Monitoring and Evaluation

Strategic Planning Workshop
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Agenda

1. Introduction
2. Monitoring and Evaluation: Overview
3. Identifying and Tracking Risks
4. Identifying Measures
5. Evaluation of Project Implementation and Outcomes
6. Conclusions
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Introduction (1)

It is impossible to overstate the changes in the communications sector since the main pieces of legislation governing the sector were introduced in the 1990s.

- The internet, 4G/5G, digital broadcasting, cloud computing and most of the products and services which are now the dominant forms of communication did not exist very long ago.

The approaches taken in existing law have been stretched and adjusted to accommodate these huge changes across the sector and been subject to regular and often extensive amendment to keep up with the pace of change.

Looking forward, a concerted effort in assessing current regulatory practice and approaches will assist in deciding the most effective intervention to address new and emerging issues.

Introduction (2)

Hype Cycle for Emerging Technologies, 2018
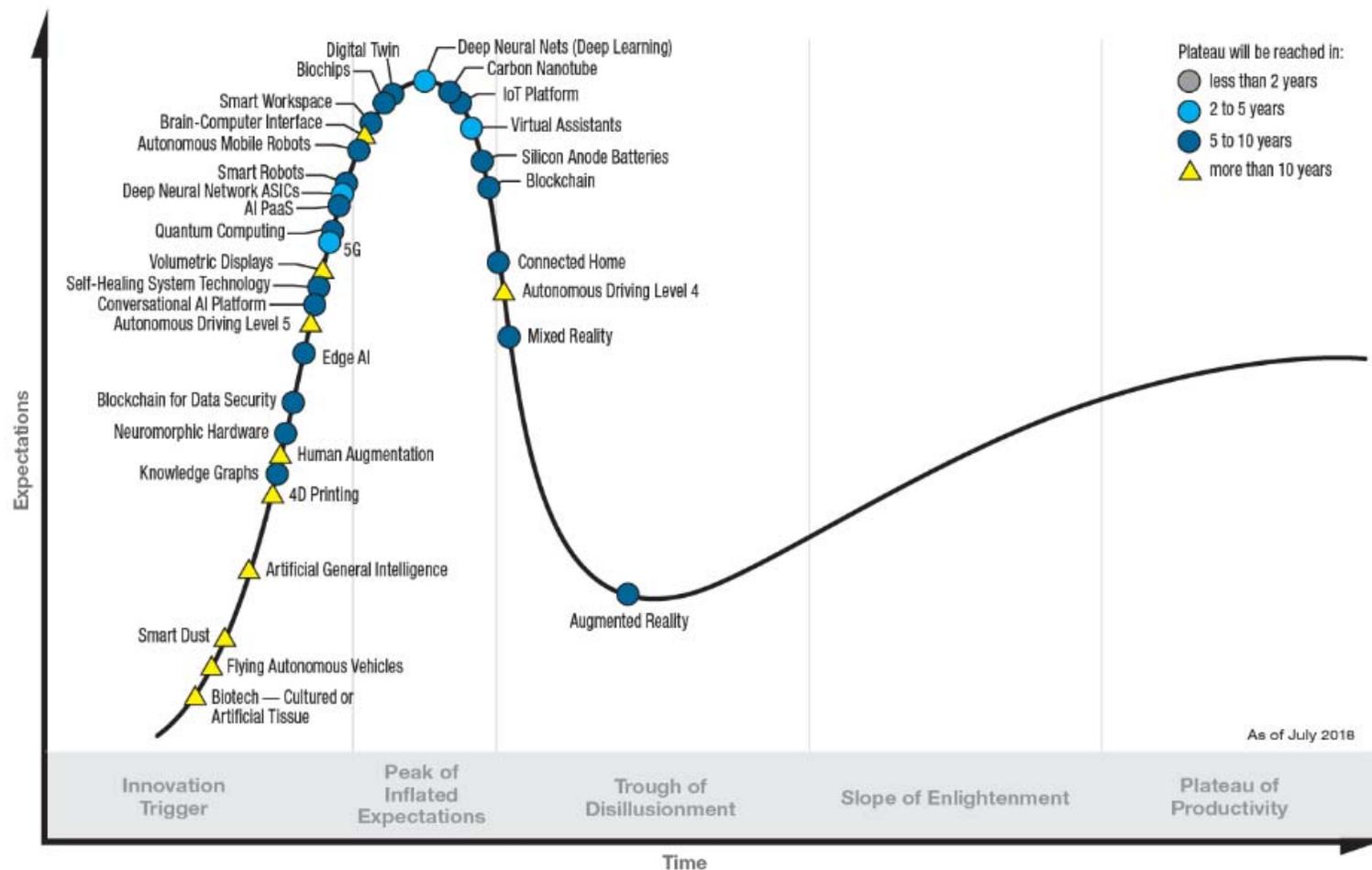
Introduction (3)

In light of these developments, it is critical that the NTA monitor and evaluate their projects to ensure that they adapt with the changing environment and in turn remain consistent with the vision, mission and goals of the regulator.

Monitoring and evaluation (M&E): Overview

Monitoring and evaluation (M&E) is critical to ensure the long-term success of any regulatory initiative, plan or action.

Critically, M&E helps to track whether actions that the NTA have implemented have been effective or not, and can help to determine whether any small tweaks or significant changes may be required to the NTA's goals or objectives to ensure success.

Steps in this process include:

- Identifying and tracking **risks**;

- Identifying and using **measures**; and

- Determining whether planned **outputs** and **outcomes** have been achieved.

Identifying and Tracking Risks (1)

For effective regulation, it is essential to identify and document a full range of historical, current and emerging risks that can affect defined regulatory outcomes.

When they eventuate, unidentified and unmitigated risks can adversely impact the defined regulatory outcomes and damage public confidence in regulators.

By consistently identifying risks to the defined regulatory outcomes – particularly emerging risks – regulators can better adapt to changing circumstances and emerging challenges, and achieve better compliance outcomes.

Identifying and Tracking Risks (2)

The recommended process for identifying and tracking risks is recorded in the diagram below.
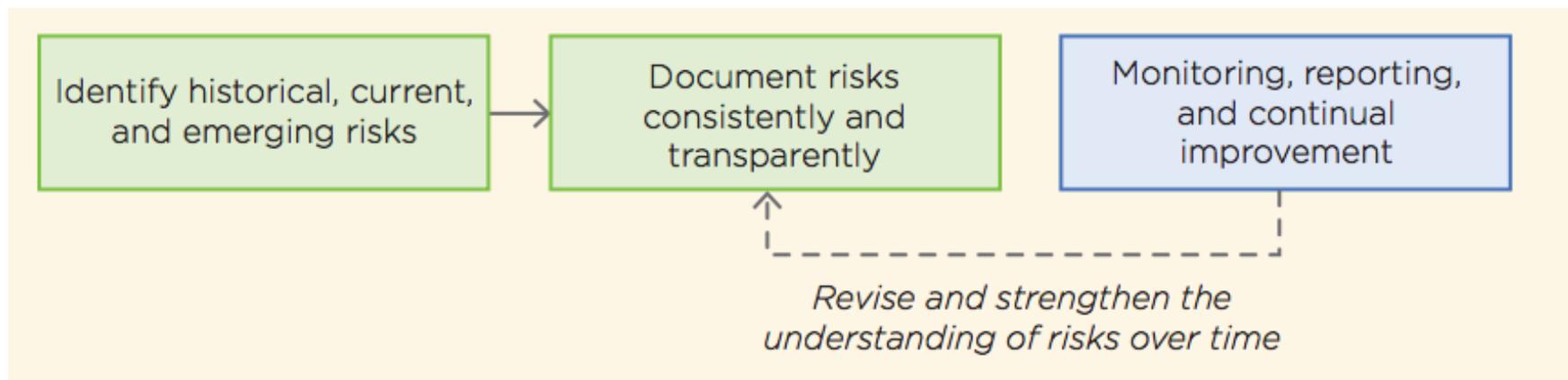
Identifying and Tracking Risks (3)

Regulators should, wherever possible, work to identify historical, current and emerging risks.

- Risks may arise due to any number of factors including technical change, new business models for industry participants, and changes in consumer preferences or behaviours.

Regulators should work to identify risks through:

- Continual and coordinated scanning and brainstorming in collaboration with other regulatory agencies, with clear accountability assigned;

- Qualitative and quantitative analysis;

- Technical and subject matter expertise to enable challenging and effective discussions; and

- A mixture of forums to obtain a variety of views for analysis.

Identifying and Tracking Risks (4)

Further, there are multiple forums that the NTA can use to identify and track risks, including:

- Literature reviews to assess practices in other jurisdictions;

- A structured cross-agency working group that meets regularly to share knowledge and lessons;

- Considering statutory objectives, government policy and guidance from the relevant minister;

- Reviewing past adverse events from the regulator's own inspection, enforcement or community complaints records;

- Engaging with internal and external stakeholders; and

- Social media monitoring as a potential tool to assess trends in emerging issues.

It is important to continuously revise our approaches and learn from previous mistakes ...

'Success is the ability to go from failure to failure without losing your enthusiasm.'

Sir Winston Churchill,
British Prime Minister, 1957

Identifying Measures and Indicators (1)

M&E requires an assessment plan to measure the performance of adaptation efforts in terms of relevance, effectiveness, efficiency, results and sustainability of the results.

Indicators are a core part of this.

- Indicator are things that we can measure.
- They help to determine whether objectives have been achieved for a specific program or project.

Regulators require indicators to understand:

- The size and significance of the contribution to regulatory outcome (i.e. the effectiveness);
- The attributes of outputs and administered items (i.e. the quality, quantity and cost); and
- How well outcomes have been delivered (i.e. efficiency and stakeholder responses).

Any project that the NTA implements should contain measurable objectives together with indicators for each of the objectives.

Evaluation of Project Implementation and Outcomes

Information from monitoring risks and measures will provide the NTA with the resources to determine whether it has been adapting successfully, and to draw lessons from its approach to help refine it.

In evaluating the success of a project, a number of questions should be addressed:

- Have the objectives of each adaptation option been met?

- What adaptation options have worked and what did not work?

- Have there been any unforeseen outcomes emerged from implementing your plan?

- Have your stakeholders and community been effectively engaged throughout and do they remain engaged?

Conclusions

In conclusion, it is critical that the NTA monitor and evaluate its projects to ensure that they adapt with the changing environment and in turn remain consistent with the vision, mission and goals of the regulator.

In this respect, it is recommended that the NTA undertake effective monitoring and reporting through a lens of continual improvement, rather than as a means to periodically and discretely measure (i.e. a 'box ticking exercise').

With this lens, monitoring and reporting assists regulators to:

- Understand performance at a deeper level, enabling more meaningful and informed engagement with internal and external stakeholders;

- Improve performance management frameworks over time, with clearer accountabilities that are better aligned with regulatory outcomes; and

- Use monitoring and reporting, along with broader corporate knowledge and experience, to continually strengthen the approach.

'All successful businesses (and I would contend regulators) are ones that take risks - calculated risks - but nevertheless, risks.'

Lee Iococca, father of the Mustang and President Ford, 1964

Break Out Session

Please divide into three groups taking on their perspective:

(1) CONSUMER GROUP: What are consumers currently not getting due to the NTAs initiatives?

(2) NTA GROUP: What are the gaps between what the NTA would like to do and what it is delivering?

(3) OPERATOR GROUP: What would operators like the NTA to do better? Do differently?

- Each group will have 30 mins to consider and will appoint a spokesperson who will present a top 10 list from their group based on the above