

Gap analysis checklist for CMA systems

This checklist will help a CMA conduct a self-assessment of the health of CMA systems. Gap analysis can be undertaken at both strategic (investment planning, CAP development etc) and/or project levels. This checklist is for CMA internal use and is not a formal part of the NRC's audit and review program.

The gap analysis is based on the following **system** model:

- for each component of the *Standard for Quality Natural Resource Management* (the standard) a CMA has a consistent **process** which ensures the component will be appropriately addressed both at the strategic and project levels
- these **processes** are used consistently across the CMA's activities as part of an NRM **system**.

The checklist consists of nine tables: one for each component of the standard; one for prioritisation processes and one for systems. By responding to the questions in the tables a CMA will be able to identify the areas where current systems are unlikely to achieve the required outcomes of areas of the standard.

How to use the checklist

Adjacent to each question are columns for answering yes, no or N/A. Each of these options is explained below:

- Yes** The yes column has three options (comprehensive, moderate or poor) to indicate varying degrees of compliance. For a yes answer, you should be able to provide information supporting the level of response. For example, if you have a process for community collaboration but this was only used on one project then select 'poor'. If the process was used by staff throughout the CMA head office on all projects but not by staff outside the head office, then select 'moderate'. If all staff in the CMA used the process all of the time, then select 'comprehensive'.
- No** If you respond with a no answer, it is important you begin to consider how to change this to a yes response. This could include identifying actions and proposed timing.
- N/A** It may be the case that some questions become more or less relevant at different levels within the organisation. In cases where questions are not relevant, you should select the N/A column. Where you select this response, you should record an explanation as it may be required as part of an audit.

Collection and use of knowledge					
Question	Yes			No	N/A
	C	M	P		
Do you have a process to obtain the best available knowledge to inform decisions in a structured and transparent manner at a strategic level?					
Do you have a process to obtain the best available knowledge to inform decisions in a structured and transparent manner at a project level?					
Is the process :					
Documented or otherwise implemented in a systematic (consistent, repeatable and clear) way?					
Applied consistently throughout the CMA?					
Promoted to relevant staff at all levels throughout the CMA?					
Used by relevant staff at all levels throughout the CMA?					

Determination of scale					
Question	Yes			No	N/A
	C	M	P		
Do you have a process to ensure natural resource issues are managed at the optimal spatial, temporal and institutional scale to maximise effective contribution to broader goals, deliver integrated outcomes and prevent or minimise adverse consequences at a strategic level ?					
Do you have a process to ensure natural resource issues are managed at the optimal spatial, temporal and institutional scale to maximise effective contribution to broader goals, deliver integrated outcomes and prevent or minimise adverse consequences at a project level ?					
Is the process:					
Documented or otherwise implemented in a systematic (consistent, repeatable and clear) way?					
Applied consistently throughout the CMA?					
Promoted to relevant staff at all levels throughout the CMA?					
Used by relevant staff at all levels throughout the CMA?					

Opportunities for collaboration					
Question	Yes			No	N/A
	C	M	P		
Do you have a process for exploring opportunities for collaboration with other parties to maximise gains, share or minimise costs or deliver multiple benefits at a strategic level ?					
Do you have a process for exploring opportunities for collaboration with other parties to maximise gains, share or minimise costs or deliver multiple benefits at a project level ?					
Is the process :					
Documented or otherwise implemented in a systematic (consistent, repeatable and clear) way?					
Applied consistently throughout the CMA?					
Promoted to relevant staff at all levels throughout the CMA?					
Used by relevant staff at all levels throughout the CMA?					

Community engagement					
Question	Yes			No	N/A
	C	M	P		
Do you have a process to implement strategies to meaningfully engage the community in planning, implementation and review of natural resource management strategies and the achievement of identified goals and targets?					
Do you have a process to implement strategies to meaningfully engage the community in planning, implementation and review of natural resource management projects and the achievement of identified goals and targets?					
Is the process :					
Documented or otherwise implemented in a systematic (consistent, repeatable and clear) way?					
Applied consistently throughout the CMA?					
Promoted to relevant staff at all levels throughout the CMA?					
Used by relevant staff at all levels throughout the CMA?					

Risk management					
Question	Yes			No	N/A
	C	M	P		
Do you have a process to consider and manage all identifiable risks and impacts to maximise efficiency and effectiveness, ensure success and avoid, minimise or control adverse impacts at a strategic level ?					
Do you have a process to consider and manage all identifiable risks and impacts to maximise efficiency and effectiveness, ensure success and avoid, minimise or control adverse impacts at a project level ?					
Is the process:					
Documented or otherwise implemented in a systematic (consistent, repeatable and clear) way?					
Applied consistently throughout the CMA?					
Promoted to relevant staff at all levels throughout the CMA?					
Used by relevant staff at all levels throughout the CMA?					

Monitoring and evaluation					
Question	Yes			No	N/A
	C	M	P		
Do you have a process to quantify and demonstrate progress towards goals and targets by means of regular monitoring, evaluation and reporting of strategic performance and the use of results to guide improved practice?					
Do you have a process to quantify and demonstrate progress towards goals and targets by means of regular monitoring, evaluation and reporting of project performance and the use of results to guide improved practice?					
Is the process:					
Documented or otherwise implemented in a systematic (consistent, repeatable, clear) way?					
Applied consistently throughout the CMA?					
Promoted to relevant staff at all levels throughout the CMA?					
Used by relevant staff at all levels throughout the CMA?					

Information management					
Question	Yes			No	N/A
	C	M	P		
Do you have a process to manage information in a manner that meets user needs and satisfies formal security, accountability and transparency requirements which is consistent at all levels of the CMA ?					
Is the process:					
Documented or otherwise implemented in a systematic (consistent, repeatable, clear) way?					
Applied consistently throughout the CMA?					
Promoted to relevant staff at all levels throughout the CMA?					
Used by relevant staff at all levels throughout the CMA?					

Prioritisation					
Question	Yes			No	N/A
	C	M	P		
Do you use the information from the above processes to prioritise?					
Is the process documented or otherwise implemented in a systematic (consistent, repeatable and clear) way?					
Does the process effectively incorporate the information for each of the components of the standard into the prioritisation process?					
Does the process manage the social, economic and environmental trade-offs?					
Does the process allow for the incorporation of new information so that priorities can be reassessed on an ongoing basis?					
Is the process used consistently throughout the CMA?					
Is the process promoted to relevant staff at all levels throughout the CMA?					
Is the process used by relevant staff at all levels throughout the CMA?					

NRM System					
Question	Yes			No	N/A
	C	M	P		
Do you have an overall NRM system which details all the CMA processes and their interrelation?					
Is this system formally documented or otherwise implemented in a systematic (consistent, repeatable and clear) way?					
Has this system been approved by the CMA Board?					
Is a staff member responsible for the ongoing development and maintenance of this system?					
Are staff at all levels of the CMA aware of the system and understand the need for compliance with the system to ensure consistency?					
Do staff at all levels of the CMA use the system where relevant?					