / Team within Silo Short-Medium Authority procedure and purpose Highly Controlled / Limited transparency thru sanitised reporting Strong Efficiency Focus	Gain-Loss / Team within Silo Short-Medium Return of investment / fiscal resiliency Highly Controlled / Limited transparency thru sanitised reporting Strong Efficiency but growing awareness of importance of balancing Effectiveness	Cross project / flexi team / decision-making can take time Win-Win Short & Long / Local & Global Consent of all re; impact on Three SO principles Art of balancing Efficiency and Effectiveness Open real time reporting	Cross project / flexi team / decision-making can take time Adaptability Preservation Gains Short & Long / Local & Global Consent of all re; impact on Four SO principles Art of balancing Efficiency and Effectiveness Open real time reporting	Cross project / flexi team / decision-making can take time Prime system continuance + 2 nd ry systems adaptive continuum High Mutuality Benefit / Local & Global / Short & Long Art of balancing Efficiency and Effectiveness Open real time reporting
Risk to Organisation	High Probability of Relational Distrust Inefficiencies/Waste Less effective effort Dissatisfied Pockets	High Probability of Relational Distrust Inefficiencies/Waste Less effective effort Dissatisfied Pockets	High Probability of Relational Distrust Inefficiencies/Waste Less effective effort Dissatisfied Pockets	High Probability of Relational Distrust / Higher Subterfuge Inefficiencies/Waste Less effective effort Dissatisfied Pockets	Moderate Possibility of Relational Distrust Increase in Time & Cost Disconnection of Parts / Higher Subterfuge	Less Control of Process Outcome may not be what organisation wants High Upfront Time & Cost	Less Control of Process Outcome may not be what organisation wants High Upfront Time & Costs	Shared Control of Process Outcome may not be what organisation wants High Upfront Time & Cost
	BLUE ZONE Non-awareness Non-participatory Authoritarian Democracy			PALE GREEN ZONE Green wash / Tokenism Selected/Invited Participation Corporatised Democracy			DEEP GREEN ZONE	Interconnection / Holonic Open Inclusive Participation Participative Democracy
SIMPLIFIED TYPOLOGIES OF SUSTAINABILITY-ORIENTED (SO) ORGANISATIONAL CULTURE								

appendix Q

Wise City Governing:

Capacity Building Strategies and Tactics for Local Sustainable Development Success:



Model Template: www.presentationmagazine.com

Fano Guidelines: http://informed-cities.iclei-europe.org/fileadmin/template/projects/primus/files/forum_presentations/sancassiani_localcapacity21.pdf

The seven core strategies for building local capacity and enabling greater sustainable development success, have been based on the ten Fano Guidelines, and tailored to the New Zealand local city governing context that has been explored and discussed, within this thesis study.

Organisational learning is the central component that holds the six other strategies together, but all strategic components are important to have equally developed within, across and between all actors, and elements, of a public authority organisation, so that the institutional and social capital is strongly bridged, bonded and braced (see for example, Putnam 2000; Rydin and Holman 2004).

The seven components are set out in more detail over page.

The FANO Guidelines (10 elements simplified to 7 – a whole systems focus)		Wise City Governing Study
STRATEGY	TYPICAL TYPE OF TACTICAL APPLICATION	BENEFITS (derived from survey/case study exploration)
Learn as an Organisation	<ul style="list-style-type: none"> Practise regular 'Reaching out/Reaching in' to learn from others and share with others (locally/nationally/internationally). Instil a culture of enquiry and reflexivity. Training investment for politicians and officers on the concept of sustainability and how to better enact/action integrated sustainable development. Include the history of NZ local government and sustainable development into induction training. 	<ul style="list-style-type: none"> Builds Institutional Capacity through reflexivity, enquiry and knowledge sharing. Keeps organisational pace with social and technological developments. Creates an environment of better informed decision-making. Builds greater richness of institutional and social network connectivity. Works towards greater cohesive sustainable development successes for organisation and city. Bridges relational weak links and reduced risk of organisational entropy.
Design out Policy-Action Silos	<ul style="list-style-type: none"> Embed the concept of sustainability as the overarching organising principle. Re-create the institutional design to better reflect the complexities of the modern sustainability-oriented city. Embed a whole systems approach into the design so that 'organisational attention' can be created and early signals of unsustainable thinking and action can be remediated. 	<ul style="list-style-type: none"> Enables 'in/out/up/down feeds' that combine knowledge from within, across and between the institutional and social capital of the city. Systems design that allows for the organisational/city dimensions of stability, vividness and cohesion to be embedded. Structure, function, processes and practises alignment to allow more 'efficient + effective' utilisation of resources within the bureaucratic production, consumption and waste cycle. Creates opportunities for greater idea/task improvement exchanges and harvesting collective experience through a cross-departmental approach to the 'ways of working'.
Strengthen Alliances: People/Organisations	<ul style="list-style-type: none"> Demonstrate democracy in action in problem identification and solving. Build alliances through an open attitude towards inclusive invitations for genuine participative engagement. Build trust through equitable and caring partnerships. 	<ul style="list-style-type: none"> Harvests and retains collective social and institutional knowledge. Demonstrates democratic and personal respect in action. Shares power within the influencing sphere of the decision-making process. Builds mutual trust via shared effort. Cements collective commitment to where City and Organisation is heading.
Develop Credible Leadership	<ul style="list-style-type: none"> Lead by example. Just like good parenting - <i>Be authentic, be caring, be open, be listening and inclusive, be fair and clear (even in the tough calls – explain why a decision has been made a certain way).</i> Share the Burden - Recognise leaders need followers and that followers can be leaders at times too. 	<ul style="list-style-type: none"> Connects the words to the actions. Models the desired attitudes and behaviours for sustainable development. Facilitates the continued enrichment of debate and dialogue around sustainability principles. Provides multiple ways for formal and informal participatory input into the political process in between voting cycles and above the minimum legislative requirements. Builds bureaucratic credibility and trust within civil society.

The FANO Guidelines (10 elements simplified to 7 – a whole systems focus)		Case Study
STRATEGY	TYPICAL TYPE OF TACTICAL APPLICATION	BENEFITS (derived from survey/case study exploration)
Build the Numbers	<ul style="list-style-type: none"> Win peoples interest through increased awareness and inclusive discussions. Win peoples commitment through making sustainable choices easier than unsustainable ones. Keep the vision alive and cohesive within the continuum of renewal and adaptation. 	<ul style="list-style-type: none"> Stimulating opportunities to educate about the human-natural ecological imperative through a variety of mechanisms buildings inclusion, capacity of understanding and increases societal tolerance. Utilising technology to enable quick, easy and cost effective opportunities for informal 'input and feedback' mechanisms that can transparently progress through to the political aspiration-action continuum process builds institutional and social capital confidence. Building on that technology to have real-time tracking, monitoring and reporting on action steps, in simple language and easily understood data increases participative democracy levels and keeps the vision alive because people can see how their choices influence the health of the whole city. Increasing citizen and stakeholders perceived multiple-spheres of value for the city, lends greater ease with making forward thinking adaptive choices.
Make Spaces for Creativity and Innovation	<ul style="list-style-type: none"> Many Minds - Provide the environment for correct problematisation of existing and new human and natural ecology continuity conflicts. Create the time and space for creative, innovative solution-making to meet these evolving challenges. Build awareness that identifying and responding to existing/new human and natural ecological challenges is every ones responsibility. 	<ul style="list-style-type: none"> An environment that fosters innovative and creative solutions within the democratic process attracts and retains people to the organisation and the city. Innovative solutions to local problems create opportunities for greater social and green-economic depth, while still valuing the natural and cultural ecologies of the city. Shared responsibility spreads the burden of re-gearing the current unsustainable socially constructed conceptual framework and logic. Sustainable development successes can then be shared back with authority peers nationally and internationally.
Reinforce the Circles of Influence	<ul style="list-style-type: none"> Improve local government credibility by transitioning from perceived 'Agent' to tangible 'Advocate'. Network, share and learn from other cities and towns - Nationally and Internationally. 	<ul style="list-style-type: none"> Championing local sustainable development success within government circles creates the space for ongoing enrichment of the dialogue about the concept of sustainability and the task of enacting and implementing integrated sustainable development. Lobbying upward for greater support through aligned strategy and legislative frameworks and the provision of better resourcing for sustainable development transformations. Sharing learning, successes and failures openly with other Authorities builds credibility and advances the capacity of wise governing within a context of modern city complexities.