

Implementation of  
recommendations arising from  
previous inquiries of relevance to  
the Royal Commission into  
Institutional Responses to Child  
Sexual Abuse

Final Report  
Appendices 1 to 11

Parenting Research Centre

Commissioned by the Royal Commission into  
Institutional Responses to Child Sexual Abuse



**Parenting Research Centre**  
*raising children well*

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This document is the appendices to the final report for the project titled ‘Implementation of recommendations arising from previous inquiries of relevance to the Royal Commission into Institutional Responses to Child Sexual Abuse’.

Established in 1997, the **Parenting Research Centre** (PRC) is Australia’s only national, independent non-profit research, development and implementation specialist organisation with an exclusive focus on parenting and families. The PRC is dedicated to gathering scientific knowledge of effective parenting and developing practical programs to help all parents raise happy, healthy children. The PRC’s work focuses on supporting the efforts of practitioners, managers, organisations and governments to effectively and sustainably adopt and implement evidence-informed practices and programs.

#### ***Disclaimer***

The views and findings expressed in this report are those of the author(s) and do not necessarily reflect those of the Royal Commission. Any errors are the author’s responsibility.

This project was commissioned by the Royal Commission into Institutional Responses to Child Sexual Abuse.

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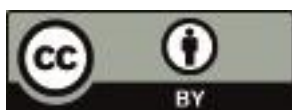
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**Royal Commission**  
into Institutional Responses  
to Child Sexual Abuse

## Preface

On Friday 11 January 2013, the Governor-General appointed a six-member Royal Commission to inquire into how institutions with a responsibility for children have managed and responded to allegations and instances of child sexual abuse.

The Royal Commission is tasked with investigating where systems have failed to protect children, and making recommendations on how to improve laws, policies and practices to prevent and better respond to child sexual abuse in institutions.

The Royal Commission has developed a comprehensive research program to support its work and to inform its findings and recommendations. The program focuses on eight themes:

1. Why does child sexual abuse occur in institutions?
2. How can child sexual abuse in institutions be prevented?
3. How can child sexual abuse be better identified?
4. How should institutions respond where child sexual abuse has occurred?
5. How should government and statutory authorities respond?
6. What are the treatment and support needs of victims/survivors and their families?
7. What is the history of particular institutions of interest?
8. How do we ensure the Royal Commission has a positive impact?

This research report falls within theme eight.

The research program means the Royal Commission can:

- Obtain relevant background information
- Fill key evidence gaps
- Explore what is known and what works
- Develop recommendations that are informed by evidence and can be implemented, and respond to contemporary issues.

For more information on this program, please visit [www.childabuseroyalcommission.gov.au/research](http://www.childabuseroyalcommission.gov.au/research)

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## Appendix 1 Survey of Government Stakeholders

### GOVERNMENT STAKEHOLDERS SURVEY

December 2013

The Royal Commission into Institutional Responses to Child Sexual Abuse is currently undertaking research to understand the factors that might facilitate or hinder the successful implementation of recommendations and, identify any unintended consequences that may occur as the result of recommendation made by Inquiries or Commissions. This will assist the Commission to avoid duplication and understand the adequacy of changes to laws, policies, systems and practices over time. The Parenting Research Centre (PRC) has been contracted to undertake this work.

The purpose of this survey is to better understand the experiences of government in implementing recommendations. The survey does not collect information on a specific Inquiry or Commission.

#### People we want to hear from

- Directors-General, Secretaries and/or Chief Executives (or their delegate) who can provide insights into the implementation of any of these recommendations (attached), or similar recommendations.
- It is not necessary for participants to have overseen the implementation of the recommendations that are under review as part of this project.
- We encourage more than one individual from each agency to participate. We ask that each participant complete the survey individually.
- Participants will not be identified, and the survey data will only be used for the purpose of this research project.

#### Survey content

- The first two questions ask participants to rate the significance of factors that can facilitate or hinder the implementation of recommendations. The factors are drawn from the findings of the PRC's review of previous evaluations of the implementation of inquiry recommendations.
- The final two questions ask participants to nominate any unintended consequences that may occur as the result of an Inquiry or Commission, and what can be done to address those consequences.
- Participants will not be required to refer to any departmental records.
- The survey is anonymous; the only demographic information gathered will be the relevant jurisdiction.

#### How the information will be used

The information from this survey will be collated by the project team at the PRC. It will be analysed together with the documents and data previously submitted by jurisdictions.

The survey can be conducted on paper, by telephone or face-to-face with a PRC team member. Telephone and face-to-face surveys will not be recorded. We anticipate that the survey will take approximately 15 minutes.

**To complete this survey by telephone or in person, please contact one of the PRC staff to arrange a suitable time.**

**If you prefer to complete the survey on paper,  
please return it to one of the email addresses below.**

Annette Michaux  
Director of Social Policy and Strategy  
M: 0418 423 283  
amichaux@parentingrc.org.au

Kate Spalding  
Senior Policy Analyst  
M: 0400 944 743  
kspalding@parentingrc.org.au

Or call PRC reception on 03 8660 3500.

## GOVERNMENT STAKEHOLDERS SURVEY

1. Please nominate agency jurisdiction:      ACT    CTH    NSW    NT    QLD    SA    VIC    WA    TAS

2. In your experience, how important is each of the following factors in **FACILITATING** the successful implementation of recommendations? Please rate each factor on a scale of 1 to 5 where 1 is 'not at all important' and 5 is 'extremely important'. If you are unsure please choose that option.

|   | 1                     | 2                     | 3                     | 4                     | 5                     | not<br>sure           |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| A project team overseeing implementation                    | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Advice on how to implement (e.g. consultant, legal advice)  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| An individual or designated position to champion the change | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Making regular progress reports                             | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Strong public or government support for reform              | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Workforce enthusiastic for change                           | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Other (please specify) _____                                | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

3. How significant is each of the following factors in **HINDERING** the successful implementation of this recommendation? Please rate each factor on a scale of 1 to 5 where 1 is 'not at all significant' and 5 is 'extremely significant'. If you are unsure please choose that option.

|  | 1                     | 2                     | 3                     | 4                     | 5                     | not<br>sure           |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| Time constraints                                       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Budgetary constraints                                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Lack of human resources or existing workloads          | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Internal organisational culture                        | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Underlying practice/service delivery issues            | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| The need for interagency or cross-sector collaboration | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Lack of an implementation plan or oversight group      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Other reforms or changes happening concurrently        | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Conflicting policy or legislation                      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Complexity or scale of the change involved             | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Attributes of the recommendation itself                | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Other (please specify) _____                           | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

---

**4. Please name up to three unintended consequences that may arise as a result of implementing recommendations from an Inquiry or Commission.**

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

**5. Please name up to three actions that Inquiries or Commissions could take to avoid such consequences, or to reduce their impact.**

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

**6. Do you have any other comments in relation to the implementation of recommendations, that might assist the Royal Commission?**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Thank you for your time.

## Appendix 2 Stakeholder mapping chart

Interview priority: 1 high priority, 2 priority, 3 possibly interview, 4 low priority

| Name                                       | Organisation (if applicable) | Jurisdiction (specify state, Federal, international) | Area of knowledge e.g.<br>- Child sexual abuse<br>- HR<br>- Probity & governance<br>- Systems reform | Relevant Inquiries/ themes | Level of Authority<br><br>(e.g. to make decisions that affect policy implementation)<br><br>1=Low, 5=High | Role in Implementation Process<br><br>(check ✓ where appropriate) |                                   |                              |                               |
|--|------------------------------|--|--|----------------------------|---|---|-----------------------------------|------------------------------|-------------------------------|
|  |                              |  |  |                            |   | Formulation of inquiry recommendations                            | Implementation of recommendations | Monitoring of implementation | Other influential stakeholder |
| <b>Policymakers / Government officials</b> |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
| <b>Advisory/ regulatory bodies</b>         |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
| <b>Academics and other</b>                 |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |
|  |                              |  |  |                            |   |   |                                   |                              |                               |



| Name  | Organisation (if applicable) | Jurisdiction (specify state, Federal, international) | Area of knowledge e.g.<br>- Child sexual abuse<br>- HR<br>- Probity & governance<br>- Systems reform | Relevant Inquiries/ themes | Level of Authority<br><br>(e.g. to make decisions that affect policy implementation)<br><br>1=Low, 5=High | Role in Implementation Process<br><br>(check ✓ where appropriate) |                                   |                              |                               |
|---|------------------------------|--|--|----------------------------|---|---|-----------------------------------|------------------------------|-------------------------------|
|   |                              |  |  |                            |   | Formulation of inquiry recommendations                            | Implementation of recommendations | Monitoring of implementation | Other influential stakeholder |
| <b>Non-government / private sector organisations</b>    |                              |  |  |                            |   |   |                                   |                              |                               |
|   |                              |  |  |                            |   |   |                                   |                              |                               |
|   |                              |  |  |                            |   |   |                                   |                              |                               |
|   |                              |  |  |                            |   |   |                                   |                              |                               |
| <b>Commission and Inquiry heads (possible category)</b> |                              |  |  |                            |   |   |                                   |                              |                               |
|   |                              |  |  |                            |   |   |                                   |                              |                               |
|   |                              |  |  |                            |   |   |                                   |                              |                               |
|   |                              |  |  |                            |   |   |                                   |                              |                               |

**Interview priority:** 1 high priority, 2 priority, 3 possibly interview, 4 low priority

## Appendix 3 Interview information for participants

### Interview briefing kit

Dear xxxx

Thank you for agreeing to participate in an interview with the Parenting Research Centre. We appreciate you taking the time to talk to us, and assisting with our work for the Royal Commission into Institutional Responses to Child Sexual Abuse.

As you are aware, this Royal Commission is an extremely important Australian initiative. It will help heal the victims of institutional abuse and inform the development of strategies and reforms to protect vulnerable children. You have been approached because of your extensive experience in xxx.

This interview forms part of a methodology that the Parenting Research Centre is using to assess recommendations from previous Australian Inquiries that are of relevance to the Royal Commission.

The interview will be conducted in two sections:

**Section one** will consist of open-ended questions about a previous Australian inquiry where you have some knowledge about its implementation. Please note, it can be any Inquiry and does **not** have to be one of the xxx Inquiries listed in this document.

**Section two** will address general reflections or comments about previous Inquiries that you think might help the Commission in its deliberations.

More information about the interview process is listed under heading 2 of this document.

This briefing kit contains:

1. Information about the project
2. Information about the interview
3. What we need in advance
4. Your participation in the project
5. Parenting Research Centre project team

# 1. Information about the project

## Background

In January 2013 a six-member Royal Commission was established to investigate Institutional Responses to Child Sexual Abuse. The Letters Patent of the Royal Commission set down a range of matters that are in scope. These include investigating where systems have failed to protect children and recommending how to improve laws, policies and practices to prevent and improve responses to child sexual abuse in institutions.

The Royal Commission is required to avoid duplication and consider the adequacy of the changes to laws, policies, systems and practices over time. A key aspect of this line of inquiry is to consider the findings and recommendations previous inquiries and the subsequent implementation of these recommendations.

The Parenting Research Centre has been commissioned to develop a suitable methodology for assessing the approximately 300 recommendations in previous identified inquiries.

## Aim of the project

The aims of the project are to:

- verify the extent to which recommendations have been implemented;
- identify the factors that might determine or contribute to the successful implementation of each recommendation to be identified;
- identify the factors that might hinder successful implementation; and,
- ascertain any relationship between these factors.

## Summary of the overall methodology

The Parenting Research Centre conducted a scoping review of past evaluations of Inquiry recommendations, and analysed the strengths and weaknesses of previous approaches. That data was used to develop a mixed methods design for assessing the recommendations under review. The methods are as follows:

- Surveys of government agencies to assess the extent to which recommendations have been implemented, and to explore the facilitators of, and barriers to, implementation.
- **Semi-structured interviews with key stakeholders, to elicit detailed information and opinions on the context of an inquiry and factors that may have affected the implementation of recommendations.**
- Audit of a range of government documents including policies and procedures and evaluation reports.
- Collation and examination of existing government administrative data.
- Verification of legislation.

## Recommendations under review

The Parenting Research Centre is assessing the implementation of a total of xx recommendations from the following xx inquiries:

*[insert inquiry details]*

The Parenting Research Centre is also looking at approximately 250 recommendations from 58 previous Inquiries from other Australian states, territories and the Commonwealth. Your reflections on other jurisdictions are therefore most welcome.

## 2. Information about the interview

xxx from the Parenting Research Centre (refer to project team below) will conduct the interview in person at your office (*insert date and time of interview*).

The interview is in two sections. It consists of open-ended questions and we anticipate it will take approximately 60 minutes. The interview will be audio recorded with your permission.

### *Interview Section 1*

We will ask you to focus on an inquiry that you feel most familiar with in terms of the implementation of its recommendations. Your role may have been as an advisor, implementer or evaluator of the recommendations. It does not have to be one of the inquiries listed above.

Please take the time, prior to the interview, to consider which inquiry and its recommendations you are most familiar with.

Questions regarding this Inquiry will include:

- **Aims and context of the Inquiry** (eg, who called the inquiry and why; key issues that the inquiry was aiming to address; previous initiatives, inquiries or reforms that had sought to address these issues)
- **Factors affecting the implementation of recommendations** (eg, policy factors; organisational or systems-level factors; economic or resource factors)
- **Leadership and stakeholder involvement** (eg, lead organisation for implementing the recommendations; effective leadership of organisation in implementing the recommendations; other organisations or individuals that might have improved the implementation of recommendations)
- **Monitoring and evaluation** (eg, organisations monitoring the implementation of recommendations; methods being used to monitor implementation; suggestions for monitoring and evaluating implementation of recommendations)
- **Overall assessment** (eg, additional actions, such as legislation/ professional development/ policies, that could have facilitated implementation of recommendations; positive changes as a result of the Inquiry; any unanticipated or unintended effects from the implementation of recommendations)
- **Key learnings** (eg, from the implementation/ partial/ non-implementation of recommendations).

## *Interview Section 2*

Is a general questions and comments section where you will be asked if you have any further comments that might help the Commission in its deliberations. Please also consider if there is anyone else with detailed knowledge of these inquiries that you would suggest we talk to.

### **3. What we need in advance**

We are also interested to know what other relevant Inquiries or Commissions you have been involved in over the last 5 years. If you could take the time to fill out the form in **Appendix 1** (listing no more than 10 Inquiries or Commissions) and email it back to xxx we would very much appreciate it.

### **4. Your participation in the project**

Participation in this project is voluntary. If you do not wish to take part, you do not have to. If you decide to take part and later change your mind, you are free to withdraw from the project. If you decide you do want to take part, you will be asked to sign the consent section. By signing it you are telling us that you:

- understand what you have read
- consent to take part in the project
- consent to be involved in the procedures described
- consent to the use of personal information as described.

The audio files will be deleted after the interviewer reviews the recording and their notes and transcription is complete. The transcription and interviewers' notes will be password protected. This information will be accessible only to the Parenting Research Centre team mentioned below, for a period of 5 years in a secure location. After this time it will be destroyed.

No names or identifying information will be recorded, and all information will be de-identified in any reporting of this project's findings. You will be acknowledged as a participant at the beginning of the report.

In accordance with relevant Australian and/or Victorian privacy and other relevant laws, you have the right to access the information you have given. If you would like access to the information collected during the interview, please contact one of the Parenting Research Centre team.

Thank you.

**Appendix 1**

We are also interested to know what other relevant Inquiries or Commissions you have been involved in over the last 5 years. If you could take the time to fill out the form below (listing no more than 10) and email it back to xxx we would very much appreciate it.

**Which previous Inquiries or Commissions have you played a role in? (go back five years)**

| Inquiry / Commission | Involvement (e.g. advisor/ implementation/ monitoring) |
|----------------------|--|
|                      |  |
|                      |  |
|                      |  |
|                      |  |
|                      |  |
|                      |  |
|                      |  |
|                      |  |
|                      |  |
|                      |  |

## **Appendix 4 Interview guide**

### **ROYAL COMMISSION: ASSESSMENT OF RECOMMENDATIONS INTERVIEW GUIDE**

This document is a guide to conducting stakeholder interviews to elicit detailed information and opinions on the context of an inquiry, resources available, economic, political, service systems issues, as well as other factors that may have facilitated, or been a barrier to, the implementation of recommendations.

Throughout the interview, a number of open ended questions will be asked. This may be followed by more specific questions aimed to clarify or confirm previous statements.

#### **ABOUT THIS INTERVIEW GUIDE**

This guide was adapted from an interview guide previously developed by the USAID Health Policy Initiative for the purpose of examining the implementation of policy (Bhuyan, Jorgensen, & Sharma, 2010). The USAID Health Policy interview guide included seven dimensions. These are listed below:

1. The policy, its formulation, and dissemination.
2. Social, political, and economic context.
3. Leadership for policy implementation.
4. Stakeholder involvement in policy implementation.
5. Implementation planning and resource mobilisation.
6. Operations and services.
7. Feedback on progress and results.

These stakeholder interviews are guided by the following factors:

- The formulation and implementation of inquiry recommendations cannot be removed from the context in which they were developed and implemented.
- Leadership is required to champion reforms and see them through to implementation.
- The extent to which different stakeholder groups are engaged in the implementation process varies, often requiring new collaborations that did not previously exist.
- Effective implementation requires planning and adequate resourcing.
- Implementation at the service delivery level can be complex, costly and time-consuming.

The interview questions have been tailored to fit the recommendations and/or inquiries being reviewed, to enhance the usefulness of the interviews and ensure a closer fit with the purpose of the current project.

#### **Selection of key informants**

Refer to the stakeholder mapping tool for a complete list of interviewees. The mapping exercise ensures that the pool of interviewees captures a diversity of experiences and involvement in the development, implementation or monitoring of Inquiry recommendations.

The selection of informants may include:

- Government agency representatives

- Monitoring agencies
- Academics and acknowledged experts
- Non-government representation from peak bodies

### Structure of the interview

The questions are open-ended. Probing for additional information will provide a richer source of data. Interviewers will ask participants to explain their answers or to give examples where appropriate. Interviewers should familiarise themselves with the inquiries under review, the interviewee’s chosen inquiry and the context and terms of reference of the relevant inquiries.

**Interview notes:**

- *The “basic information” section should be completed prior to the interview.*
- *All questions or phrases to read aloud are in **bold** font.*
- *Instructions to interviewers are italicized and enclosed by blue boxes. They should not be read aloud.*
- *Ask each question as stated in the interview guide. If the key informant states that he/she does not really know the answer, write “DK” (“Don’t know”).*
- *Most questions request the key informant to specify or explain further. Please probe appropriately to obtain the underlying reasons. Interviewers are encouraged to probe in the case of open-ended questions.*
- *In some instances, a respondent may decline to answer a specific question. If so, write down “Declined,” then ask the respondent if it is okay to ask the next question. If the respondent agrees to continue, be sure to ask the next applicable question based on “Skip” instructions.*
- *In case questions arise, make sure you have the relevant recommendation/s in front of you.*

### Basic information

|                                 |  |
|---------------------------------|--|
| <b>Name</b>                     |  |
| <b>Title</b>                    |  |
| <b>Agency/organisation</b>      |  |
| <b>Inquiry</b>                  |  |
| <b>Date of interview</b>        |  |
| <b>Contact number</b>           |  |
| <b>Returned consent form</b>    |  |
| <b>Name of lead interviewer</b> |  |



## INTRODUCTION

Thank you very much for making time for this interview. My name is [*state your name*] and I work for the Parenting Research Centre. We've been commissioned by the Royal Commission into Institutional Responses to Child Sexual Abuse, to develop a methodology for assessing recommendations from previous inquiries.

We're using a number of methods to assess the implementation of recommendations, including in-depth interviews with key stakeholders of which you're one. This interview consists of open-ended questions. We anticipate it will take about an hour to 90 minutes.

- Have you read the Interview Briefing and Consent Form?
- All information will be de-identified in any reports to the Royal Commission. Your name will be acknowledged as a participant at the beginning of the report.
- Can I have your verbal consent to record this interview?

*[Verbal consent given]*

- Do you have any questions about your participation?

## A. Inquiry details

A1. If they haven't sent back form with list of previous Inquiries or Commissions in which they have played a role, prompt for form.

A2. I'd like to start by focusing on the implementation of recommendations from your chosen inquiry.

## B. AIMS AND CONTEXT OF THE INQUIRY

You have chosen to focus on [*insert inquiry name*] today. Instigated by xxxx, the inquiry was about xxxxx and the key issues being addressed were xxxxx.

- B1. Had there been previous policy initiatives or previous inquiries or reforms that had sought to address these issues?

Thank you. I'd like now to discuss some of the factors that facilitated or hindered the implementation of recommendations of [*name of inquiry*].

## C. FACTORS AFFECTING IMPLEMENTATION OF RECOMMENDATIONS

**Note:** For the following questions, make sure that you are clear at each stage whether they are talking about factors that **facilitated** or **hindered** the implementation of recommendations.

**C1. In your opinion, which of the following policy factors facilitated or hindered the implementation of these recommendations? For example, policy environment or support for the reform.**

Can we start with the policy factors that facilitated the implementation of recommendations in the [name of inquiry] and then move on to policy factors that hindered it.

- **the policy environment**
  - probe for further information eg which policies/agencies? how? why?
- **support or push for the reform**
  - probe for further information eg whose support? Who didn't support?
- **are there any other policy-related factors that you think affected implementation? How?**

**Note:** The policy environment refers to the socio-political context at the time of the inquiry. It includes government policies, laws, regulations, resourcing etc.

**C2. In your opinion, did any of the following ORGANISATIONAL or SYSTEMS-LEVEL factors facilitate or hinder the implementation of these recommendations? For example: existing structures or processes, other reforms happening concurrently, organisational culture, an implementation plan, resources etc.**

Again, can we start with the organisational or systems-level factors that facilitated the implementation of recommendations in the [name of inquiry] and then move on to policy factors that hindered it.

- **existing structures or processes**
  - probe for further information eg which structures helped? Which hindered?
- **other reforms/changes happening concurrently**
  - probe for further information eg what other change? What impact?
- **organisational culture**
  - probe for further information eg whose culture? Why did it affect implementation?
- **Implementation plan / oversight group**
  - probe for further information eg was there a plan/overseer? what impact?

**Note:** Organisational or systems level refers to organisational culture or systems across organisations at the time of the inquiry.

- **timeframes**
  - o *probe for further information eg whose timeframes? Which agencies? what impact?*
- **Resources, eg budgets, human resources / workload**
  - o *probe for further information eg whose budget? What impact?*
- **Are there any other organisational factors that you think affected implementation? How?**

## **D. LEADERSHIP AND STAKEHOLDER INVOLVEMENT**

**D1. Recommendations were made for changes to police practices, court procedures and rules of evidence to improve the experience for complainants. In your understanding, was there a lead organisation for implementing the recommendations? (If the answer is no, go to Question D4.)**

**D2. If so, which organisation?**

**D3. It has been nine years since the [name of inquiry] was released, how effective do you think that organisation's leadership was in implementing the recommendations?**

**D4. Do you think that the involvement of any other organisation or individual could have improved implementation of recommendations?**

**D5. If so, which organisation/individual? Why?**

## **E. MONITORING AND EVALUATION**

**E1. To your knowledge, is any organisation monitoring the implementation of these recommendations? (If the answer is no, go to Question E4.)**

**E2. If so, which organisation?**

**E3. To your knowledge, what methods are being used to monitor implementation?**  
(e.g. centralised tracking system, progress reports, meetings)

**E4. Is this an effective method of tracking the implementation of recommendations?**

**E5. Do you have any suggestions, beyond these methods, for how the implementation of recommendations could be monitored and evaluated?**

## F. OVERALL ASSESSMENT

**F1. Are there any additional actions that could have facilitated the implementation of recommendations?** (*eg legislation/training/policies/ champions etc*)

**F2. What do you think are some of the positive changes that resulted from the Inquiry?**

**F3. Have you observed any unanticipated or unintended effects from the implementation of recommendations?**

Thank you.

## G. GENERAL QUESTIONS

**G1. In your opinion, what makes a good or SMART recommendation (for example, a report on implementation)?**

**G2. Do you have any other comments that might help the Commission in its deliberations?**

**G3. Is there anyone else with detailed knowledge about any of these recommendations that you suggest we talk to?**

*Thank you and follow-up.*

*Please thank the respondent for their time, and provide your contact information for any follow-up questions or concerns. Describe the next steps for disseminating and discussing the results.*

## References

Bhuyan, A., Jorgensen, A., & Sharma, S. (2010). Taking the Pulse of Policy: The Policy Implementation Assessment Tool. U.S. Agency for International Development (USAID).

[http://www.healthpolicyinitiative.com/policyimplementation/files/15\\_piat.html](http://www.healthpolicyinitiative.com/policyimplementation/files/15_piat.html)

**Appendix 5** Interview consent form

**Royal Commission Project: Stakeholder Interviews**  
**Participant Consent form**

I have read and I understand the purpose of this project and its associated procedures. I have had an opportunity to ask questions for clarification and I am satisfied with the answers I have received.

I agree to participate in the interview as described, and to have the interview recorded by an electronic device.

I understand that the recording will be destroyed after the interviewer reviews the recording and their notes and transcriptions are complete. I understand that the transcriptions and interviewer notes will be kept in a secure location and password protected for a period of five years.

I agree to the content of the interview being included in reports to the Royal Commission.

I understand that individual responses to interview questions will be aggregated and my responses will not be identifiable to the commission or in any subsequent public reports.

I understand that I can withdraw from the interview at any time while it is being conducted but that, once transcribed and aggregated with other interviews, I can no longer withdraw.

Participant’s name (printed): .....

Signature ..... Date .....

**Who can I contact?**

For further information about this project or if you have any concerns related to your involvement in this project, you can contact xxx.

Please return the signed form to xxx.

## Appendix 6 Data extraction form

### Person extracting data

#### Date of extraction

#### Recommendation number

Enter numerical identifier

#### Commission/Inquiry of origin

Name (formal and informal, if applicable, in inverted commas) & date of inquiry

#### Recommendation made

*Quote in full, in italics*

#### Assessability of recommendation

Enter rating: Yes/ partial/ no/undetermined

Specify what can and cannot be assessed

#### Additional information request

Briefly describe request & gov response

#### Submitted document/ source details

Numbered list including title & date with confidential government response first

Add additional requested documentation if available & relevant

#### Relevant to at least one aspect of recommendation

Specify relevance of each document by number, and briefly why

#### Documentation currency

Date of relevant confidential government response

#### Reliability contribution of documents

High/Medium/Low/ Undetermined

Enter ratings for each relevant source (numbered list)

#### Implementation

#### Recommended actors involved

Describe or NA if actors unspecified

#### Recommended actors not involved

Describe or NA

#### Included actions

Describe or NA

#### Excluded actions

Describe or NA

#### When action was taken

Describe length of time for relevant stages of progress

Note which aspects were achieved or attempted first

#### Implemented as recommended?

Y/N

#### Government statement about status of implementation

Quote

#### Reason provided

Y/N and if Y, indicate by who and describe what

#### Implementation summary & provisional rating

Summarise briefly in words, using neutral descriptive language, and give **provisional rating in bold**

## Appendix 7 Criteria to determine reliability of the documentation

Each document submitted by government, including their official responses to the Royal Commission’s request for information, was given a reliability rating. Documents which command a very high level of accountability and form (or will form, when released) part of the public record were given a high reliability rating. Examples of these sources include legislation, regulation and cabinet documents. Medium reliability applied to documents or frameworks by an authoritative author for which there was inter-governmental endorsement, formal departmental endorsement and public knowledge. Examples include policy and practice guidelines. A rating of low reliability was given to internal government documents (such as training materials and discussion papers) and opinions expressed in confidence (such as the confidential government response to the Royal Commission). This does not reflect any expectation of inaccuracy or deception but acknowledges a lower level of public accountability.

The reliability rating criteria were as follows:

|                           |  |
|---------------------------|--|
| <b>High reliability</b>   | Acts of parliament and subsidiary legislation (regulations, by-laws etc.).<br>Legal opinion, case law/precedent, statutory interpretation (e.g. published legal advice).<br>Cabinet briefings/decisions.   |
| <b>Medium reliability</b> | Public document by an authoritative author (professionally relevant qualifications or experience) that provides information about government attitude, activity or policy in relation to the recommendation (e.g. public government response to Commission/Inquiry; peer reviewed paper).<br>Jurisdictional strategic documents or frameworks for which there is inter-governmental endorsement (e.g. state-state cooperation), formal inter-departmental endorsement (e.g. department-department) or formal departmental endorsement of policy (e.g. procedure/policy).<br>Bills of parliament (draft legislation not yet enacted). |
| <b>Low reliability</b>    | Internal documents within government branches or departments (e.g. discussion paper).<br>Opinion expressed in confidentiality (e.g. confidential government response to RC).   |
| <b>Undetermined</b>       | Incomplete or inconsistent information.  |

Each recommendation was rated according to standardised criteria, specifying the extent to which implementation of the recommendation could be assessed with documentary evidence within the scope of the project. The assessability criteria were as follows:

**Assessable**

Recommendation can be interpreted by investigator, applies to a specified actor or authority, specifies a standard or means of implementation & documentary evidence provides a valid measure or indicator of implementation

**Partially assessable**

Elements of recommendation meaning, responsibility/accountability, means or standards are not specified or apparent, are internally inconsistent or cannot be measured with validity through documentary evidence

**Not assessable**

The meaning, responsibility/accountability or means of implementation are not apparent and cannot be measured through documentary evidence.

**Undetermined**

Conflicting interpretations are unresolvable.



## Appendix 8 The document audit method

### 1) Assumptions:

1. Texts are not data but can generate data for interpretation
2. We generate data by identifying meaningful units, patterns and structures in text
3. There is no definitive reading of a text, but the reliability of the interpretation can be assessed and verified
4. A reliable interpretation is replicable and valid in principle; it is a critical interpretation of the text that compares and contrasts possible interpretations within the context of the research and represents all interpretations within the scope of the research question
5. Verification establishes the consistency of the interpretation with the procedures and categories applying to the analysis

### 2) Research question:

To what extent has each national, state and territory recommendation from enquiries specified by the Royal Commission been implemented?

### 3) Scope:

Requested information from government sources will be analysed to inform decisions by current Royal Commissioners about making recommendations on institutional responses to child sexual abuse.

### 4) Methods:

Due to the need for a rapid response to the research question, methods have been adopted that balance the need for reliability and verification with the need for information within a short timeframe.

1. The validity and comprehensiveness of the documents for answering the research question is supported by the level of access to relevant information by the senior bureaucrats from whom it was requested and by the interests associated with their position in either demonstrating implementation or justifying an alternative approach. Increasing the perspectives and sources used in the analysis would increase the validity of the analysis but the concurrent increase in the amount of time required precludes this approach.
2. The bias inherent in the source's awareness of being observed is addressed by applying context-sensitive analytical constructs to compare and contrast the text with points of reference the source cannot influence. The analytical constructs to determine the relevance, verifiability and reliability of the information provided are:
  - Relevance to subject/s, objective/s and standards explicitly stated in the recommendation under review
  - Extent (not at all, partially, in full, undetermined) of implementation documented by the government response and its attachments, links and references (which does *not* include verification of the quality or impact of implementation)
  - Reliability of the verifying evidence (low, moderate, high, undetermined) in accordance with standardised criteria
3. The influence of measurement bias on results is addressed by the development of templates and guidelines, criteria for decisions and categorisations, a process for analysts to clarify and confer on the guidelines, procedures for discussing challenging or controversial decisions and use of standardised reporting tools to record data.
4. Inferences and extrapolations from the data will be based on patterns of difference and patterns of consistency. Identified patterns in the data and their potential significance, if any, will be discussed and a

procedure for interpretation and reporting of findings will be agreed. Findings will document the extent to which auditing indicates previous recommendations have been actioned and the level of confidence with which this assessment can be reported.

5. Consideration of timeframes means that verification tests for the auditing process will not be based on full duplication of data processing by a second analyst. Duplication will be limited to conferring processes to establish a baseline level of consistency and clarification of controversies and uncertainties, e.g. recording the consensus decision, or if necessary, the majority.
6. The conferring process to establish consistency involves auditors discussing and clarifying the application of the audit process and then independently completing responses for the same four recommendations to compare consistency. Responses are independently reviewed and the duplication process continues until a minimum of 80 per cent consistency is established. Spot checks will be undertaken to ensure ongoing consistency in extraction and audit responses.

**5) Decision scheme:**

1. Can implementation of the recommendation be audited using documentary evidence, at least in part?  
Comment using assessability standard.
2. Is the documentation relevant to at least one aspect of the recommendation?
3. If yes, what documentary evidence is there that the recommendation under review has been implemented?
4. If documentary evidence exists, what standard of evidence is available? Describe using reliability criteria.
5. Was the recommendation addressed exactly as recommended?
6. If yes, describe in terms of recommended participants and actions
7. If no, describe in terms of involved and excluded participants and included and excluded actions
8. If no, was a reason given for non-implementation? Describe
9. Summarise what has been verified
10. After inclusion of findings from data extraction, document audit, data analysis, legislation checks and information request, apply the implementation rating scale.

**6) Assessability standards: specify which category and which parts of it apply**

|                     |  |
|---------------------|--|
| <b>Yes</b>          | Recommendation can be interpreted by investigator, applies to a specified actor or authority (if relevant), specifies a standard or means of implementation & documentary evidence provides a valid measure or indicator of implementation |
| <b>Partial</b>      | Elements of recommendation meaning, responsibility/accountability, means or standards are not specified or apparent, are internally inconsistent or cannot be measured with validity through documentary evidence                          |
| <b>No</b>           | Meaning, responsibility/accountability, means or standards are not apparent or applicable and cannot be measured with validity   |
| <b>Undetermined</b> | Conflicting interpretations are unresolvable   |

## 7) Reliability rating standards:

|                                 |   |
|---------------------------------|---|
| <b>High reliability</b>         | Acts of parliament and subsidiary legislation (regulations, by-laws etc.)<br>Legal opinion, case law/precedent, statutory interpretation (e.g. published legal advice)<br>Cabinet briefings/decisions   |
| <b>Medium reliability</b>       | Public document by an authoritative author (professionally relevant qualifications or experience) that provides information about government attitude, activity or policy in relation to the recommendation (e.g. public government response to commission/inquiry; peer reviewed paper)<br>Jurisdictional strategic documents or frameworks for which there is inter-governmental endorsement (e.g. state-state cooperation), formal inter-departmental endorsement (e.g. department-department) or formal departmental endorsement of policy (e.g. procedure/policy)<br>Bills of parliament (draft legislation not yet enacted) |
| <b>Low reliability</b>          | Internal documents within government branches or departments (e.g. discussion paper)<br>Opinion expressed in confidentiality (e.g. confidential government response to RC)  |
| <b>Reliability undetermined</b> | Incomplete or inconsistent information  |

## 8) Implementation rating standards:

|   |  |
|---|--|
| <b>Implemented in full</b>                | Recommendation was implemented in a way consistent with directions   |
| <b>Partially implemented</b>              | Recommendation was implemented in a significantly modified or incomplete way   |
| <b>Not implemented</b>                    | Documentary evidence exists to indicate recommendation was not implemented; including recommendations reported as being under consideration. |
| <b>Implementation status undetermined</b> | Unclear or insufficient relevant evidence was provided   |

## Appendix 9 Legislation verification process and template

### LEGISLATION VERIFICATION

The Parenting Research Centre has been commissioned by the Royal Commission to develop a suitable methodology for analysing 288 recommendations in previous identified inquiries. We have begun this work for recommendations from Victorian inquiries.

A combination of methods are being used to assess the implementation of recommendations. They vary according to the type of recommendation and the nature of the governmental response already received. One of the methods is the verification of relevant legislation.

#### Legislation verification

Eight recommendations have involved the introduction of, or amendment to, legislation. The aim of this method is to:

- ascertain if the legislation, whether introduced or amended, meets the intention of the recommendation; and/or
- verify the government's response in relation to implementation of the recommendation.

#### Instructions for legislation verification

Please complete a table for each of the eight recommendations, using the following decision scheme and implementation rating standards. Each table contains:

- Recommendation number
- Commission/ inquiry of origin
- Recommendation made
- Government response
- Document / Link to Act
- Implementation/ decision scheme/ implementation rating

#### Decision scheme:

11. Does the legislation address the recommendation exactly as recommended?
12. If yes, describe in terms of included content
13. If no, describe in terms of excluded content

#### Implementation rating standards:

**Implemented in full** Recommendation was implemented in a way fully consistent with directions

**Partially implemented** Recommendation was implemented in a significantly modified or incomplete way

**Not Implemented** Documentary evidence exists to indicate recommendation was not implemented; including recommendation reported as being under consideration

**Implementation status undetermined** Unclear or insufficient relevant evidence was provided

## ATTACHMENTS FOR LEGISLATION CHECKS

| Attachment name | Inquiry | Rec. No. |
|-----------------|---------|----------|
|-----------------|---------|----------|

### *INSERT NAME OF LEGISLATION HERE*

**Recommendation number** *Insert recommendation number*

**Commission/Inquiry of origin** *Insert inquiry name and date*

**Recommendation made** *Insert recommendation text*

**Government response** *Insert government response in full*

**Document name** *Insert name of legislation (and section if relevant)*

### **Implementation**

**As recommended** Y/N

**Included content**

**Excluded content**

**Overall implementation rating**

## Appendix 10 Decision-making process for determining application of method to each recommendation

### A DECISION-MAKING PROCESS FOR DETERMINING WHICH METHOD TO APPLY TO EACH RECOMMENDATION

The following methods comprise the multi-method design of this assessment project.

- Audit of documents provided by Government (“document audit”)
- Verification of relevant legislation (“legislation verification”)
- Analysis of administrative data (“data analysis”)
- Interviews with key stakeholders (“interviews”)
- A survey of senior Government executives

For each recommendation there will also be an assessment of the Government’s response to the Royal Commission.

The different methods aim to answer the evaluation questions as follows:

1. To what extent was each **individual recommendation** implemented?
  - Analysis of government response
  - Document audit
  - Legislation verification
  - Data analysis
  - Interviews (in a few rare instances e.g. recommendations targeting religious organisations)
2. What were the facilitators and barriers to the implementation of each **individual recommendation** under review?
  - Analysis of government response
3. What are the facilitators and barriers to implementation of **recommendations in general**?
  - Interviews with key stakeholders
  - Government survey

Following is a guide to deciding which method could be used to answer the first evaluation question: *to what extent was each individual recommendation implemented?*

1. Highlight the action or actions that the recommendation required; this will provide the parameters for assessment.
2. Has the Government provided any documentation to support its response to the Commission? If yes, and the documentation directly relates to the highlighted action/s required, one method of assessment will be a document audit. If no, consider whether any documentation needs to be requested. Documentation requested should sit within the parameters for assessment of the recommendation.

Note that due to the need to gather and assess information within a very short timeframe, the document audit will include **only** documents provided by the Government.

3. Does the recommendation require the introduction or amendment of legislation? If yes, one method of assessment will be the verification of legislation.
4. Does the government's response to the Commission refer to the introduction or amendment of legislation? If yes, one method of assessment will be the verification of legislation.
5. Consider whether the analysis of administrative data would assist the assessment of implementation. (Administrative data is information collected by government departments primarily for administrative, rather than research, purposes, such as record keeping.) Ensure that the data under consideration sits within the parameters for assessment of the recommendation. If yes, consider whether the government department/s in question collect that data. Seek input from PRC's academic partners on the likelihood of such data being available.
6. Is the recommendation directed to non-government bodies, such as religious organisations? If yes, consider whether a specific question about the implementation of that recommendation could be directed to a stakeholder with expert knowledge of the area.

See Table 25 on the following page for examples of the parameters of recommendations.

**Table 25** Examples of the parameters of recommendations

|                              | <b>Example 1</b>   | <b>Example 2</b>  | <b>Example 3</b>   |
|------------------------------|--|---|--|
| <b>Recommendation</b>        | It is recommended that DoCS establish an interagency committee, and that the committee develop guidelines for data collection.   | It is recommended that DoCS establish an interagency committee, and that the committee develop guidelines for data collection. DoCS should implement a training program in the new guidelines.  | It is recommended that DoCS establish an interagency committee, and that the committee develop guidelines. DoCS should implement a training program in the new guidelines, to ensure that data on the incidence of assault is collected.   |
| <b>Parameters (in scope)</b> | <p>The parameters for assessment are:</p> <ul style="list-style-type: none"> <li>- whether a committee was established; and</li> <li>- whether the committee had interagency-representation; and</li> <li>- whether the committee developed guidelines.</li> </ul> | <p>The parameters for assessment are:</p> <ul style="list-style-type: none"> <li>- whether a committee was established; and</li> <li>- whether the committee had interagency-representation; and</li> <li>- whether the committee developed guidelines; and</li> <li>- whether a training program was implemented.</li> </ul> <p>The extent to which data has been collected could be in scope, but is not strictly necessary for the assessment of implementation.</p> | <p>The parameters for assessment are:</p> <ul style="list-style-type: none"> <li>- whether or not a committee was established; and</li> <li>- had interagency representation; and</li> <li>- whether that committee developed guidelines; and</li> <li>- whether a training program was implemented; and</li> <li>- that data has been collected.</li> </ul> |
| <b>Out of scope</b>          | How often the committee met; the extent to which the guidelines were implemented.  | Whether data has been collected.  | Whether data has been analysed to reveal trends.   |
|                              |  | Whether data has been analysed to reveal trends.  | Whether outcomes for children have changed as a result of the training.  |



## Appendix 11 Number of recommendations as categorised by subject

| Subject                                    | Number of recommendations |
|--|---------------------------|
| Abuse in care                              | 20                        |
| Child advocate                             | 5                         |
| Child protection investigation             | 10                        |
| Child safe environments                    | 1                         |
| Child sex offences                         | 1                         |
| Child witness                              | 6                         |
| Children's rights                          | 10                        |
| Community education                        | 1                         |
| Compensation                               | 7                         |
| Complaints handling                        | 12                        |
| Criminal justice system                    | 12                        |
| Definition of sexual offences              | 3                         |
| Employment screening                       | 27                        |
| Evaluation of procedures/process           | 1                         |
| Exchange of information                    | 16                        |
| Handling allegation of abuse against staff | 22                        |
| Management of client files                 | 3                         |
| Mandatory reporting                        | 28                        |
| Miscellaneous                              | 6                         |

|   |    |
|---|----|
| Monitoring and oversight of children in OOHC                      | 20 |
| No subject specified  | 1  |
| Offender services   | 5  |
| OOHC Carer approval and monitoring                                | 3  |
| Promote wellbeing of children                                     | 6  |
| Publically sharing information about alleged offenders or victims | 1  |
| Redress   | 16 |
| Self protection education for children                            | 1  |
| Sex offender programs   | 6  |
| Sex offender register   | 13 |
| Training in child protection                                      | 17 |
| Unknown   | 4  |
| Victim services   | 4  |