



Key Drivers for Policy and Practice Change in Social Housing

Queensland Mental Health Commission

Final Report

August 2017



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Inherent Limitations

This report has been prepared as outlined in the Introduction. The services provided in connection with this engagement comprise an advisory engagement which is not subject to Australian Auditing Standards or Australian Standards on Review or Assurance Engagements, and consequently no opinions or conclusions intended to convey assurance have been expressed.

No warranty of completeness, accuracy or reliability is given in relation to the statements and representations made by, and the information and documentation provided by any of the parties consulted as part of the process.

KPMG have indicated within this report the sources of the information provided. We have not sought to independently verify those sources unless otherwise noted within the report.

KPMG is under no obligation in any circumstance to update this report, in either oral or written form, for events occurring after the report has been issued in final form.

The findings in this report have been formed on the above basis.

Third Party Reliance

This report is solely for the purpose set out in the Introduction and for the Queensland Mental Health Commission's information, and is not to be used for any other purpose.

This report has been prepared at the request of the Queensland Mental Health Commission in accordance with the contract dated 24 April, 2017 and may be made available on the Queensland Mental Health Commission's website. Other than our responsibility to the Queensland Mental Health Commission, neither KPMG nor any member or employee of KPMG undertakes responsibility arising in any way from reliance placed by a third party on this report. Any reliance placed is that party's sole responsibility.

Glossary of Terms

<i>Acronym</i>	<i>Full term</i>
DHPW	Department of Housing and Public Works
QMHC	Queensland Mental Health Commission
ASB	Anti-social Behaviour
ISSR	Institute for Social Science Research
LNP	Liberal National Party
IGHA	Interagency Group for Housing Assistance
DCCSDS	Department of Communities, Child Safety and Disability Services
DATSIP	Department of Aboriginal, Torres Strait Islander Partnerships

Executive Summary

KPMG has been engaged by the Queensland Mental Health Commission (the Commission) to identify the key drivers of successful reform in policy and practice in social housing for tenants with complex needs arising from the Commission's Ordinary Report: *Social housing: Systemic issues for tenants with complex needs* (the Ordinary Report). The Ordinary Report was one of the key contributions of the Commission in the policy change related to implementation of the Anti-Social Behaviour (ASB) Management Policy introduced by the then Queensland Government in 2013.

The ASB Management Policy formed part of a broader housing strategy to manage the growing demand for social housing. The Commission brought attention to the unintended impact of the ASB Management Policy on social housing tenants with mental health concerns, mental illness and problematic alcohol and other drug use, particularly their ability to successfully sustain social housing tenancies.

The Commission prepared the Ordinary Report drawing on extensive research undertaken by the Institute of Social Science Research (ISSR) based at The University of Queensland. The Ordinary Report's focus was on the impacts of the ASB Management Policy, and drew upon a range of case studies and other evidence to support 12 recommendations to address systemic issues associated with social housing and the ASB Management Policy. The ASB Management Policy was ultimately replaced by the Queensland Government in December 2015. The Commission continues to work with key social housing stakeholders to implement the recommendations from the Ordinary Report to continue to address the issues identified.

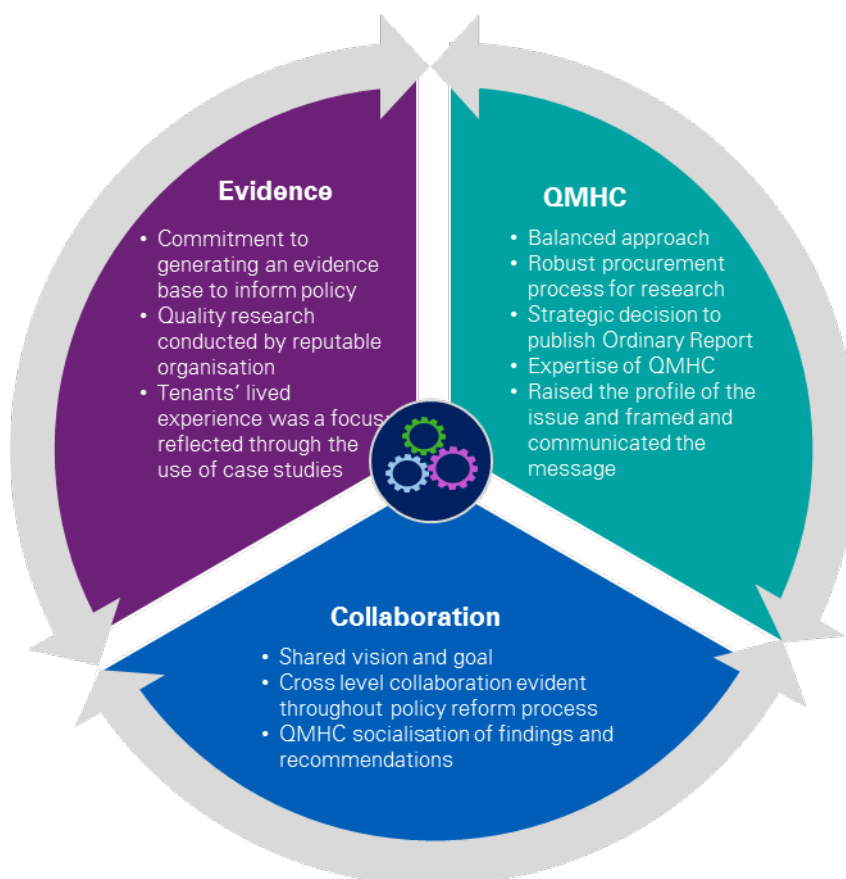
The Commission has been commended for its work in preparing the Ordinary Report and its role in influencing policy change on the issue of social housing for tenants with complex needs. An independent review of the Commission's functions by the Public Service Commission recommended an evaluation of the key drivers that enabled this change to social housing policy and practice reform in order to understand the process of reform and to inform the Commission's future activities.

KPMG was engaged to conduct this evaluation. To do this, KPMG developed an evaluation framework, reviewed relevant policy and reform literature, and consulted with a range of stakeholders to understand the Commission's approach to influence reform and to identify the key drivers of policy and practice change in social housing. The evaluation covers the period from 1 September 2013 to 31 December 2016, focusing on the events that led to the Commission's decision to prepare the Ordinary Report in the wake of the introduction of the ASB Management Policy, as well as the activities that have followed the publication of the Ordinary Report, including the decision by the Queensland Government to remove the ASB Management Policy.

The final report (this document) presents the findings from the evaluation and the results of consultations with key stakeholders.

Three key drivers of policy and practice reform in social housing were identified which are shown in the figure overleaf.

Figure 1: Overview of key drivers



Source: KPMG, 2017

The first driver of reform was **evidence**. The ISSR research commissioned by the Commission was seen to have established an evidence base in the absence of empirical support or policy analysis around the introduction and implementation of the ASB Management Policy. More importantly, the quality of the research and the meaningful insights it provided were viewed as essential in supporting and mobilising stakeholder concerns around the potential impacts of the policy on this particularly vulnerable cohort of social housing tenants.

The second driver of reform identified was **collaboration**. Within formally established working groups, through participation and support of research, the Commission worked closely and collaboratively with a range of stakeholders involved in the policy proceedings that ensued around the ASB Management Policy and its implementation. It was evident from interviews with the stakeholders involved across the relevant agencies that parties were united by a shared goal to improve outcomes for social housing tenants with complex needs and to address systemic issues that may hinder this improvement.

The third and final driver of reform was the **role of the Commission**. Most stakeholders commented that the expertise of the Commission made a real difference to the way in which the research and the Ordinary Report were able to influence policy thinking and outcomes. In particular, the Commission was seen as a trusted and expert source of objective advice by all stakeholders at senior levels across the agencies. The fact that the Commission's Ordinary Reports are tabled in Parliament was also considered to have been instrumental in garnering support for change.

The work of the Commission through its Ordinary Report and ongoing contribution to the development of social housing policy must be seen in the broader political and bureaucratic context. This context changed and evolved over the period with numerous changes in Ministers and most notably a change in Government during the period of review.

The current Government has rescinded the ASB Management Policy in line with its policy intent of introducing greater fairness into the social housing system. Stakeholders broadly rated that the Ordinary Report, and the subsequent involvement of the Commission, had resulted in the issue of social housing tenants with complex needs having a much higher profile than it had previously. There were also further policy developments and outcomes associated with the increased profile of the issue including a Mental Health Demonstration Project to trial a more integrated service approach for tenants with complex needs in social housing which is currently being piloted in Fortitude Valley and Chermide.

The findings of the evaluation suggest that the Commission contributed to the change through the use of robust, quality evidence, facilitating meaningful, genuine collaboration, and providing expert advice. The Commission is likely to continue to play an important role to support positive change for those living in social housing with complex needs. In light of this, the evaluation has suggested further considerations which are designed to assist the Commission in achieving its vision to drive ongoing reform towards a more integrated, evidence-based, recovery-orientated service system for those experiencing mental health and/or substance use issues in Queensland.

1 Introduction

1.1 Overview

KPMG has been engaged by the Queensland Mental Health Commission (the Commission) to conduct an evaluation of the key drivers of successful reform in policy and practice in social housing arising from the Commission's Ordinary Report *Social Housing: Systemic issues for tenants with complex needs* (the Ordinary Report).

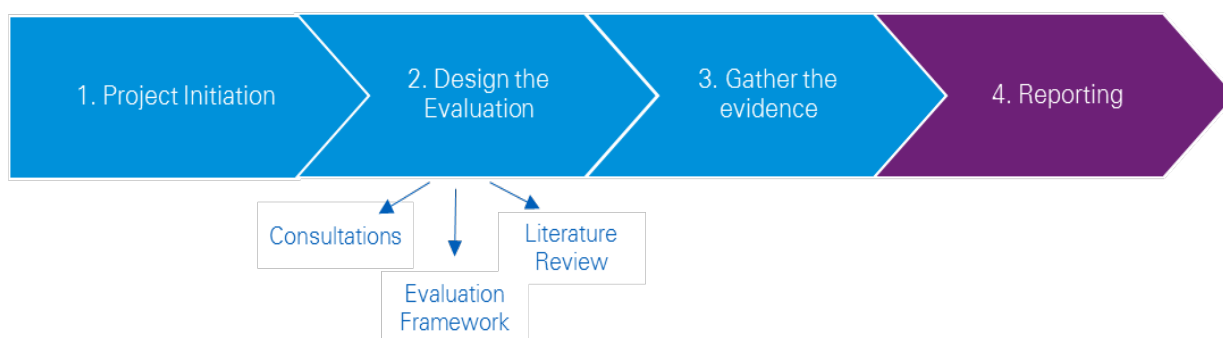
The evaluation covers the period from 1 September 2013 to 31 December 2016, focusing on the events that led to the Commission's decision to prepare the Ordinary Report in the wake of the introduction of the Anti-Social Behaviour (ASB) Management Policy, as well as the activities that have followed the publication of the Ordinary Report, including the decision by the current Government to remove the ASB Management Policy.

The purpose of this report is to present findings in relation to the key drivers of the development and impact of the Ordinary Report.

1.2 Method and approach

The engagement was conducted over a number of key stages which are outlined below:

Figure 2: Overview of key engagement stages



Source: KPMG, 2017

KPMG undertook a series of activities as part of this engagement.

First, the available literature was analysed to understand the role of the Commission in the policy proceedings surrounding the ASB Management Policy, and how the Commission contributed to the policy change. Specifically, research around the various mechanisms for influencing policy, drawn from theories of policy change, were reviewed. The literature review also canvassed approaches to evaluating the impact of advocacy and other policy influencing activities. The literature review (presented in Appendix A) has framed the approach to evaluating the key drivers of social housing policy and practice reform, as well the evaluation framework.

The evaluation framework (presented in Appendix B) outlined the program logic underlying the Commission's role in influencing social housing policy change. This program logic was determined based on the consultations with key Commission staff involved in the Ordinary Report and the activities that followed the publication of this report, as well as the theoretical perspectives contained within the literature review. Drawing on this program logic, the evaluation framework was used to guide data collection activities and provide the framework for analysing the qualitative data, and also specified the consultation questions asked of stakeholders.

KPMG conducted three one-hour interviews with Commission officers and 14 one-hour interviews with stakeholders external to the Commission. The consultations assessed the program logic presented in the evaluation framework and the specific outputs that were theorised to contribute to policy and practice reform: the Ordinary Report; and relationships with stakeholders. Stakeholder consultations also explored:

- The Commission's approach—both formally and informally, from inception through to preparing the Ordinary Report and, more recently, to supporting implementation of the report's recommendations—and stakeholders' perceptions of the effectiveness of this approach;
- Other parties that were involved in policy and practice reform and the particular roles they played; and
- Features of the environment in Queensland over the period the changes took place to understand the role of the Commission within the relevant context of the time.

The qualitative data collected via stakeholder consultations were analysed by KPMG. The objective of the analysis was to identify the key drivers that contributed to the change in social housing policy and practice and the role of the Commission in this process. The focus was on assessing the extent to which the Commission's activities and outputs were effective in contributing to change. An assessment of outcomes was not feasible given the complexity of the policy process and the influence of various political and environmental factors.

This document (the final report) synthesises and analyses findings from these activities. The report is structured as follows:

- Chapter 2: Context – this section provides the overarching socio-political context that is relevant to the policy change process, including taking into consideration the broader trends in social housing;
- Chapter 3: Key drivers of reform – drawing on the findings gathered through the engagement activities, this section describes the key drivers for successful reform in social housing policy and practice; and
- Chapter 4: Conclusion – a summary of the key findings and considerations going forward are included in this section.

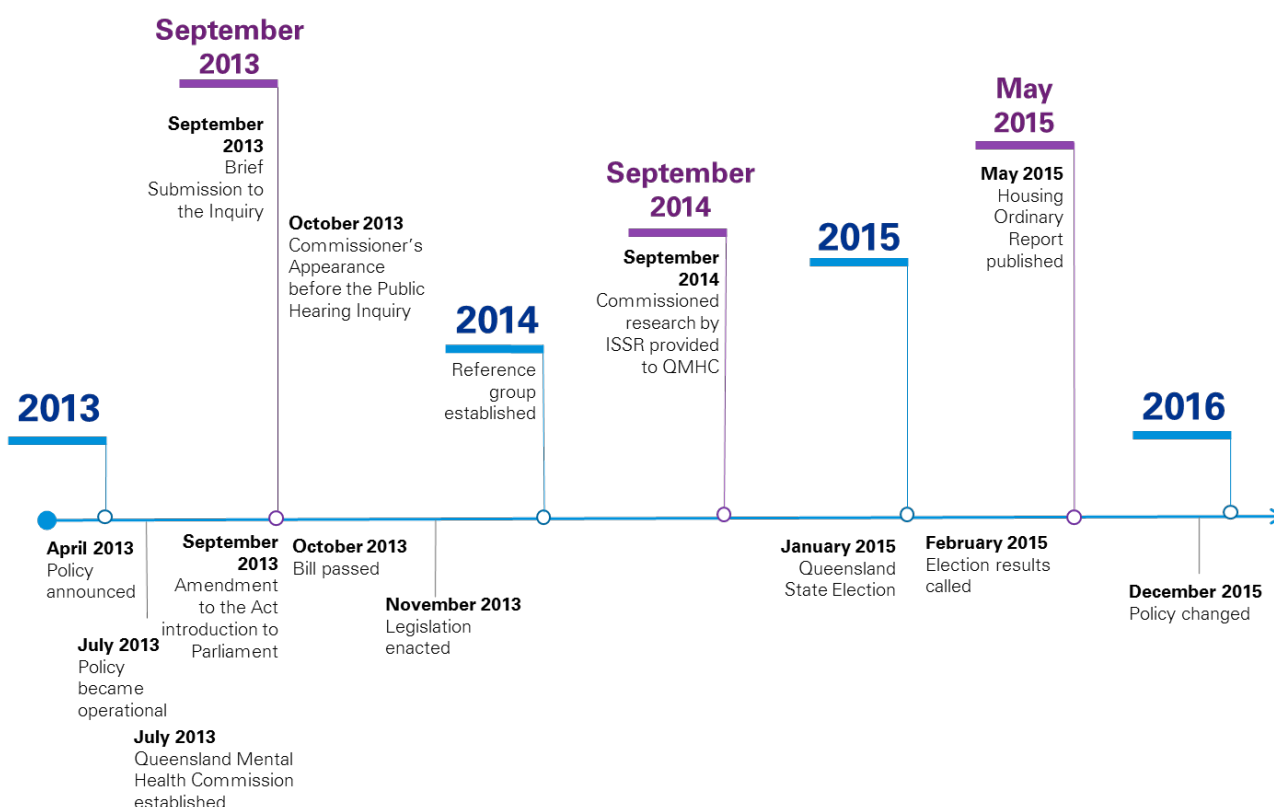
2 Context

The purpose of this section is to situate the issue of social housing for tenants with complex needs within the broader context of the period when the Ordinary Report was prepared and to describe the events leading to the preparation of the Ordinary Report and the replacement of the ASB Management Policy.

We have drawn on the comprehensive analysis of the ASB Management Policy and its implementation prepared by the ISSR where appropriate. However, it is not our intention to offer an analysis of the policy or the policy process leading up to the then Government adopting the ASB Management Policy, nor the current Government's rescission of the policy. The focus is on the involvement of the Commission in the issue, over the period from 1 September 2013 to 31 December 2016.

We have also provided a timeline of the key events that occurred which are summarised below in Figure 3.

Figure 3: Timeline of events



Source: KPMG, 2017

2.1 Background

On 4 April 2013, the Government announced the ASB Management Policy. The statement declared that where social housing tenants engaged in unacceptable behavior—such as excessive noise or serious property damage—and received three strikes within a 12-month period, the Department of Housing and Public Works (DHPW) would take action to end their tenancies. The policy followed the introduction of ASB Management policies in New South Wales, Western Australia, Victoria and the Northern Territory which, with the exception of New South Wales, also included similar ‘three strikes’ approaches.¹

The policy was part of the then Government’s *Housing 2020 Strategy* (the Strategy) formally released in July 2013. The Strategy marked numerous significant changes to Queensland’s social housing system.

The Strategy noted the changing role of, and requirements for, social housing. Queensland’s social housing dwellings were three or four bedroom houses in suburban communities, reflecting the social housing tenants of the past: low-income, working families. The average social housing tenant of today, however, is more likely to be single or a single parent receiving a government pension, with high or very high needs, and experiencing, or at risk of, homelessness. As a result, these tenants “...have lower incomes, require more intensive management and support to maintain their tenancies, remain in social housing for longer periods and are less likely to transition into the private market.”²

The Strategy aimed to establish a flexible, efficient and responsive housing assistance system for those vulnerable Queenslanders requiring housing assistance.³ The Strategy placed a greater emphasis on social housing as a transition to the private rental market and private home ownership. Fundamental to the Strategy was the target to transfer 90 per cent of social housing stock management to non-government organisations by 2020.

To support the implementation of the *Housing 2020 Strategy*, the Government convened the Interagency Group for Housing Assistance (IGHA).⁴ With representatives from the key agencies involved in supporting vulnerable Queenslanders, the IGHA presented an opportunity to facilitate a whole-of-government approach to developing sustainable housing solutions.⁵

The IGHA also convened the Cross-Government and Mental Health Sector (CG&MHS) meeting. This group focused on cross-sector partnerships, with key stakeholders from relevant government departments as well as leading non-government organisations in the social housing sector. The group was established to develop a “...whole-of-government policy position, anticipated to inform a business case and proposal for a new integrated approach to providing housing and support to people with a mental illness, with an emphasis on those who are experiencing difficulties in meeting their

¹ University of Queensland Institute for Social Science Research, 2014, Review of Systemic Issues for Social Housing Clients with Complex Needs. Brisbane: University of Queensland.

² Department of Housing and Public Works, 2013, *Housing 2020 Strategy*. Brisbane: the Department of Housing and Public Works.

³ The Queensland Mental Health Commission, 2015, Ordinary Report: Social housing: Systemic Issues for Tenants with Complex Needs. Brisbane: the Queensland Mental Health Commission.

⁴ Membership included representatives from: the Department of Housing and Public Works; the Department of Premier and Cabinet; the Department of Health; the Department of Communities, Child Safety and Disability Services; the Department of Aboriginal and Torres Strait Islander Partnerships; Department of Justice and Attorney-General; and the Department of State Development, Infrastructure and Planning.

⁵ Department of Housing and Public Works, 2014, Interagency Group for Housing Assistance: Terms of Reference. Brisbane: Department of Housing and Public Works

social housing tenancy obligations”.⁶ Chaired by a representative from DHPW, members of this group also included representatives from:

- Department of the Premier and Cabinet;
- Department of Health;
- Department of Communities, Child Safety and Disability Services;
- Department of Aboriginal and Torres Strait Islander and Multicultural Affairs;
- Department of Justice and Attorney-General; and
- Department of State Development, Infrastructure and Planning.

2.2 The ASB Management Policy

Following the announcement in April 2013, the ASB Management Policy became operational on 1 July 2013. It was expected the policy would be implemented under the pre-existing provisions of the *Residential Tenancies and Rooming Accommodation Act 2008* that applied to all tenants. However, after DHPW had difficulties securing eviction orders through the Queensland Civil and Administrative Tribunal (QCAT) for tenant strikes, the decision was made to amend the legislation to specifically include ASB provisions. Specifically, these amendments ensured that, where a tenant had engaged in antisocial behaviour and exceeded the permitted three strikes, housing officers could issue public and community housing tenants a ‘notice to leave’ for ending of housing assistance.

Amendments to the *Residential Tenancies and Rooming Accommodation Act 2008* were introduced into Parliament on 10 September 2013. The amendments were introduced at the same time as amendments to enable the transfer of public housing management to the non-government sector. Following the First Reading, the Bill was referred to the Transport, Housing and Local Government Committee for consideration.

The Committee issued a public call for submissions and also held a public hearing. Evidence was presented by thirteen witnesses at the public hearing, and briefings were provided by DHPW and the Department of Communities, Child Safety and Disability Services (DCCSDS).

The Bill was returned to the Legislative Assembly with minor changes and was passed with support from both major parties on 30 October 2013. The amended legislation was enacted on 7 November 2013.

2.3 The Queensland Mental Health Commission

The Commission was established on 1 July 2013 as a statutory body under the *Queensland Mental Health Commission Act 2013*. The purpose of the Commission is to drive ongoing reform towards a more integrated, evidence-based, recovery-oriented mental health and substance misuse system.⁷ Under the Act, the Commission has four main responsibilities, to:

- Develop a whole-of-government mental health, drug and alcohol strategic plan, and to monitor and report on activities related to the plan;

⁶ The Department of Housing and Public Works, n.d, Cross-Government and Mental Health Sector Meeting: Integrated housing and support for people with a mental illness. Brisbane: the Department of Housing and Public Works.

⁷ The Queensland Mental Health Commission, 2016, About Us. Available at: <https://www.qmhc.qld.gov.au/about-us/> Accessed: 30 June 2017.

- Collaborate, support and contribute to reviews, research and evaluation to identify and respond to current and emerging issues and trends;
- Promote awareness, prevention and early intervention, focusing on the health and wellbeing of people with a mental illness and people who misuse substances, their families, carers and support persons; and
- Establish and support mechanisms to improve system governance, including the Mental health and Drug Advisory Council to provide advice to the Commission and make recommendations on their functions.

The Commission made a submission to the Parliamentary Committee on 25 September 2013. Subsequently, Dr Lesley van Schoubroeck, then Queensland Commissioner for Mental Health, was called as a witness at the Parliamentary Committee's public hearing. Her testimony, which was delivered on 1 October 2013, focused on the potential for the policy to have a negative impact on people with mental illness or complex needs. In particular, the Commissioner suggested the impact of the policy on this vulnerable cohort be monitored:

*"...the Commission brings to your attention the potential for an unintended impact for people with mental illness and substance misuse living in the community and would be keen to ensure monitoring of this issue. ... Monitoring the impact of this legislation would inform whether or not such arrangements are necessary or desirable in Queensland."*⁸

The Commissioner's appearance at the Parliamentary Committee hearing drew the Commission into the issue and was a catalyst for the continued involvement of the Commission in social housing policy development and implementation. The Commission considered this approach, given the whole-of-government Mental Health, Drug and Alcohol Strategic Plan 2014-19 includes calls for action to improve outcomes for people experiencing mental illness, mental health difficulties, and substance abuse problems, including providing more effective government services such as housing services to support recovery.⁹

In his second reading speech, the Housing Minister acknowledged the concerns raised by Dr van Schoubroeck:

*"...I can say that the antisocial behaviour policy is about helping tenants modify their behaviour, not just about kicking them out... I am extremely mindful of the needs of our most vulnerable and have requested my department liaise with the Mental Health Commissioner and the Queensland Anti-Discrimination Commissioner to ensure we have adequate support and protection in place."*¹⁰

The Commission was subsequently invited to participate in the IGHA which had been formed to support implementation of the then Government's new social housing strategy. The Commission opted to take up a role as an observer on the IGHA.

According to stakeholders involved in the IGHA, the invitation to the Commission to join the IGHA was in recognition that greater insight and understanding of the issues surrounding social housing tenants with complex mental health needs was required particularly in light of the new ASB Management Policy and its potential impacts on this particular cohort. The IGHA also saw a need for further research into the impacts of the policy and, given its role, the Commission was considered best placed to take that research forward. To ensure action on any identified systemic issues, the Commission decided to both commission research and prepare an Ordinary Report. This approach

⁸ QMHC appearance before Parliamentary committee.

⁹ Queensland Mental Health Commission, 2015, Social housing: Systemic issues for tenants with complex needs, Ordinary Report, Queensland Mental Health Commission: Brisbane. Accessed at https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/2015-1915-FINAL-PDF-ORDINARY-REPORT_QMHC_SocialHousing_19-May-2015_WEB-VERSION.pdf

¹⁰ University of Queensland Institute for Social Science Research, 2014, Review of Systemic Issues for Social Housing Clients with Complex Needs. Brisbane: University of Queensland.

meant that the Report would be tabled in Parliament and that individual agencies with relevant responsibility would be required to respond to the report's recommendations.

The *Queensland Mental Health Commission Act 2013* states that, "The Commission may, at any time, prepare a report on ... a systemic issue relating to the mental health and substance misuse system or affecting people who have mental health or substance misuse issues".¹¹ These are referred to as Ordinary Reports.

2.4 ISSR Research

In early 2014, the Commission procured research services from the University of Queensland's ISSR to analyse systemic issues relating to social housing tenants with complex needs arising from the Queensland Government's ASB Management Policy.

The research methodology comprised three main elements:¹²

1. Policy analysis: an examination of the ASB Management Policy during its first year of operation, including the policy content, rationale, provisions and implementation;
2. Case study analysis: conducting 12 in-depth case studies of social housing tenants known to have mental health or substance misuse issues who had received at least one strike under the ASB Management Policy; and
3. Literature analysis: reviewing research into approaches to housing management, including strategies to deal with anti-social behaviour, and the impact on tenants with mental health issues.

The Commission was actively involved in the research planning. Two members of the Commission's key advisory body, the Queensland Mental Health and Drug Advisory Council—Mr Kingsley Bedwell and Professor Brenda Happell—participated in a working group to inform the ISSR's research with Commission staff.¹³ DHPW also contributed to the research by providing administrative data and enabling housing officers to provide advice on the appropriate selection of tenants to be interviewed to generate case studies.

The research aimed to provide evidence to better understand the needs of those living in social housing, the impact of the policy and the potential difficulties arising from the system response to clients with complex needs. The research sought to analyse and examine two core questions:

- What impact will this policy have on social housing tenants who have mental health or substance use issues?
- What systemic issues are raised concerning the role of social housing in supporting persons with mental health issues?

The research team examined quantitative DHPW data and presented policy, case-study and literature analyses.

Based on the results of the research, ISSR outlined 28 proposals under three main themes:

1. The implementation of the ASB Management Policy did not take sufficient account of the circumstances of social housing tenants with mental health and substance use issues;
2. The effectiveness of the ASB Management Policy could be improved by adopting a more comprehensive and strategic approach that includes an emphasis on support; and

¹¹ *Queensland Mental Health Commission Act 2013*.

¹² Ibid.

¹³ Queensland Mental Health and Drug Advisory Council, 2014, Meeting Communique. Available at: https://www.qmhc.qld.gov.au/wp-content/uploads/2014/04/Endorsed-QMHDAC-Communique_Meeting-1-14042014.pdf Accessed: 26 June 2017

3. The implementation of the ASB Management Policy and its impact on tenants with complex needs demonstrates the need to review the overall role of social housing in providing affordable housing for people with mental health and substance use issues.

The final ISSR report was provided to the Commission in September 2014.

2.5 A Change in Government

In January 2015, the then Government called a General Election of the Legislative Assembly of Queensland, which saw a change of government. On 16 February 2015, Anastasia Palaszczuk was sworn in as Queensland Premier, with Leeanne Enoch appointed Minister for Housing and Public Works.¹⁴

2.6 The Ordinary Report

Based on the research conducted by ISSR, the Commission prepared the Ordinary Report—*Social Housing: Systemic Issues for Tenants with Complex Needs*. In the report, the Commission makes 12 recommendations for changes to social housing policy and planning, drawing on the evidence base presented and established by the ISSR research.

The Commission also consulted with the IGHA member agencies and the Queensland Mental Health and Drug Advisory Council to develop the report and the recommendations.¹⁵

The Ordinary Report was provided to the Minister for Health and Minister for Ambulance Services, the Honourable Cameron Dick MP, in May 2015, who tabled the report in the Queensland Parliament on 30 June 2015.¹⁶

All 12 recommendations were either accepted or supported by DHPW, Queensland Health and the DCCSDS. At her portfolio's Parliamentary Estimates Committee hearing in August 2015, the Honourable Leeanne Enoch MP, Minister for Housing and Public Works, acknowledged that while the goal of the three strikes policy was to reduce and better respond to incidents of disruptive behaviour by public housing tenants, evidence from the Ordinary Report suggests that, not only are these outcomes not being achieved, but that the policy may be having unintended consequences. Minister Enoch noted that any policy changes would continue to ensure that there is a zero tolerance for serious illegal or dangerous behaviour. She noted, however, that:

"The [Ordinary] Report demonstrates that tenants with complex needs should be assisted to overcome the behaviours that are putting their tenancies at risk. This needs to be done through the provision of the right supports at the right time at the right place, delivered via an integrated

¹⁴ Ibid.

¹⁵ Queensland Mental Health Commission, 2015, Social housing: Systemic issues for tenants with complex needs, Ordinary Report, Queensland Mental Health Commission: Brisbane. Available at: https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/2015-1915-FINAL-PDF-ORDINARY-REPORT_QMHC_SocialHousing_19-May-2015_WEB-VERSION.pdf Accessed: 19 June 2017.

¹⁶ The Queensland Mental Health Commission, 2015, Media Statement: "Three Strikes" Policy must Consider Tenants with Complex Needs. Available at: https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/QMHC_Three-Strikes-policy-must-consider-tenants-with-complex-needs1.pdf Accessed: 26 June 2017.

coordinated case management approach—an approach designed around principles for recovery and early intervention to provide better outcomes for people.”¹⁷

The Ordinary Report has been recognised by the following awards:

- November 2015 — Winner of the ‘Most Outstanding Health Care Report in Australasia in 2015’ at the 2015 Australasian Over 50s Housing Awards; and
- June 2016 — Finalist in The University of Queensland’s Partners in Research Excellence Awards, which recognise research partnerships that result in changes to policy and/or practice.

An independent review of the effectiveness of the Commission recognised that the Commission is seen to have been consistently driving reform, including the role of the Ordinary Report in contributing to social housing policy.¹⁸ In particular, based on the opinion of stakeholders, the review concluded that the Ordinary Report was one of the Commission’s projects which was:

“...highly praised by a wide cross-section of stakeholders as exemplars of evidence-based research informing policy and practice in complex and multi-faceted agendas.”

Given this success, the Public Service Commission recommended the Commission evaluate the key drivers of successful reform in policy and practice arising from the Ordinary Report to share with other agencies and inform its future agenda and approach.

2.6.1 Policy and practice change

Since publication of the Ordinary Report, the Commission has worked, and continues to work, with DHPW in implementing the Report’s recommendations. This has included two key initiatives: the Fairness Review; and the Mental Health Demonstration Project.

Fairness Review

In 2015, the Government initiated a review of social housing for fairness, signalling “a return to human services delivery and a focus on putting people first”.¹⁹

DHPW developed a set of 12 fairness principles and, in consultation with peak housing bodies and other agencies, developed a Fairness Charter.²⁰ Both the principles and Charter were endorsed by the Queensland Government in December 2015.²¹

Drawing on these fairness principles, DHPW reviewed the fairness and suitability of its policies, including the ASB Management Policy. On 1 February 2016, the Fair Expectations of Behaviour Policy replaced the former ASB Management Policy.

The new policy and approach ensures that housing officers work with tenants early to resolve any issues, complaints or behavioural problems that may be placing tenancies at risk, involving other social services to support tenants and their neighbours as needed.²² The policy articulates behavioural expectations of social housing tenants and the process for managing breaches from disruptive behaviour. The term ‘strikes’ has been removed and, instead, Tenancy Management Plans and

¹⁷ Queensland Government, Estimates -Utilities, Science and Innovation Committee – Housing, Public Works, Science and Innovation. Available at: https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/2015-Estimates-Extract_Social-Housing-Ordinary-Report.pdf Accessed: 26 June 2017.

¹⁸ Public Service Commission, 2016, QMHC effectiveness review report. Brisbane: Public Service Commission.

¹⁹ Queensland Mental Health Commission, 2017, Social housing progress, March 2017, Accessed at <https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/Social-housing-progress-report-March-2017.pdf>

²⁰ Department of Housing and Public Works, Fairness review, Accessed at <http://www.hpw.qld.gov.au/Housing/SocialHousing/Pages/fairness-review.aspx> on 16 June 2017.

²¹ Queensland Mental Health Commission, 2017, Social housing progress, March 2017, Accessed at <https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/Social-housing-progress-report-March-2017.pdf>

²² Ibid.

Acceptable Behaviour Agreements allow tenancy managers to use their discretion to manage specific cases.²³ In short, the policy ensures that:

*If our tenants have complex needs or mental health issues, they will be offered extra support from the appropriate agencies. If they do not accept that support, action may be taken. Bad behaviour will not be tolerated.*²⁴

Mental Health Demonstration Project

The Mental Health Demonstration Project is a response to numerous recommendations of the Ordinary Report. The two-year project is led by DHPW in partnership with Queensland Health and in collaboration with a range of other government and non-government agencies. The project was funded internally by DHPW (\$678,000) and Queensland Health (\$588,000).²⁵

The Mental Health Demonstration Project is testing a new integrated housing, health and social welfare support model to improve housing stability for people living in social housing who are experiencing mental illness or related complex needs.²⁶ The health, housing and social welfare support needs of tenants are identified and coordinated by a support group of relevant government and non-government support agencies collaboratively. The result is an individualised, integrated case coordination and management plan—a Tenancy Support Plan—that details additional mental health support service requirements and other, non-clinical psycho-social support services.²⁷

The Mental Health Demonstration Project has been operating in the Fortitude Valley and Chermside Housing Service Centre and health catchments. The Commission contributed \$50,000 to DHPW to support the capability building of inter-agency relationships to support the Mental Health Demonstration Project.²⁸ The funding also contributed to the development of a Learning Management System. This web-portal provides training for frontline service delivery staff to better understand social housing tenants with mental illness, mental health, substance use, or wellbeing issues or related complex needs, as well as to better navigate the housing service system.

The service delivery phase of the Mental Health Demonstration Project continued through to 30 June 2017. The ISSR has been commissioned by the DHPW to evaluate the project, with the results expected to inform future policy around supporting social housing tenants with complex needs.²⁹

²³ Ibid.

²⁴ Queensland Government, 2016, Fair expectation of behaviour, Accessed at <https://www.qld.gov.au/housing/public-community-housing/tenant-behaviour/> Accessed: 16 June 2017.

²⁵ Queensland Government, Mental Health Demonstration Project: An Overview of the Tenancy Support Project. Available at: <http://www.qshelter.asn.au/elements/2016/08/Suzanne-Sondergerld-Mental-Health-Demonstration-Project.pdf> Accessed: 19 June 2017.

²⁶ Queensland Mental Health Commission, 2017, Social housing progress, March 2017, Accessed at <https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/Social-housing-progress-report-March-2017.pdf>

²⁷ Ibid.

²⁸ Ibid.

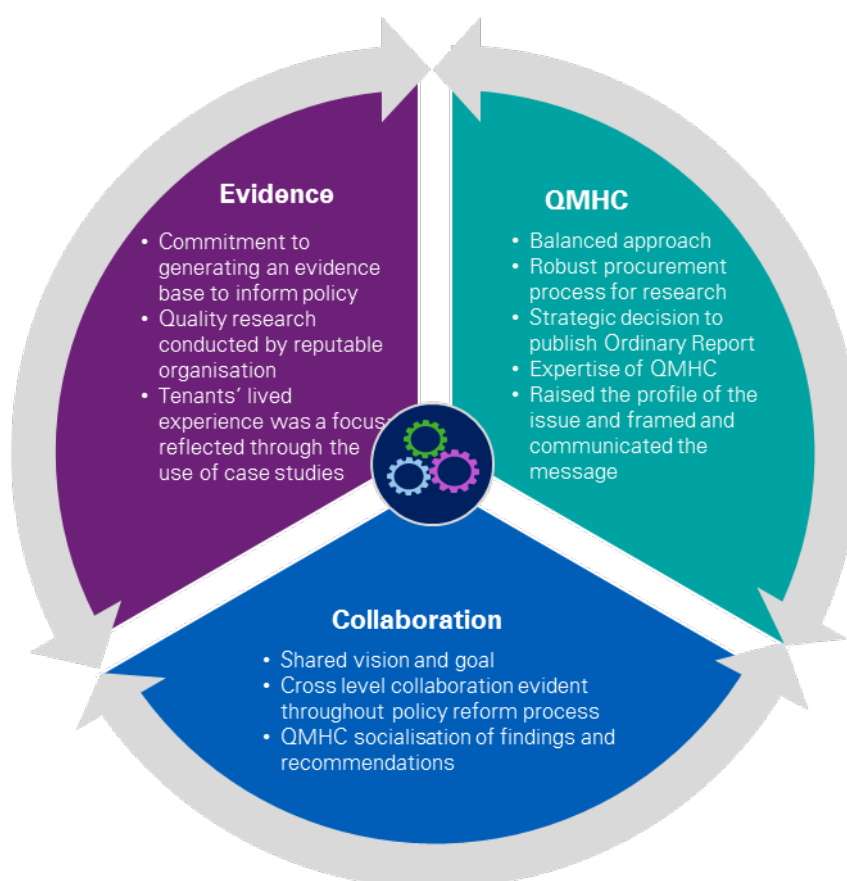
²⁹ Queensland Mental Health Commission, 2017, Social housing progress, March 2017, Available at <https://www.qmhc.qld.gov.au/wp-content/uploads/2015/06/Social-housing-progress-report-March-2017.pdf> Accessed: 19 June 2017.

3 Key Drivers of reform

Consultations with stakeholders revealed several common themes relating to the process of social housing policy and practice reform around the issue of the ASB Management Policy in Queensland, and in particular, the role the Commission played in the reform process.

Analysis of these common themes identified three key drivers of reform in this instance: robust evidence; strong collaboration; and the role of the Commission. This section provides details of these three key drivers of reform based on the perspective of the stakeholders consulted. While the three reform drivers are presented separately, they are interrelated and overlapping. Figure 4 below presents these drivers, together with the themes they comprise.

Figure 4: Overview of key drivers



Source: KPMG, 2017

Interestingly, early analysis (undertaken as part of developing the evaluation framework) highlighted the influence of socialised, evidence-based knowledge of the issue (i.e., the evidence driver) and the relationships between stakeholders (i.e., the collaboration driver) as important policy drivers. However, the findings have revealed that the role of the Commission and its approach was an important factor in driving successful policy and practice, in particular its role as an expert body.

Each of the key drivers are analysed in further detail in the following sections noting the intersection and overlap across the three key elements.

3.1 Robust Evidence

Consultation with stakeholders revealed that the high quality evidence provided by the ISSR research was a key influencing factor in the ASB Management Policy reform process.

Policy is generally considered to be developed within a series of stages, with policy analysis a core requirement to the development of good public policy.³⁰ Policy analysis involves research, drawing on the expertise and experience of specialists and practitioners in the field. Its main purpose is to provide decision makers with sufficient information about the issue to be able to make an informed judgement.³¹

Many of the stakeholders consulted perceived that the ASB Management Policy was reactive in nature and a response to isolated media reports. The policy analysis carried out by ISSR was, in many ways, seen as the fundamental analysis of the issue that would have usefully informed the development of the policy in the first place.

Many stakeholders indicated a belief that the the ASB Management Policy itself was an ineffective approach to reducing and/or preventing anti-social tenant behaviour. There was a general consensus among stakeholders that the policy would not have the desired impact.

"It was a policy that was well-intended; the Minister at the time would have been responding to complaints... but we didn't think they had it right. The three strikes policy was a blunt tool." — Stakeholder consulted

The research procured by the Commission and conducted by ISSR confirmed the perceptions that many stakeholders had of the policy and the potential negative consequences on tenants with complex needs. It also provided the DHPW with information on the number of tenants with complex needs; data that had not been previously analysed in any particular detail.

The value of the research by ISSR was largely a result of its quality. Stakeholders commented unanimously on the quality of the research and its usefulness and value in aiding the policy development and reform process. The quality of the research was, at least in part, a result of the process adopted by the Commission in sourcing the research in the first place by choosing reputable researchers who were not seen as having vested interests in the issue.

"The Commissioner was very committed to developing an evidence base for policy – that was key. That led to one of the most outstanding pieces of social research I've ever seen.... It showed how good research can inform public policy." — Stakeholder consulted

The methodology was also identified as a key feature of the research that enabled the evidence to drive policy and practice reform. While the analysis of the administrative data was useful to provide an understanding of Queensland's social housing tenants, it was the stories of individuals that resonated the most with the stakeholders interviewed for the evaluation. Stakeholders commented that the case studies made the issue tangible and people-focused, providing insight into the lived experience of social housing tenants with complex needs. It was also commented that this particular style of presentation was effective in highlighting the issue for decision-makers and improving their understanding of the potential impacts of the policy.

"The power of the report is in the case studies – it was about people." — Stakeholder consulted

³⁰ Althaus, C., Bridgeman, P., & Davis, G. 2013. *Australian Policy Handbook*, Crows Nest: Allen & Unwin.

³¹ Ibid.

The case studies highlighted the barriers these tenants face to maintain their tenancies, including communication and comprehension problems, limited access to adequate services and support, and an inability to change their behaviour.³² Numerous stakeholders commented on the value of the case studies to understand and highlight the complexity of these issues and the challenges for the system in trying to address these issues.

“...it highlighted the complex issues that individuals experience. It resonated across the housing agency and provided insight into who our clients are. The stories came through the case studies.” — Stakeholder consulted

It is notable that, while the research identified systemic flaws and failures, some stakeholders involved in administering these systems did not feel they were ‘blamed’ or judged for the problems identified in the research.

“It was so objective about what happened – that was crucial. It was balanced in the sense that it reflected that whatever process you would put in place or whatever you did, it would have been difficult to respond to some of the cases effectively.” — Stakeholder consulted

The research provided the evidence to support the recommendations outlined in the Ordinary Report which also informed initiatives that were to be put in place such as the Mental Health Demonstration Project (which is discussed further in Section 2.6.1). The Mental Health Demonstration Project was established in response to the evident gaps in the service system as well as poor integration across the service system, which was a core focus of the IGHA group and the CG&MHS meeting (discussed further in the following section). Fairness principles have now been developed to assess social housing policies, including a specific reference to ensuring that policies do not discriminate against vulnerable people.³³ This resonates with the Commission’s original principles, which note ‘...policies need to take into account stigma and discrimination which may be experienced by people with complex needs.’³⁴

Overall, this is a strong example of using quality evidence to inform public policy. The research became an effective input into policy change, re-defining the image of the ASB Management Policy. Identifying appropriate policy images to influence policy change consistent with punctuated equilibrium theory.³⁵ It is evident that the research has had a lasting impact on social housing approaches and system responses to tenants with complex needs.

3.2 Strong Collaboration

The second driver of reform identified in the process of Queensland’s social housing reform was strong and genuine collaboration. Almost all of the stakeholders consulted mentioned the collaborative relationships that existed across the key stakeholder groups working on social housing issues at the time and the genuine willingness of all parties to work together in the interests of better outcomes for this particularly vulnerable group of clients.

³² The University of Queensland, n.d., A place to call home. Available at:

<http://www.uq.edu.au/research/impact/stories/a-place-to-call-home/> Accessed: 16 June 2017

³³ The Department of Housing and Public Works, 2016, Fairness Principles – Putting People First. Available at: <http://www.hpw.qld.gov.au/SiteCollectionDocuments/FairnessPrinciples.PDF> Accessed: 27 June 2017.

³⁴ The Queensland Mental Health Commission, 2017, Social Housing Progress, Brisbane: the Queensland Mental Health Commission.

³⁵ Baumgartner, F.R. & Jones, B.D., 1991, Agenda dynamics and policy subsystems, *Journal of Politics*, 53: 1044–74; Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation; Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

Several stakeholders noted that the collaboration and cooperation apparent during this time was unique, particularly within a complex system that often struggles to work effectively across siloed functions. The two committees that had been established—the IGHA and the CG&MHS meeting—were the main vehicles through which this collaboration occurred. These committees seemed to operate as coalitions of key policy actors united by a common belief; an active concern with a policy issue or problem.³⁶ According to stakeholders interviewed, both of these groups were targeted, purpose-driven and, most importantly, effective.

“It was a collegiate process - we invited the Commissioner to sit on the governance group. We needed their [the Commission’s] expertise.” — Stakeholder consulted

“Often when the government consults with the community sector it is token, but I didn’t feel that with this committee.” — Stakeholder consulted

In addition to the official committees, collaboration was also occurring between individual officers within departments. Specific examples of these individual relationships were mentioned between officers of the Commission and DHPW, and between DHPW staff and officers within Queensland Health. Given the unique role of officers at varying levels on the policy process,³⁷ this type of collaboration is significant, ensuring key messages are being distributed and socialised in many directions.

Other specific examples of collaboration throughout the process to reform the ASB Management Policy were identified including:

- A ‘reference group’ which included representatives from the Commission’s Advisory Council, also provided specialist expert advice throughout the research process;
- The DHPW provided the ISSR researchers access to administrative housing data while staff from the Housing Service Centres helped the researchers to identify social housing clients to form the case studies; and
- The Commission fostered collaboration with stakeholders by sharing the ISSR research findings and the Ordinary Report recommendations prior to releasing both publications – this socialisation process ensured that relevant agencies were involved in the process of reform.

The collaboration evident within these working groups was, at least to some extent, a product of the shared goal to improve outcomes for social housing tenants with complex needs. Many of the stakeholders consulted indicated that their primary concern was for the wellbeing of vulnerable tenants requiring additional support.

Shared goals and beliefs can have an important role in policy change. As discussed in the literature review, coalitions of policy actors with shared beliefs are a key feature of the policy environment. While these coalitions may disagree on particular details of a policy, it is important they have widespread agreement on the core or fundamental appraisal of the policy.³⁸ In this case, key stakeholders shared beliefs about the ASB Management Policy and the potential impact it could have on social housing tenants with complex needs.

Overall, stakeholders recalled that there was a genuine commitment to working together, both through the various sub-committees that were established and through the cooperation and support of the ISSR research. The collaboration between government agencies, and the broader consultation

³⁶ Ingold, K., & Leifeld, P. 2016. Structural and institutional determinants of influence reputation: A comparison of collaborative and adversarial policy networks in decision making and implementation. *Journal of Public Administration Research and Theory*, 26: 1-18; Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

³⁷ Howlett, M. & Walker, R.M., 2012, Public managers in the policy process: More evidence on the missing variable? *The Policy Studies Journal*, 40 (2), 211-233.

³⁸ Sabatier, P. A., & Weible, C.M, 2007, The advocacy coalition framework: Innovations and clarifications, In Sabatier, P.A. (ed.), *Theories of the Policy Process*, Cambridge, MA: Westview: 189-220.

across the housing and mental health sectors, was likely a result of the shared vision and objective to ensure that social housing tenants with complex needs received the support and services they need.

3.3 Role of the Commission

The role of the Commission throughout this period—from policy inception through to policy reform—was integral to the reform in social housing policy and practice for this cohort. In particular, the expertise of the Commission was identified as important in supporting policy reform. From the outset, the Commission adopted a balanced perspective of the issue, by considering the three-strikes policy in its entirety and the perspectives of all stakeholders invested in the issue while at the same time maintaining a level of objectivity. Also important was the strategic decision to prepare an Ordinary Report and the Commission’s approach to consultation with all key stakeholders and socialisation of the findings.

From the Commission’s first involvement in the issue at the Parliamentary Estimates Hearing, the Commission indicated a commitment to providing a balanced and considered perspective. Rather than opposing or condemning the policy, the Commissioner used the opportunity to encourage the Government to consider the potential for negative consequences for those social housing tenants with complex needs.³⁹ The Commissioner suggested monitoring of the issue would enable informed decisions about the impact of the policy to be made. While focusing on the challenges for social tenants with complex needs, the Commission did not excuse anti-social housing behaviour and maintained that all social housing tenants have responsibilities as part of their tenancy. It was the Commission’s overarching consideration of the issue that was most valued by the stakeholders consulted.

“It’s key that the Commission stands outside of us—it has that overarching purview.” — Stakeholder consulted

The Commission was also committed to the inclusion of case studies in the research in order to provide insight into the lived experience of clients and to identify system gaps. As noted earlier, the quality of the research was, in part, a result of the powerful case study approach.

The Commission’s strategic decision to prepare an Ordinary Report was also a key factor in the reform of social housing policy and practice in Queensland. This decision was significant because it ensured that the report be tabled in Parliament and that implicated agencies would be required to respond to the recommendations, in accordance with the *Queensland Mental Health Commission Act 2013*. Using an Ordinary Report meant that the Commission could focus on the issues associated with the ASB Management Policy and the issues associated with the broader system response.

Some stakeholders noted that social housing tenants were provided a unique opportunity to take part in research that would directly influence the Government’s approach and that had the potential to affect real change.

“[the Report being tabled in Parliament] was significant —telling tenants that their story will be told in parliament was really powerful —what they were giving up their time for is important.” — Stakeholder consulted

Since publication of the Ordinary Report, the Commission has worked, and continues to work, with affected agencies to implement the Ordinary Report’s recommendations, including the Fairness Review and the Mental Health Demonstration Project. The impact of the Ordinary Report has extended beyond the recommendations; one stakeholder mentioned its use in future initiatives.

³⁹ Parliamentary Hearing.

"It is a really important report that underpins what we are trying to do with the housing strategy... This has informed our upcoming strategy to be more people focused." — Stakeholder consulted

Finally, the Commission also facilitated collaboration and consultation among social housing stakeholders and stakeholders perceived that the Commission played a positive role in this regard. Through the ISSR research and the preparation of the Ordinary Report, the Commission openly and transparently engaged with stakeholders. Some stakeholders confirmed that the Commission actively encouraged input and collaboration from all parties, as opposed to taking on the role of a judgmental observer or an astute authority. The Commission also framed and socialised key messages from the research and the Ordinary Report throughout the policy reform process. This ensured key stakeholders were aware of, and familiar with, the evidence and recommendations as they were developed and encouraged buy-in and support for changes based on the evidence.

In these policy proceedings, the Commission took on the role of 'policy entrepreneur'. Policy entrepreneurs use opportunities in the operating environment to influence policy outcomes. According to Multiple Streams Theory, policy entrepreneurs present policy alternatives and solutions within policy windows to influence policy change.⁴⁰ The decision to prepare an Ordinary report could also been considered as the Commission creating a policy window, requiring action by providing recommendations for change. In this way, role of the Commission is consistent with a policy entrepreneur, who "through their creativity, strategy, networking, and persuasive argumentation are able to bring new policy ideas into the open and promote policy change".⁴¹

The Commission also provided advice to the committees that were established throughout this period and actively sought to create linkages between stakeholder groups and encourage collaboration. The Commission has also had ongoing involvement in the Mental Health Demonstration Project, including the funding to contribute to the collaboration and capability building resources.

Overall, stakeholders saw the Commission as a credible, expert authority on the issue of social housing tenants with complex needs. In particular, they regarded the Commission as a valuable source of advice with the ability to work collaboratively to foster strong and positive working relationships to promote and enable change. These findings support previous research that has shown that policy actors' reputations, and how others perceive their influence in the policy process, is a critical factor in influencing policy change.⁴²

4 Conclusion

This evaluation has presented evidence and analysis to suggest that the Commission played a valuable role in bringing about change using available evidence, encouraging collaboration, consulting meaningfully and providing expert advice.

There are a number of key learnings that the Commission can draw upon to continue to enable positive change and influence policy across a variety of issues. In that regard, the Commission should:

⁴⁰ Zahariadis, N. 2007 The multiple streams framework: Structure, limitations, prospects, In Sabatier, P.A. (eds.), *Theories of the Policy Process*, Boulder, CO: Westview Press, 65–92.

⁴¹ Mintrom, M (1997). "Policy Entrepreneurs and the Diffusion of Innovation". *American Journal of Political Science*. 41 (3): 738.

⁴² Ingold, K., & Leifeld, P, 2016, Structural and institutional determinants of influence reputation: A comparison of collaborative and adversarial policy networks in decision making and implementation. *Journal of Public Administration Research and Theory*, 26: 1-18.

- continue to build and maintain positive working relationships with a range of stakeholders across government and the community sector;
- emphasise the core beliefs uniting the coalition of stakeholders and reach out to others that may hold similar beliefs to build support;
- consider the policy problem, yet focus on the outcomes and impact of the policy rather than design or implementation;
- develop policy options based on research and other evidence;
- ensure policy options are technically feasible and consistent with the policy problem;
- remain active in scanning the environment for opportunities to provide advice on issues that implicate mental health and substance use; and
- seek feedback and suggestions from a diverse range of stakeholders on the best way for the Commission to support improvements to the service system responsible for responding to social housing tenants with complex needs. As part of the consultations, some stakeholders suggested that it would be valuable if the Commission prepared a series of case studies (leveraging the success of the case study approach used in the ISSR research) that profiles instances where the system has successfully met clients' needs using innovative approaches, outside of normal process driven responses.

These activities will assist the Commission in achieving its vision to drive ongoing reform towards a more integrated, evidence-based, recovery-orientated service system for those experiencing mental health and or substance use issues in Queensland.

Appendix A: Literature Review

1. Introduction

In September 2013, the Queensland Mental Health Commission (the Commission) made a short submission to the Transport, Housing and Local Government Committee's Inquiry into the Residential Tenancies and Rooming Accommodation and Other Legislation Amendment Bill 2013. The submission brought attention to the unintended impact of the recent Anti-social Behaviour (ASB) Management Policy on social housing tenants with mental health problems, mental illness and problematic alcohol and other drug use in particular their ability to successfully sustain social housing tenancies.

This Inquiry submission signified the start of the Commission's involvement in the policy proceedings of the ASB Management Policy, which also included publication of an Ordinary Report: *Social housing: Systemic issues for tenants with complex needs*. The ASB Management Policy was rescinded in December 2015, although the Commission continues to work with key social housing stakeholders to implement the recommendations from the Ordinary Report.

The Commission has been commended for its Ordinary Report and its role in influencing policy change on the issue of social housing for tenants with complex needs. An independent review of the Commission's functions by the Public Service Commission recommended an evaluation of the key drivers that enabled this change to social housing policy and practice reform. As a result, the Commission has engaged KPMG to conduct an evaluation of the Commission's approach.

The purpose of this literature review is to inform this evaluation of the Commission's role in the policy proceedings surrounding the ASB Management Policy and how the Commission contributed to implementing policy change, including the use of research to develop policy recommendations. The review is not intended as an exhaustive review of the policy studies literature, but rather canvasses those areas of the field that have the most relevance for the evaluation of the key drivers of policy reform in social housing.

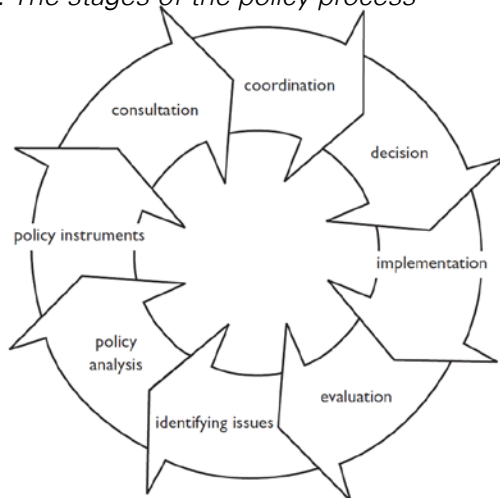
The literature review begins with a discussion of the policy process, before examining theories of policy change in order to understand how public policy can be influenced. The final section of the literature review considers measuring the success of efforts to influence and change policy through the practice of advocacy evaluation.

2. The Policy Process

To influence policy and spur policy change, it is useful to begin with an understanding of how policy is developed. Although policy-making has been described as ‘a chaos of purposes and accidents’⁴³, the policy process has, most commonly and most consistently, been described as a series of stages. In 1956, Lawell suggested that the policy process comprised seven stages: intelligence, promotion, prescription, invocation, application, termination, and appraisal.⁴⁴ Over time, this perspective was transformed into a cyclical model, emphasising a feedback loop between the inputs and outputs of the policy-making.⁴⁵ While the sequencing of the process and the labels applied to each stage have been contested, the basic model has been the starting point for policy studies and is the most widely applied framework to categorise research on public policy.

*The Australian Policy Handbook*⁴⁶ similarly presents the Australian policy cycle as a series of stages, beginning with identifying an issue, then analysing the policy problem and selecting policy instruments, following which consultation takes place and the coordination of the policy proposal is considered. The policy then reaches a decision point and, if adopted, policy implementation follows. The final stage in the process is evaluation, where the policy is assessed to gauge the impact and, if necessary, rethinking the original policy design where the process may start again. This process is presented in Figure 1.

Figure 1. The stages of the policy process



Source: Adapted from Althaus, Bridgeman & Davis, 2013

Much of the existing literature within policy studies have focused on single stages of the policy cycle, which has contributed to a better understanding of the prerequisites, elements, and

⁴³ Clay, E., & Schaffer, B. 1984. *Room for manoeuvre: An exploration of public policy in agricultural and rural development*, London: Heinman.

⁴⁴ Jan, W. & Wegrich, K. 2007. Theories of the policy cycle, in Fisher, F., Miller, G.J. & Sidney, M.S., *Handbook of public policy analysis: Theory, politics and methods*, pgs. 43-62, Boca Raton: Taylor & Francis.

⁴⁵ Jan, W. & Wegrich, K. 2007. Theories of the policy cycle, in Fisher, F., Miller, G.J. & Sidney, M.S., *Handbook of public policy analysis: Theory, politics and methods*, pgs. 43-62, Boca Raton: Taylor & Francis.

⁴⁶ Althaus, C., Bridgeman, P., & Davis, G. 2013. *Australian Policy Handbook*, Crows Nest: Allen & Unwin.

consequences of policy-making.⁴⁷ Table 1 provides an overview of the various aspects of the policy studies discipline and the typical research questions or key areas of interest.

Table 1. Policy studies areas of interest

Field of Policy Study	Typical Questions of Interest
Policy process	Why do governments pay attention to some problems and not others? Why does policy change?
Policy analysis	What options exist to address a particular problem? Which option should be chosen?
Polycymaking	Who makes policy decisions? Why do they make the decisions they do?
Policy design	How do people perceive policies? Whose values are represented by policies?
Policy implementation	How was a policy decision translated into action?
Policy evaluation	What impact did the policy have? Why did a policy succeed or fail?
Policy and politics	Does politics cause policy or policy cause politics?

Source: Adapted from Smith & Larimer, 2009

This perspective of the policy process as a circular series of stages is regarded as an ideal type of rational, systematic planning and decision-making, supporting the notion of evidence-based policy development. In reality, however, policy decision-making is not so rational nor evidence-based. Instead, policies seldom have clear beginnings and endings; any stages of the process are typically meshed and entangled; and, policies are rarely continued or abolished on the basis of formal evaluation results.⁴⁸ The policy process has also been found to differ by the area or field of the issue, where policy development in agriculture, for example, is very different from policy development in health or social welfare.⁴⁹

Policy making is a complex mix of politics, policy, and administration. While the policy cycle cannot capture all the complexity and value-laden actions that accompany policy-making, it does provide an understanding of what makes good policy. It is, perhaps, for this reason, that the staged process is the most enduring conceptualisation of public policy, providing a fundamental basis from which policy change can then be understood.

⁴⁷ Jan, W. & Wegrich, K. 2007. Theories of the policy cycle, in Fisher, F., Miller, G.J. & Sidney, M.S., *Handbook of public policy analysis: Theory, politics and methods*, pgs. 43-62, Boca Raton: Taylor & Francis.

⁴⁸ Jan, W. & Wegrich, K. 2007. Theories of the policy cycle, in Fisher, F., Miller, G.J. & Sidney, M.S., *Handbook of public policy analysis: Theory, politics and methods*, pgs. 43-62, Boca Raton: Taylor & Francis.

Althaus, C., Bridgeman, P., & Davis, G. 2013. *Australian Policy Handbook*, Crows Nest: Allen & Unwin.

⁴⁹ Grossman, M. 2013. The variable politics of the policy process: Issue-area differences and comparative networks. *The Journal of Politics*, 75(1): 65-79.

3. Policy Change

The rational, staged view of the policy cycle presented in the previous section leaves little opportunity to influence the policy process suggesting that policy decisions should be based on the best available evidence. Rigorous policy analysis should also ensure potentially damaging policies are not endorsed, while ineffective policies would likely be removed when met with credible evaluation evidence. Yet, many policies are implemented despite contrary evidence, while evidence alone is rarely sufficient to incite policy change.

Given that policy making is not a strictly logical pursuit, policy and political studies have been interested in the topic of policy change and the ways the policy process can be influenced. As a result, a number of theories have been presented in the literature to explain how and under what conditions policy change occurs. In this section, we review four selected theories that are considered most applicable to social policy development in the Queensland context.

3.1 Advocacy Coalition Framework

The Advocacy Coalition Framework (ACF)⁵⁰ views the policy process as a competition between coalitions of actors. Coalitions can be composed not only of key policy actors such as politicians and public servants, but also of political parties, lobby groups, non-government organisations (NGOs), journalists, and researchers.⁵¹ The coalition is united by a common belief; an active concern with a policy issue or problem.⁵²

Competing coalitions operate in a 'policy subsystem', with each coalition employing their own strategies with their own resources.⁵³ Within the subsystem, policy brokers act as a type of mediator, ensuring the level of political conflict is within reasonable limits and facilitating some reasonable solution to the policy issue.⁵⁴

⁵⁰ Jenkins-Smith, H. 1990. *Democratic Politics and Policy Analysis*, Pacific Grove, CA: Brooks/Cole Sabatier, P. A. & Jenkins-Smith, H.C. 1988. An advocacy coalition framework model of policy change and the role of policy orientated learning therein, *Policy Sciences*, 21: 129–68; Sabatier, P. A., 1993, *Policy Change and Learning: An Advocacy Coalition Approach*. Boulder, CO: Westview; Sabatier, P. A., & Weible, C.M. 2007. The advocacy coalition framework: Innovations and clarifications, In Sabatier, P.A. (ed.), *Theories of the Policy Process*, Cambridge, MA: Westview: 189–220.

⁵¹ Ingold, K., & Leifeld, P. 2016. Structural and institutional determinants of influence reputation: A comparison of collaborative and adversarial policy networks in decision making and implementation. *Journal of Public Administration Research and Theory*, 26: 1-18.

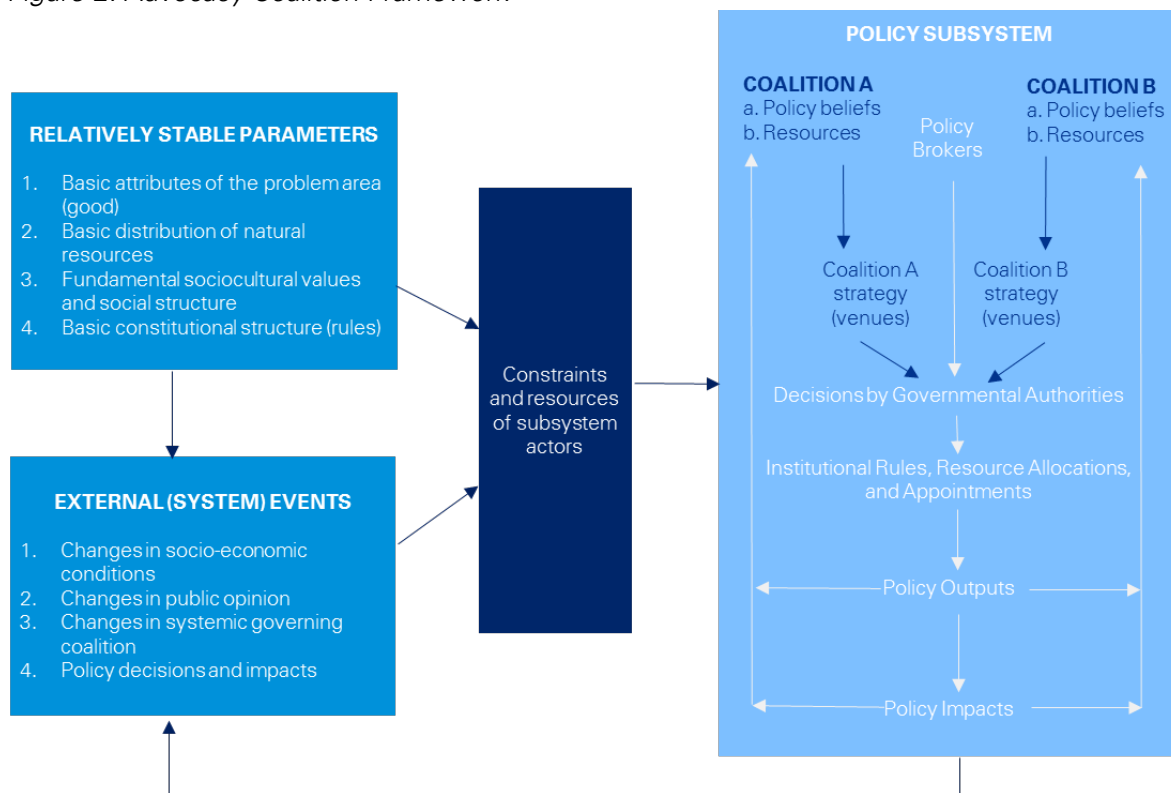
⁵² Ingold, K., & Leifeld, P. 2016. Structural and institutional determinants of influence reputation: A comparison of collaborative and adversarial policy networks in decision making and implementation. *Journal of Public Administration Research and Theory*, 26: 1-18; Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

⁵³ Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

⁵⁴ Ingold, K., & Varone, F. 2011. Treating policy brokers seriously: Evidence from the climate policy. *Journal of Public Administration, Research and Theory*, 22 (2):319–46; Petridou, E. 2014. Theories of the policy process: Contemporary scholarship and future directions, *The Policy Studies Journal*, 42(S1): 12-32.

The subsystem is affected by external factors, such as the socio-economic environment, as well as by stable parameters, including attributes of the problem or issue. Figure 2 depicts the interrelationships between these elements.

Figure 2. Advocacy Coalition Framework



Source: Sabatier, 1988

Policy change occurs through coordinated activity in the coalition, particularly for those that capitalise on changes in the external environment (e.g., socio-economic conditions or public opinion). Information also plays a role. If the coalition conducts research or if new information becomes available, there can be shifts in coalition membership, which may encourage change.⁵⁵

3.2 Punctuated Equilibrium

The punctuated equilibrium model posits that change happens in a sudden burst when conditions are right, rather than by small incremental changes over time.⁵⁶ The change

⁵⁵ Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation.

⁵⁶ Baumgartner, F.R. & Jones, B.D., 1991, Agenda dynamics and policy subsystems, *Journal of Politics*, 53: 1044–74; Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation; Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

occurs as a result of external events that disrupt the political system, punctuated the status quo.⁵⁷

A punctuated equilibrium occurs through the interaction of *policy images* with *policy venues*. Policy images are the beliefs and values surrounding a particular policy, explaining how the issue should be seen and which solutions are appropriate. Policy venues are the institutional areas where authoritative decisions on an issue can be made.⁵⁸

Venues and images are linked; policy change essentially happens when a new policy image finds a receptive audience in a new policy venue and the old venue loses control over the issue.⁵⁹ Those political stakeholders with a capacity for strategic action employ a dual strategy. First, they try to control the image of the policy problem through the use of rhetoric, symbols and policy analysis. Second, they also attempt to change the particular participants who are involved in the issue by seeking out the most favourable venue for consideration of their issues.⁶⁰

3.3 Multiple Streams

Developed by Kingdon and further shaped by Zahariadis, multiple streams theory seeks to explain why some issues get attention while others do not.⁶¹ According to this approach, there are three, independent, streams in the policy system:

- 1 *Problems*: The issues that are determined to be policy issues or problems, including the way the issue is defined by policy makers, its status and placement on the political agenda, the degree of social consciousness, and whether the problem is considered solvable.
- 2 *Policies*: The ideas and solutions that are formed, developed, rejected, and selected, to address problems.
- 3 *Politics*: Political factors, including public sentiment, campaigns by interest groups and advocates, and changes in elected officials.⁶²

Multiple streams theorises that policy change occurs when policy entrepreneurs connect the three streams together at propitious periods of time, referred to as 'policy windows'.⁶³ Policy windows can be predictable (e.g., elections, budget cycles) and unpredictable (e.g. a dramatic event or crisis). Policy windows can also be created.⁶⁴

⁵⁷ Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

⁵⁸ Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

⁵⁹ Walgrave, S. & Varone, F. 2008. Punctuated Equilibrium and agenda-setting: Bringing parties back in: Policy change after the Dutroux crisis in Belgium, *Governance: An International Journal of Policy, Administration, and Institutions*, 21 (3): 365-395.

⁶⁰ Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

⁶¹ Zahariadis, N. 2007 The multiple streams framework: Structure, limitations, prospects, In Sabatier, P.A. (eds.), *Theories of the Policy Process*, Boulder, CO: Westview Press, 65–92.

⁶² Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation.

⁶³ Petridou, E. 2014. Theories of the policy process: Contemporary scholarship and future directions, *The Policy Studies Journal*, 42(S1): 12-32.

⁶⁴ Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation.

Policy entrepreneurs are generally active at promoting their ideas in both the problem stream and the policy stream, but they must also have good relationships in the politics stream.⁶⁵ They must act quickly when the policy window opens or the opportunity will pass.⁶⁶ In political environments such as Queensland where policy issues spread across bureaucratic portfolios, the role of the policy entrepreneurs may extend even further, where skilled entrepreneurs use the 'spillover' effects of a policy agenda in one area in another policy area.⁶⁷ For example, policy change efforts in the health arena may also have impacts on social services policies enabling policy entrepreneurs to affect change in both areas.

3.4 Policy Diffusion

Policy diffusion is a process where the knowledge about policies and their administrative arrangements are transferred from one government to another.⁶⁸ Diffusion is based on the notion that a) government jurisdictions learn from each other, b) that they compete with other in adopting policies, and c) that there is pressure on all jurisdictions in a national context to conform to the national standards.⁶⁹

There are four mechanisms of diffusion:⁷⁰

- *Learning*: If a policy in one jurisdiction is considered successful, then another jurisdiction might also implement it.
- *Economic competition*: When a policy has positive spill-overs, other governments are more likely to adopt the policy of others.
- *Imitation*: Adopting the policy of another jurisdiction in order to appear more like that government.
- *Coercion*: When the policy of another jurisdiction is imposed through trade practices, economic sanctions, or international organisations.

Drawing on Roger's Diffusion theory, a policy is more likely to be adopted if it is relatively easy to comprehend, perceived as better than the policy it supersedes, and is compatible with the values, beliefs and needs of the potential adopters.⁷¹

Research has also shown that what gets diffused matters; policy attributes are important in determining whether to adopt a policy from other government jurisdictions. In particular, policies with indicators that cannot be easily measured are less likely to diffuse, while those with high observability are more attractive to neighbouring jurisdictions.⁷²

⁶⁵ Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation; Zahariadis, N., 2007, The multiple streams framework: Structure, limitations, prospects, In Sabatier, P.A. (eds.), *Theories of the Policy Process*, Boulder, CO: Westview Press, 65–92.

⁶⁶ Zahariadis, N. 2007. The multiple streams framework: Structure, limitations, prospects, In Sabatier, P.A. (eds.), *Theories of the Policy Process*, Boulder, CO: Westview Press, 65–92.

⁶⁷ Ackrill, R. & Kay, A. 2001. Multiple streams in EU policy-making: The case of the 2005 sugar, *Journal of European Public Policy*, 18(1): 72–89.

⁶⁸ Shipan, C.R., & Volden, C. 2012. Policy diffusion: Seven lessons for scholars and practitioners, *Public Administration Review*, 72 (6): 788–96.

⁶⁹ Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

⁷⁰ Shipan, C.R., & Volden, C. 2012 Policy diffusion: Seven lessons for scholars and practitioners, *Public Administration Review*, 72 (6): 788–96.

⁷¹ Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation.

⁷² Petridou, E. 2014. Theories of the policy process: Contemporary scholarship and future directions, *The Policy Studies Journal*, 42(S1): 12–32.

3.5 Policy change in practice

From theories of policy change, there are a number of practical elements or approaches to influencing policy change.

For example, the advocacy coalition framework emphasising the importance of beliefs, expecting policy actors to perceive the world through their beliefs. As a result, how these beliefs are constructed and the extent to which beliefs are shared plays an important role. The concept of a policy sub-system is also useful in practice, by considering coalitions or groups of policy actors, rather than departments or particular individuals as the key mechanisms within the policy system.⁷³

The punctuated equilibrium theory of policy change emphasises the importance of framing and defining the policy issue in such a way to mobilise new people to the issue. The media can also play a role, by shifting attention from one issue to another, directing attention to different aspect of the same issue, or involving new policy venues or actors.⁷⁴

Similarly, from multiple streams theory, policy change can be affected by influencing the way a problem is defined, developing policy options through research and other publications, and influencing the political climate by building relationships with key actors.⁷⁵ These types of activities prepare policy entrepreneurs for capitalising on a policy opportunity when a window appears while diffusion theory provides opportunities for policy influence by offering alternate versions of the policy in other jurisdictions.

More generally, policy change efforts can be placed along several continuums, including:⁷⁶

- Direct or indirect – aimed at changing decision makers' beliefs, opinions, and behaviours, either directly or indirectly via other actors who might have influence on decision-makers (e.g., the media, the public);
- Inside or outside the system – working inside the system directly with decision-makers or from outside the system by confronting or challenging decision-makers;
- Formal or informal – through official channels, such as reforms and submissions or through informal means, including relationship-building.

In practice, it is often difficult to determine the particular efforts that succeed in affecting change or to determine the point in time when change occurs. This is part of the challenge in both theorising about policy change and measuring policy change.

⁷³ Cerna, L. 2013. The nature of policy change and implementation: A review of different theoretical approaches. Organisation for Economic Co-operation and Development (OECD).

⁷⁴ Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation.

⁷⁵ Stachowiak, S. 2013. *Pathways for change: Ten theories to inform advocacy and policy change efforts*, Seattle: Center for Evaluation Innovation.

⁷⁶ Start, D. & Hovland, I. 2007. Tools for policy impact: A handbook for researchers, London: Overseas Development Institute; Tsui, J., Hearn, S., & Young, J. 2014. Monitoring and evaluation of policy influence and advocacy, Overseas Development Institute, Working Paper 395, Accessed at <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8928.pdf> on 15th May.

3.6 Research in the policy process

Research evidence is integral to the policy process. Policy analysis, as a key stage in the process, involves drawing on the evidence from researchers and practitioners in order to provide decision-makers with sufficient information to make an informed judgement.⁷⁷ Translational research, at the interface between science and practice, can contribute to policy analysis by making it easier for policy makers to find, understand, and apply research.⁷⁸

Translational research can be described as harnessing knowledge from the sciences to and ensuring this knowledge reaches the target population and is applied correctly.⁷⁹ In health, translational research has become a niche field, where research is designed and conducted to address particular gaps in translation.⁸⁰ Translational research in health has included clinical trials to examine potential practical application, systematic reviews to judge effectiveness, and population studies to assess costs, benefits, and policy impacts.⁸¹

Although translational research is less mature in the social sciences, the evidence-based policy making is one mechanism by which research is translated into practice. While the focus of translational research is often on the value of research for health professionals, referred to as 'knowledge support', research can also provide 'decision support', for policy makers.⁸²

Translational research has a number of elements that make it particularly useful for the policy process. One distinctive feature of translational research is that it includes engagement with potential end-users or those that would potentially benefit from the application of the research.⁸³ This type of participant consultation provides the obvious benefit of giving voice to the community early in the policy process. Typically, translational research also involves collaboration between researchers and practitioners, and between researchers from different disciplines, making it useful in policy contexts where policies most often traverse a number of portfolio areas.

Drawing on the theories of policy change, translational research is one mechanism that could be used to influence the policy process. In the advocacy coalition framework, for example, research is one strategy coalitions may use to impact of decisions and the coalition membership of decision-makers. In the multiple streams, translational research affects the policy stream which, when mobilised with other streams at a possible window, can incite change.

⁷⁷ Althaus, C., Bridgeman, P., & Davis, G. 2013. *Australian Policy Handbook*, Crows Nest: Allen & Unwin.

⁷⁸ Mitchell, P., 2016, *From Concept to Classroom: What is translational research?* Camberwell: Australian Council for Educational Research.

⁷⁹ Woolf, S. 2008. The meaning of translational research and why it matters, *Journal of the American Medical Association*, 299(2): 211-213.

⁸⁰ Davidson, A. 2011. Translational research: What does it mean? *Anesthesiology*, 115(5): 909-911.

⁸¹ Davidson, A. 2011. Translational research: What does it mean? *Anesthesiology*, 115(5): 909-911.

⁸² Ogilvie D., Craig P., Griffin S., Macintyre S., Wareham N.J. 2009. A translational framework for public health research, *BMC Public Health*, 9: 116

⁸³ Mitchell, P. 2016. *From Concept to Classroom: What is translational research?* Camberwell: Australian Council for Educational Research.

4. Evaluating Policy Change

The mechanisms that influence and affect policy change have been of interest to political historians and researchers for several decades. Practitioners who aim to sway decision-makers and contribute to changing policies have, more recently, begun to consider measuring the success of their efforts. From this, a specific type of evaluating has emerged, focused on evaluating advocacy.

Advocacy involves a deliberate process of influencing social agenda and/or decision-makers in build political will around action.⁸⁴ The goal is to change actual social, policy, and political outcomes.⁸⁵

Considered, evidence-based judgement about the merit or performance of these advocacy efforts is relatively new. As a field, advocacy evaluation has been driven by increased accountability pressures on funding bodies, particularly from philanthropic funders requiring evidence of their return on investment. In the area of international development, the use of advocacy evaluations is particularly mature, with organisations such as UNICEF and Oxfam promoting the use of advocacy evaluations to assess the impact of their work on realising sustainable, transformative change.

It has been noted that an impediment to the progress of the advocacy evaluation field is that it is difficult.⁸⁶ A rigorous social-scientific approach cannot account for the complexity of the policy

...advocacy, even when carefully nonpartisan and based in research, is inherently political, and it's the nature of politics that events evolve rapidly and in a nonlinear fashion, so an effort that doesn't seem to be working might suddenly bear fruit, or one that seemed to be on track can suddenly lose momentum.⁷⁸

⁸⁴ Gen, S. & Wright, A.C. 2013. Policy advocacy organizations: A framework linking theory and practice. *Journal of Policy Practice*, 12 (3): 163-193.

⁸⁵ Teles, S. & Schmitt, M. 2011. The elusive craft of evaluating advocacy, Stanford Social Innovation Review, Summer, www.ssireview.org.

⁸⁶ Gen, S. & Wright, A.C. 2013. Policy advocacy organizations: A framework linking theory and practice. *Journal of Policy Practice*, 12 (3): 163-193; Guthrie, K., Louie, J., David, T., & Foster, C. C. 2005. The challenge of assessing policy and advocacy activities: Strategies for a prospective evaluation approach, Los Angeles: The California Endowment; Reisman, J., Gienapp, A., & Stachowiak, S. 2007. A guide to measuring advocacy and policy. Baltimore: Organizational Research Services; Teles, S. & Schmitt, M. 2011. The elusive craft of evaluating advocacy, Stanford Social Innovation Review, Summer, www.ssireview.org; Tsui, J., Hearn, S., & Young, J. 2014. Monitoring and evaluation of policy influence and advocacy, Overseas Development Institute, Working Paper 395, Accessed at <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8928.pdf> on 15th May.

development process and the role of interest groups and individual agendas.⁸⁷ The research has identified six key methodological challenges for evaluating advocacy:⁸⁸

- 1 The complexity of public policymaking
- 2 The role of external forces and conditions
- 3 Problems of attribution
- 4 The long time frame needed for changes to occur
- 5 Shifting strategies and milestones
- 6 Low capacity and interest in evaluation from advocacy organisations

Despite the challenges, experts tend to agree that it is possible to measure influence on, and change in, the policy process.⁸⁹ Some common principles of advocacy evaluation have emerged in the literature, including, for example, extending the types of outcomes beyond policy success or failure to consider strengthened organisational capacity or shifts in social norms.⁹⁰ Other common principles are shown in Box 1.

Box 1: Principles of advocacy evaluation

- Expand the perception of policy work beyond legislative arenas or policy success or failure; advocacy involves both 'offence' and 'defence' - so include outcomes such as shifts in social norms, new alliances, and building organisational capacity.
- Link outcomes to a theory of change about how activities are expected to lead to outcomes.
- Focus on the steps that lay the groundwork and contribute to the policy change being sought.
- Focus on contribution, not attribution.
- Emphasise organisational learning as the overarching goal of evaluation.

In addition to general principles of advocacy evaluation, a number of guidelines, frameworks and toolkits have been developed to support the practice of this type of evaluation. For example, based on the practitioner literature and academic theories, Gen and Wright⁹¹ hypothesised a conceptual framework for policy advocacy that identifies measures for inputs, activities, and outcomes. Evaluation practitioners working in a number of areas have also published plans and

Guthrie, K., Louie, J., David, T., & Foster, C. C. 2005. The challenge of assessing policy and advocacy activities: Strategies for a prospective evaluation approach, Los Angeles: The California Endowment; Reisman, J., Gienapp, A., & Stachowiak, S. 2007. A guide to measuring advocacy and policy. Baltimore: Organizational Research Services; Whelan, J. 2008. Advocacy evaluation: Review and opportunities, Accessed at <http://www.thechangeagency.org/campaigners-toolkit/research-projects/advocacy-evaluation/> on 17th May 2017.

⁸⁸ Guthrie, K., Louie, J., David, T., & Foster, C. C. 2005. The challenge of assessing policy and advocacy activities: Strategies for a prospective evaluation approach, Los Angeles: The California Endowment; Reisman, J., Gienapp, A., & Stachowiak, S. 2007. A guide to measuring advocacy and policy. Baltimore: Organizational Research Services.

⁸⁹ Teles, S. & Schmitt, M. 2011. The elusive craft of evaluating advocacy, Stanford Social Innovation Review, Summer, www.ssireview.org.

Tsui, J., Hearn, S., & Young, J. 2014. Monitoring and evaluation of policy influence and advocacy, Overseas Development Institute, Working Paper 395, Accessed at <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8928.pdf> on 15th May.

⁹⁰ Guthrie, K., Louie, J., David, T., & Foster, C. C. 2005. The challenge of assessing policy and advocacy activities: Strategies for a prospective evaluation approach, Los Angeles: The California Endowment.

⁹¹ Gen, S. & Wright, A.C. 2013. Policy advocacy organizations: A framework linking theory and practice. *Journal of Policy Practice*, 12 (3): 163-193.

guides.⁹² Drawing on these sources, Figure 3 provides a consolidated list of evaluation elements that could be considered in an advocacy evaluation.

Figure 3. Potential log frame elements in advocacy evaluation



Source: KPMG, 2017

Finally, it is important to note that advocacy evaluations need to consider, and take account of, the policy and political context in which the evaluation takes place because it is an inherent component of the policy process. A good advocacy evaluation will make explicit reference to them as part of the explanatory process of making sense of the outcomes of the evaluation.⁹³

In sum, some type of evaluation of advocacy efforts is important in order to understand the policy process and what drives policy change. For organisations where influencing decision-makers and facilitating change is a key purpose, evaluation provides the process for assessing the success of the organisation and the basis for changing strategies if this objective is not being met. The inherent complexity of the policy process and the involvement of many policy actors often with competing, and at times covert agendas, complicates the task.

⁹² Adapted from Gen, S. & Wright, A.C. 2013. Policy advocacy organizations: A framework linking theory and practice. *Journal of Policy Practice*, 12 (3): 163-193; Coffman, J. 2009. *A User's Guide to Advocacy Evaluation Planning*. Harvard Graduate School of Education, Accessed at <http://www.hfrp.org/evaluation/publications-resources/a-user-s-guide-to-advocacy-evaluation-planning> on 17th May 2017.

⁹³ Whelan, J. 2008. Advocacy evaluation: Review and opportunities, Accessed at <http://www.thechangeagency.org/campaigners-toolkit/research-projects/advocacy-evaluation/> on 17th May 2017.

4. Conclusion

This literature review has examined theory and research on policy change and influence. The review began with a discussion of the policy process, before presenting various theories of policy change and the role translational research can play in influencing change. In the final section, we examined the practice of evaluating advocacy efforts, used to assess how successful attempts at policy influence have been.

Together, this literature will inform the evaluation of the Commission's role in policy proceedings surrounding the ASB Management Policy and how the Commission contributed to policy change. In particular, this literature has provided the context for the evaluation framework, which will be provided as a separate document. Key themes of the literature review will be revisited in the final report to assist in understanding evaluation findings.

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Appendix B: Evaluation Framework

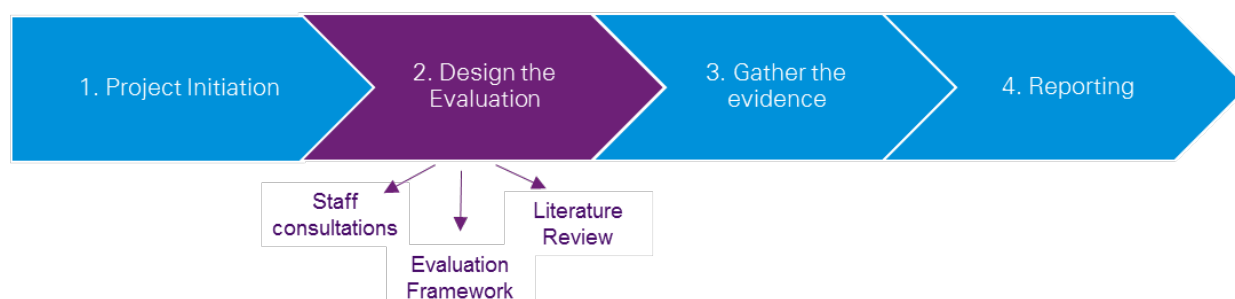
1. Introduction

1.1 Background

KPMG has been engaged by the Queensland Mental Health Commission (the Commission) to conduct a review of the key drivers of successful reform in policy and practice in social housing arising from the Commission's Ordinary Report *Social Housing: Systemic issues for tenants with complex needs* (Ordinary Report). The evaluation covers the period from 1 September 2013 to 31 December 2016, focusing on the events that led to the Commission's decision to prepare the Ordinary Report in the wake of the introduction of the Anti-social Behaviour (ASB) Management Policy, as well as the activities that have followed the publication of the Ordinary Report, including the decision by the Government to abolish the ASB Management Policy. The review is being undertaken in response to a recommendation contained in an independent review into the effectiveness of the Commission.⁹⁴

As part of this engagement, KPMG is developing an evaluation framework (this document) to be used to guide data collection activities and provide the frame for analysing the qualitative data.

Figure 1: An overview of engagement activities



Source: KPMG, 2017

1.2 Method and approach

This evaluation framework is based on a review of the available literature on the policy process and influencing policy change, as well as consultations with key Commission staff involved in the Ordinary Report and the activities that have followed from the publication of this report.

A review of relevant literature has been prepared and provided to the Commission separately from this document. Key insights from the literature review that have informed the evaluation framework are:

⁹⁴ Public Service Commission, 2016, QMHC effectiveness review report. Brisbane: Public Service Commission.

- the impact of the environment on the policy process;
- the mechanisms for influencing policy drawn from theories of policy change; and
- the approaches to evaluating the impact of advocacy and other influencing efforts on policy.

An overview of the results from consultations with staff from the Commission, and how these results have informed the evaluation framework, are provided in the following section.

2. QMHC Staff Consultations

We conducted interviews with key staff to understand the Commission's approach, and the activities undertaken, to influence policy. More specifically, the interviews were designed to provide insight into:

- the Commission's 'theory of change' specifying how it was expected that change could be achieved and the steps required along the way;
- the Commission's approach, both formally and informally, from inception through to producing the Ordinary Report and, more recently, to supporting the implementation of the report's recommendations;
- other parties that were involved in the policy and practice reform and their role; and
- features of the environment in Queensland over the period the changes took place.

2.1 Method

Interviews were conducted with the following staff:

- Dr. Lesley van Schoubroeck, Mental Health Commissioner
- Carmel Ybarlucea, Executive Director
- Nicole Hunter, Senior Policy Advisor

Our approach to these interviews was principally ethnographic, allowing interviewees the freedom to describe from their own perspective the processes and events surrounding the ASB Management Policy and the Commission's involvement in related activities. Where necessary, interviewers asked additional questions to seek clarification or follow-up on ideas presented.

2.2 Results

Rather than identifying a distinct, clearly-defined and staged process⁹⁵, consultations with Commission staff revealed a more flexible and organic approach centred around three core themes.

- **Balance:** Providing a balanced perspective of the issue, by considering the three strikes policy in its entirety—from the problems the policy was designed to address, to the potential adverse

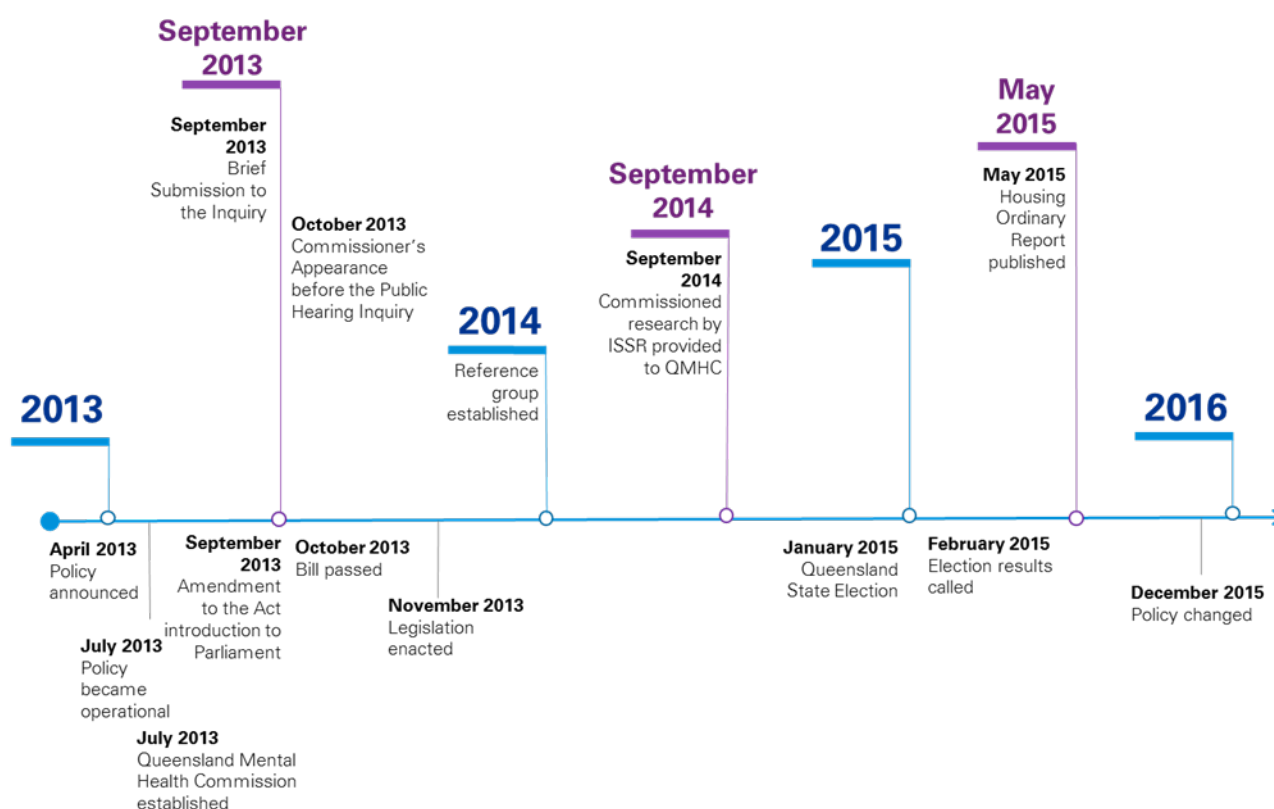
⁹⁵ It was initially expected that staff consultations would identify process maps capturing the processes adopted by the Commission in both developing the Ordinary Report and influencing reform.

implications to unexpected groups, through to continued evaluation and monitoring of the policy outcomes—as well as from the perspective of all the stakeholders around the issue.

- **Partnership:** The Commission’s approach was focused on working together and collaboratively with stakeholders, rather than as either a judgmental observer or an astute authority. Commission officers emphasised that this was a collective issue.
- **Shared ultimate goal:** All stakeholders shared a mutual goal to ensure that social housing tenants with complex needs were not unfairly disadvantaged by the policy.

Based on staff interviews, Figure 2 chronicles the main events representing the Commission’s involvement in the events surrounding the ASB Management Policy.

Figure 2: A timeline of main events



Source: KPMG 2017

Based on their involvement in these events, the main tools the Commission used to influence the ASB Management Policy and proceedings were:

- Played an observer role in a multi-agency reference committee convened to consider the ASB Management Policy;
- Procured credible, high-quality external research to review the systemic issues for social housing clients with complex needs;

- Produced the Ordinary Report examining the impact of the implementation of the ASB Management Policy on social housing tenants who are experiencing mental illness, mental health difficulties and substance use problems;⁹⁶
- Provided seed funding to key stakeholders to support key agencies the implementation of the Ordinary Report recommendations; and
- Built multi-level relationships with key policy actors and stakeholders across employment and government levels.

Interviews with staff have formed the basis for our understanding of the activities and outputs produced by the Commission as part of its involvement in the ASB Management Policy proceedings. The theoretical and research evidence from the literature review has provided insight into the possible effect of these activities and outputs which, together with the perceptions of staff, have been used to determine the outcomes and impact of the Commissions' approach. More details on these activities, outputs, outcomes, and impact are provided in the following section, which outlines the evaluation methodology.

3. Evaluation Methodology

3.1 Type of Evaluation

An outcome evaluation focuses on the outcomes of a program and attempts to determine whether a program has been successful in achieving its intended goal.⁹⁷ Impact evaluations take a more long-term causal view, and are often carried out using a variety of methods including controlled experiments and more participatory methods which aim to understand why a program is effective (not just whether it is effective).⁹⁸

This evaluation focuses on outcomes, assessing the extent to which the Commission's activities and the outputs of those activities were effective in producing the desired outcome. The framework will not evaluate the extent to which the Commission's approach or a particular activity 'caused' a specific outcome. Such an assessment is difficult given the complexity of the policy process and the influence of various political and environmental factors. Instead, the evaluation will examine the contribution of the Commission to the ASB Management Policy proceedings.

⁹⁶ Under the Queensland Mental Health Commission Act 2013, the Commission may produce a report relating to a systemic issue relating to the mental health and substance misuse system or affecting people who have mental health or substance misuse issues (s29(1)(c)). The report is to be presented to the Minister and tabled in Parliament. Relevant state government agencies are required respond to the report's recommendations.

⁹⁷ Queensland Government (2014). Queensland Government Program Evaluation Guidelines, p. 23

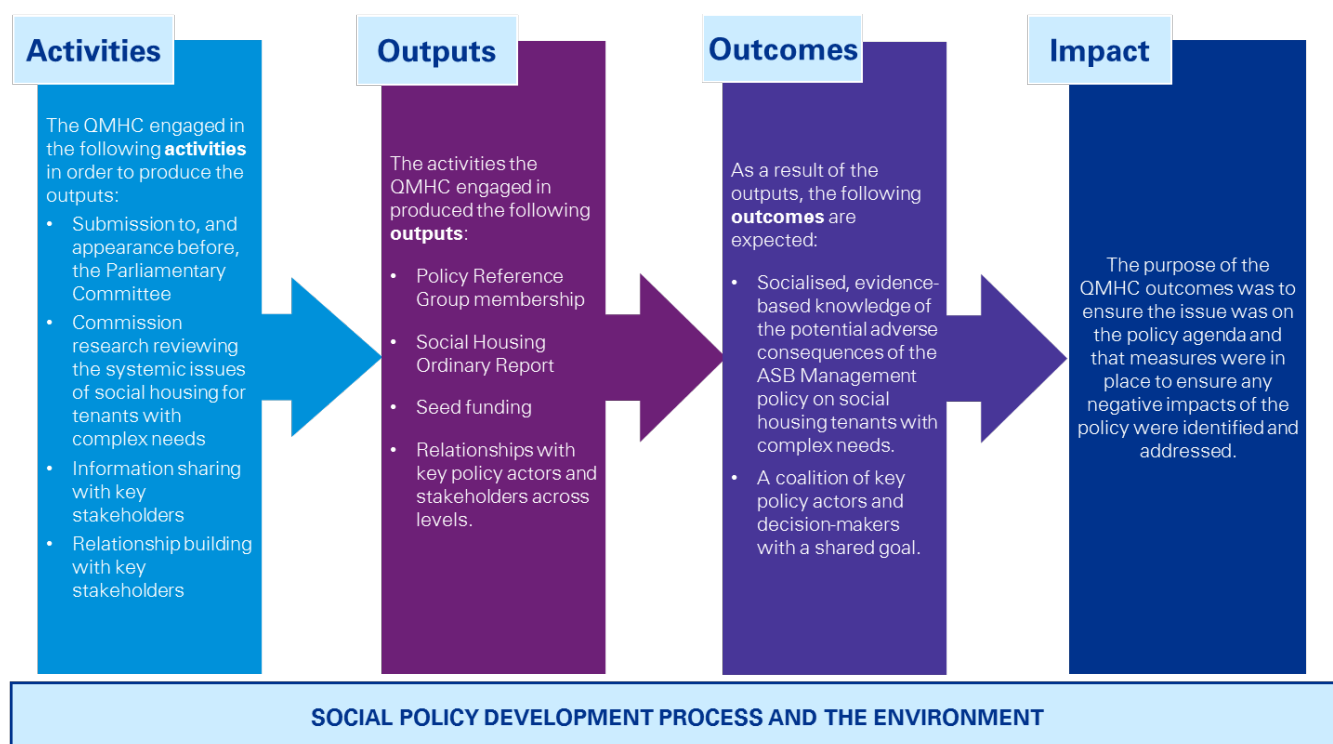
⁹⁸ Queensland Government (2014). Queensland Government Program Evaluation Guidelines, p. 23

3.2 Program Logic

A program logic explains how a program (or intervention, policy, strategy) is theorised to contribute to results that lead to the intended impact.⁹⁹

Staff consultations provided insight into the activities undertaken by the Commission. The evaluation framework assumes there is a relationship between these activities, including the Ordinary Report, and the ultimate outcome of ensuring that social housing tenants with complex needs have access to appropriate and supportive housing. Drawing on the literature review and the insight of staff, the program logic theorises that this causal link occurs through a socialised understanding of the issues surrounding social housing tenants with complex needs and, as a result of this understanding, the placement of this issue, together with potential solutions, on the political agenda. This process occurs in the context of the broader political, economic and social environment which involves multiple stakeholders, interactions and considerations in the policy development process. This logic is depicted in Figure 3.

Figure 3: Program logic



Source: KPMG 2017

3.3 Evaluation Questions

Based on this program logic, Table 1 identifies the critical evaluation questions and stakeholder interview questions to evaluate the impact of the Commission's activities on affecting policy change.

⁹⁹ Better evaluation, http://www.betterevaluation.org/plan/define/develop_logic_model

Table 1: Evaluation questions and stakeholder interview questions

Program logic Component	Evaluation Questions	Stakeholder Interview Questions
Activity	To what extent are stakeholders familiar with the Commission's involvement in, and activities around, social housing and the ASB Management Policy?	<p>Were you aware of the Commission's submission to, and appearance before, the Parliamentary Committee? If yes, how did you become aware of the Commission's involvement?</p> <p>Are you familiar with the research conducted by the Institute for Social Science Research, commissioned by the Commission? If yes, how did you become aware of the research?</p> <p>Did you have any direct involvement with the Commission over this period of policy proceedings? If yes, how would you describe this involvement?</p> <p>Did you have any indirect involvement with the Commission over this period of policy proceedings? If yes, how would you describe this involvement?</p>
Outputs	To what extent were the Commission's activities effective? How effective was the Commission in building relationships with key stakeholders?	<p>Are you familiar with the <i>Ordinary Report</i>? How would you describe the <i>Ordinary Report</i>? How effective do you think the report was in providing evidence of the potentially adverse consequences of the three strikes policy on social housing tenants with complex needs?</p> <p>What do you believe was the Commission's agenda or purpose in their involvement in their issue?</p> <p>How would you describe the Commission's approach to achieving this purpose?</p> <p>How would you describe your relationship with the Commission</p>

Program logic Component	Evaluation Questions	Stakeholder Interview Questions
		<p>and its officers? How has this relationship evolved over time?</p> <p>Are you familiar with the Commission's seed funding? In your opinion, what has been the effect of the seed funding?</p> <p>If yes, how did you become aware of the availability of seed funding?</p> <p>How would you describe the role of the Commission over these policy proceedings?</p> <p>In what ways did the fact that the Commission is an independent statutory body contribute to positive outcomes?</p> <p>How effective in your view is the instrument of the Ordinary Report?</p> <p>Do you think that using an Ordinary Report that must be tabled in Parliament, rather than supply a report to the Reference Group was significant?</p>
Outcomes	<p>To what extent did the commissioned research and/or the <i>Ordinary Report</i> contribute to an awareness of the issues surrounding the ASB Management Policy for social housing tenants with complex needs?</p> <p>To what extent did the commissioned research and/or the <i>Ordinary Report</i> influence or change beliefs about the issues for social housing tenants with complex needs?</p> <p>To what extent did stakeholders have a shared or common goal?</p>	<p>What were your individual/agency perceptions of the ASB Management Policy when it was first implemented in July 2013? How would you describe the general sentiment of other stakeholders regarding the policy at that time?</p> <p>What were your individual/agency perceptions when the legislation was being amended and enacted? How would you describe the general sentiment of other stakeholders regarding the policy at that time?</p> <p>How would you describe the other stakeholders involved in the issue (and participating the in the reference group)? Were there clear</p>

Program logic Component	Evaluation Questions	Stakeholder Interview Questions
		<p>divisions? How did this evolve over time?</p> <p>What were your individual/agency perceptions of the policy following the research of the ISSR research and/or the <i>Ordinary Report</i>? Did the evidence affect your understanding of potential negative impacts for people with complex needs? Did it affect your position on the policy?</p> <p>Did you think the research and/or the Ordinary Report had an impact on general awareness of the potential impact of the policy for social housing tenants with complex needs? Do you think the research and report affected the general sentiment of other stakeholders regarding the policy?</p> <p>Were you aware of, or involved in, any discussions about the research and/or the Ordinary Report (internally or externally)? What was the general theme of these discussions?</p>
Impact	<p>To what extent was the issue of social housing tenants with complex needs included on the policy agenda of the time?</p> <p>To what extent was monitoring the potential negative impact of the AMB policy on social housing tenants considered by key decision-makers?</p>	<p>How relevant or significant was the issue of social housing for you/your agency over the time period (mid-2013 to the end of 2016)?</p> <p>How influential do you believe the Commission was during this period?</p>
Context	What was the impact of the contextual environment on the policy process in this case?	How would you describe the social and political environment in Queensland at that time? What impact do you think that had on the events and proceedings surrounding this policy?

Program logic Component	Evaluation Questions	Stakeholder Interview Questions
		<p>Who were the key stakeholders involved in this issue?</p> <p>Who were the key supporters and detractors?</p> <p>Who do you think were the most influential players in the process?</p> <p>What impact do you think the change in government had on the policy?</p>

4. Data Collection

Data to address the evaluation questions will be collected via stakeholder interviews. The stakeholders to be consulted have been provided by the Commission. All stakeholders will be asked, at a minimum, the interview questions outlined in Table 1.

5. Conclusion

This evaluation framework has been developed to assess the impact of the Commission's activities on influencing policy change and is underpinned by the available literature and the consultations undertaken with key staff in the Commission.

This framework is described through a program logic lens which includes the causal relationship between activities, outputs, outcomes and impact. These causal relationships exist within both the broader policy process, and the political, economic, and social environment. The evaluation methodology provides a series of evaluation questions and suggested stakeholder interview questions to gather qualitative data to evaluate these questions. The insight gathered from addressing these evaluation questions positioned within the contextual environment of Queensland over this period, will be described in the Final Report to better understand the key drivers of policy and practice reform in social housing in Queensland and in particular, the role the Commission played in influencing change in the policy process.

Appendix C: Stakeholders consulted

The following is a list of stakeholders that were consulted as part of this engagement:

Table 2: List of stakeholders consulted

Stakeholder name	Title, organisation
Belinda Lewis	Director, Strategic Policy and Research, Department of Housing and Public Works
Brenda Happell	Professor, Executive Director – University of Canberra and ACT Health
Cameron Parsell	University of Queensland, ISSR Researcher
Carmel Ybarlucea	Executive Director, Queensland Mental Health Commission
Christine Castley	Deputy Director-General, Housing and Homelessness Services, Department of Housing & Public Works
Damien Walker	Director-General, Department of Tourism, Major Events, Small Business & Commonwealth Games
Fleur Ward	Manager, Mental Health Alcohol and Other Drugs Branch, Department of Health
Jenny Mulkearns	Principal Planning Officer, Strategy, Planning and Partnerships, Mental Health Alcohol and Other Drugs Branch, Department of Health
Jonathan Leitch	Executive Director, Strategy, Policy and Research, Housing and Homelessness, Department of Housing and Public Works
Kingsley Bedwell	Richmond Fellowship Queensland
Lesley van Schoubroeck	Commissioner, Queensland Mental Health Commission
Nicole Hunter	Senior Policy Advisor, Queensland Mental Health Commission
Sandra Eyre	Senior Director, Queensland Health
Stephen Hawkins	Team Leader, Footprints Inc
Suzanne Sondergeld	Department of Housing and Public Works

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