



**Te Puni Kōkiri**  
REALISING MĀORI POTENTIAL

## Whakatairanga i te Whakahaeretanga me te Kawanatanga

*Evaluation of investments in the Strengthening Management and Governance Programme*



## REALISING MĀORI POTENTIAL



The four enablers of the Māori Potential Approach are shown in the illustration above. All our written information has been organised within these enabler areas. The enablers are as described opposite.

1	<i>Rawa – The resources to realise potential.</i>
2	<i>Mātauranga – The knowledge to realise potential.</i>
3	<p><i>Whakamana – The authoritative capacity to realise potential.</i></p> <p><i>Whakamana recognises that success for Māori relies on their personal and collective capacity to lead, empower, influence and advocate for the benefit of themselves and others.</i></p> <p><i>The desired outcome state for Whakamana is one in which Māori are leading, influential and empowering.</i></p>
4	<i>Te Ira Tangata – The quality of life to realise potential.</i>

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# EXECUTIVE SUMMARY

## Introduction

This report provides an outcome evaluation of Te Puni Kōkiri's Strengthening Management and Governance (SMG) programme.

The SMG programme aims to develop strong and effective governance and management capacity and capability in established Māori organisations and businesses contracted to deliver government services. To achieve this, Te Puni Kōkiri engages management consultants (assessors) to undertake an independent organisational analysis of Māori organisations and, where required, assists organisations with follow-up interventions to enhance or improve performance.

## Evaluation objectives and approach

The objectives of this evaluation are to:

- 1) understand what is good governance and management practice for Māori organisations;
- 2) understand the extent to which investments in governance and management have been effective, and the range of outcomes achieved; and
- 3) guide future investments in governance and management initiatives and inform future programme design.

Quantitative and qualitative techniques were used to gather information, including:

- an online survey of all participants in the SMG programme to gain baseline data on the overall effectiveness of the programme;
- key informant interviews with six organisations, three assessors and Te Puni Kōkiri staff to gain more 'rich' information on achievement of outcomes and specific examples; and
- a review of all relevant documentation and assessors' summary reports.

## Outcomes for Māori organisations

### Strengthening the governance function of Māori organisations

For participants in the SMG programme, the programme successfully increased the capacity and capability of the organisations' governance boards. It is also apparent that ongoing work is required in the governance area to address issues such as board member turnover and enhancement of board members' skills and capabilities.

The SMG programme improved the organisations' strategic focus, helped clarify the distinction between governance and management, and increased board confidence and overall performance. Specifically, the SMG programme:



- assisted boards to understand their role in setting strategy and clarifying the strategic goals for organisations;
- assisted board members to clarify their roles and responsibilities including the separation of their governance and management duties;
- enabled board members (through governance training) to gain the skills and knowledge that allow them to be more productive and focused at board meetings; and
- increased board members' confidence in their governance abilities and self-assurance to seek and attain new business opportunities.

### Strengthening the management function of Māori organisations

The SMG programme played a key role in improving organisations' management processes and systems. The programme identified areas of weakness and provided support and direction to address shortcomings. Some of the outcomes for organisations included:

- strengthening management structures to ensure lines of accountability and management succession planning were in place;
- strengthening work environments by improving organisational culture;
- implementing operational policies and procedures including financial management, risk management, board management and quality management;
- assisting organisations to develop a better understanding of risk management and develop strategies to manage and mitigate risks; and
- investing in staff development to ensure organisations had the capabilities to deliver quality services.

### The impact of the SMG programme

Overall, the SMG programme was viewed positively by organisations, assessors and Te Puni Kōkiri staff. The survey rated the programme as having made either a decisive or worthwhile difference to their organisation.

Organisations valued the professional advice, valuable independent opinion and access to experienced assessors. The SMG programme was considered by organisations to be timely and enabled them to develop and grow.

Organisations were keen to participate in the SMG programme, and showed willingness to share information and insights, and were receptive to the recommendations made. About two-thirds (67%) of organisations implemented all or most of the recommendations made by their assessors. Organisations cited either lack of resources to undertake remedial work or a change in organisational priorities as reasons for not implementing assessors' recommendations.

The SMG programme provided a level of assurance to Te Puni Kōkiri and, anecdotally, to other government agencies and funders that organisations were capable of delivering quality services. This was illustrated by a government agency's willingness to invest in an organisation because they had been through the SMG programme.

### Outcomes for Te Puni Kōkiri

The evaluation also discussed the achievement (to the extent possible) of two of the SMG programme's high level outcomes, namely to:

- contribute to the growth of strong Māori organisations able to meet organisations' goals and take advantage of future opportunities; and
- increase stakeholder confidence in the accountability of Māori organisations.

The scope of the evaluation did not extend to questioning other government agencies on their investment practices and whether Māori service providers that agencies invested in produced high quality outcomes. On that basis, the other two high level outcomes for the SMG programme were not discussed in this evaluation.

### **Strong Māori organisations**

Organisations strengthened their governance and management capabilities through the SMG programme, as well as through their own efforts, leading to the growth of strong Māori organisations.

The SMG programme enabled organisations to critically assess their strengths and weaknesses to gain a better understanding of their organisation and how to achieve organisational goals through implementing appropriate strategies.

Some organisations demonstrated independence and ownership of their ongoing development requirements by subsequently funding a separate follow-up review (in addition to SMG assessment and remedial work) from their own resources. In addition, some organisations gained greater financial stability through securing new contracts for service.

Achieving long-term sustainability required organisations to diversify their operations and seek new business opportunities, sometimes in new and untested areas of expertise. New business opportunities also led to the creation of strategic partnerships with other providers in their communities.

### **Accountable Māori organisations**

The willingness of funders to invest in an organisation is an indicator of confidence and trust. Moreover, the renewal of contracts, or signing of new contracts, is an indicator of an organisation's capability to manage contracts and account for funds.

The implementation of operational policies and procedures and improved financial management practices ensured organisations had accountability controls in place, particularly when approving expenditure.

The evaluation noted that considerable attention was placed on boards' understanding of their stewardship roles and that the accountability of the organisation was ultimately their responsibility.

### **Enhancements to the SMG programme**

The evaluation found that there is still a demand for the SMG programme. It identified options to widen its accessibility and improve its effectiveness. These improvements fall broadly under a) operational; and b) policy improvements.

#### **Operational**

- Broadening the entry criteria and lowering the contract level threshold to allow a larger range of organisations to qualify.
- Tailoring a complete package (assessment, remediation, post-remediation monitoring and evaluation) for each organisation, to be provided by an assessor with industry-specific knowledge.
- Targeting assistance around the specific needs of organisations in addition to the standardised SMG process.
- Setting up coaching and mentoring arrangements for organisations to access consultants over a longer period and having them available on an on-call basis.



- Providing networking opportunities to share information.
- Improving the quality of pre-assessment briefings and assigning assessors with sector-specific knowledge of the organisation.

### Policy

- Formalising board development programmes such as the introduction of a qualification for trustees of Māori organisations.
- Analysing SMG programme information to increase Te Puni Kōkiri's knowledge and understanding of Māori governance.
- Reviewing the SMG programme outcomes to ensure they are measurable and align with the Māori Potential outcomes.
- Brokering closer relationships with other agencies that have a vested interest in building the capability and capacity of Māori organisations.

### Conclusion

Overall, the SMG programme was rated positively by organisations and assessors, and both groups found it to be a beneficial experience for the organisations.

The SMG programme was effective in providing advice and strategies to address key governance issues. Governance was considered by the assessors to be an area that was often neglected, with organisations tending to focus more at an operational level.

The SMG programme has been instrumental in enhancing the operations and performance of boards.

The SMG programme also made significant gains in improving organisations' management processes and systems. Improvement in human resources, financial management, business planning and risk management processes enabled organisations to strengthen and consolidate their positions.

Overall, the SMG programme has assisted organisations to achieve positive outcomes. There was unanimous agreement among evaluation participants that there is still a demand for the SMG programme (or something similar) and that the SMG programme should continue. More value could be realised if the recommended improvements are made to the programme.



1. EVALUATION OF  
INVESTMENTS IN  
STRENGTHENING  
MANAGEMENT AND  
GOVERNANCE



# 1. EVALUATION OF INVESTMENTS IN STRENGTHENING MANAGEMENT AND GOVERNANCE

## 1.1 INTRODUCTION

Te Puni Kōkiri has for several years invested extensively in building the capacity and capability of whānau, hapū, iwi, Māori communities and Māori organisations. Through programmes such as Tāhua Kaihoatu (Māori Provider Development), the Capacity Building Programme, and, more recently, the Māori Potential Fund, investments have enabled Māori organisations to develop sound governance practices and implement robust management processes and systems.

This report provides an outcome evaluation of Te Puni Kōkiri's Strengthening Management and Governance (SMG) programme.

## 1.2 THE STRENGTHENING MANAGEMENT AND GOVERNANCE PROGRAMME

The Strengthening Management and Governance programme aims to develop strong and effective institutional governance and management capacity in established Māori organisations and businesses contracted to deliver government services.<sup>1</sup> The programme was developed by Te Puni Kōkiri at a time when public and political scrutiny was heavily focused on Māori organisations delivering, or failing to deliver, government-funded health, welfare, education and justice programmes. Te Puni Kōkiri regards the SMG programme as a means of increasing the capacity of established Māori organisations by assisting them to:

- establish high value, sustainable relationships with government funders; and
- avert the risk of high profile failures that in the past have highlighted weak governance leading to poor accountability and decision making.<sup>2</sup>

The SMG programme aims to achieve four key high level outcomes:

- Outcome 1: Māori organisations involved in the delivery of government service contracts achieve high quality outcomes and are accountable to stakeholders.
- Outcome 2: Government funding is targeted appropriately.
- Outcome 3: To contribute to the growth of strong Māori organisations able to meet organisations' goals and take advantage of future opportunities.
- Outcome 4: To increase stakeholder confidence in the accountability of Māori organisations.

<sup>1</sup> CAB Min (03) 30/6 refers.

<sup>2</sup> Paper to Cabinet Social Development Committee, 24 July 2003, p1.

To achieve these outcomes, the SMG programme assists Māori organisations by providing an independent organisational analysis and, where required, assists them with tailored interventions to enhance or improve their performance.

### **Phase 1: Organisational analysis**

The key component of the SMG programme is the provision of an independent report to Māori organisations on their operating performance in key governance and management areas.

Te Puni Kōkiri contracts external consultants (assessors) to undertake independent assessments of organisations. Six assessor organisations have been engaged as preferred providers to the SMG programme.

Te Puni Kōkiri selects and assigns assessors to work with organisations based on a preliminary (informal) match of the assessors' skills and the requirements of organisations.

The assessments are based on a standardised, yet flexible, framework that assessors follow to identify strengths and specific gaps in the organisations' governance and management practices.

From this analysis, the assessors recommend areas for improvement and practical solutions.

The assessments are voluntary – organisations decide if they wish to participate – and full assessment reports are confidential to the organisation. Te Puni Kōkiri receives only a summary copy of the key findings due to the confidential and commercially sensitive nature of the report contents.

### **Phase 2: Tailored remedial activities**

The second component of the SMG programme is the provision of remedial support to organisations that completed the initial assessment process. The purpose of the remedial support is to address the areas for improvement identified in the assessors' reports. This phase is achieved through limited funding support from Te Puni Kōkiri or the facilitation and brokering of assistance from other government funders. In this phase, organisations are able to choose who undertakes the remedial work. The majority of organisations choose to have the remedial work but some choose not to. Some advised that they will undertake remedial work as their timeframes and resources allow.

### **Programme criteria**

Although the programme is voluntary in nature, Māori organisations are required to meet certain criteria to be eligible for the SMG programme. Organisations are required to be in either the 'development' or 'established' stage of the business lifecycle; have significant responsibilities for service delivery and/or asset management; and have a minimum annual income of \$300,000 in government service contracts.

When the programme was first introduced, the qualifying threshold was an income of \$800,000 per annum. The lowering of the threshold has allowed more organisations to enter the programme. Proactive targeting by Te Puni Kōkiri of organisations with development needs (such as Māori radio stations) has enabled a wider catchment of Māori organisations to participate in the programme.

### **Investment quantum**

Since the inception of the SMG programme, Te Puni Kōkiri has invested in excess of \$4 million in the programme.

On average, each assessment costs approximately \$20,000 (including disbursements of up to a maximum of \$5,000).



## Programme milestones

The table below provides an overview of the key project milestones for the SMG programme.

Table 1: Chronological milestones for the SMG programme

MILESTONES	IMPLEMENTATION
SMG programme established	Mid-2003
Pilot phase – assessment of 26 organisations completed	January-May 2004
Trial review – internal paper completed	July 2004
Independent evaluation of the programme (process evaluation) completed	June 2005
Over 110 organisational assessments completed	December 2007
Outcomes evaluation commenced	March 2008

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## Overview of findings of SMG evaluation report June 2005

The June 2005 evaluation report<sup>3</sup> found that the SMG programme was widely supported by organisations and assessors. The report identified critical factors leading to the success of the SMG programme. These included: the programme's non-compulsory nature; the quality of the assessors and their reports, and the respect assessors showed towards the tikanga, kawa and kaupapa of organisations. The report also noted the willingness of Te Puni Kōkiri to adapt the programme where necessary.

The report noted that it was too early to make any definitive statements about the achievement of the programme outcomes and that these outcomes would only be visible after a longer period of time. However, some outcomes were evident and these included:

- improving management and governance in Māori organisations – the SMG programme helped organisations to work out priorities for action and provided strategies and resources to address the issues; and
- improving confidence in the business capacity of Māori organisations – organisations reported increased confidence within themselves and with a range of stakeholders including other government agencies.

The report also identified areas for improvement. Some of these included:

- leveraging the policy and operational feedback loop within Te Puni Kōkiri – an opportunity for Te Puni Kōkiri to maximise the lessons from the SMG programme;
- developing the facilitation and brokerage role of Te Puni Kōkiri – more preparatory work at a national and regional level was still required to move Te Puni Kōkiri from solely a funding role to a mixture of funding and brokering;
- reconsidering the role of assessors in the remediation work with organisations; and
- ensuring the follow-up remedial process was timely.

Overall, the evaluation found that the assessment phase was popular, the assessor reports were valid and accurate, and the remediation phase needed to be improved.

### 1.3 EVALUATION OBJECTIVES

The growth and popularity of Te Puni Kōkiri investments in the SMG programme provide an opportunity to learn about the investments and the impact they are having on Māori organisations.

<sup>3</sup> Te Puni Kōkiri (2005).

The objectives of this evaluation are to:

- understand what is good governance and management practice for Māori organisations;
- understand the extent to which investments in governance and management have been effective, and the range of outcomes achieved; and
- guide future investments in governance and management initiatives and inform future programme design.

## 1.4 THE EVALUATION APPROACH

A mixed method approach, using both quantitative and qualitative techniques, was utilised for this evaluation. This included an online survey of all participants in the SMG programme to gain baseline data on the overall effectiveness of the programme; key informant interviews with a sample of Māori organisations, assessors and Te Puni Kōkiri staff to gain more 'rich' information on achievement of outcomes and specific examples; and a review of all relevant documentation and assessors' summary reports.

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Evaluators used the judgement of key informants to assess the level of contribution of the SMG programme to the achievement of outcomes or to a change in how organisations operated. This approach is considered subjective because key informants may be likely to attribute any change that takes place to the SMG programme rather than to other factors. However, it provides some evidence of the change.

A more detailed discussion of the methodology is provided in Appendix one.

### 1.4.1 Selection of sample

The evaluation focused on all Māori organisations that participated in the SMG programme from 2003/04 through to the 2007/08 period.

#### Online survey

All 110 organisations that had participated (as at March 2008) in the SMG programme were selected as part of the population cohort for the online survey. An email list was generated from the Te Puni Kōkiri administrative database and validated by programme and regional staff. As a result of the validation process, the survey frame was reduced to a population of 89 organisations.

#### Key informant interviews

From the 110 organisations identified, a random list of 20 organisations was selected. A purposeful sample of six organisations was then drawn based on the:

- investment reach – a mix of investments at a regional and national level;
- assignment of the assessors – a mix of assessors assigned to respective organisations;
- investment status – organisations that participated at different stages of the programme (i.e. in different financial years); and
- nature of involvement in the SMG programme – assessment solely, or a combination of both assessment and remedial work.

The six organisations were drawn from five Te Puni Kōkiri regions: Te Taitokerau, Tāmaki Makaurau, Te Tairāwhiti, Te Whanganui-a-Tara and Te Waipounamu.

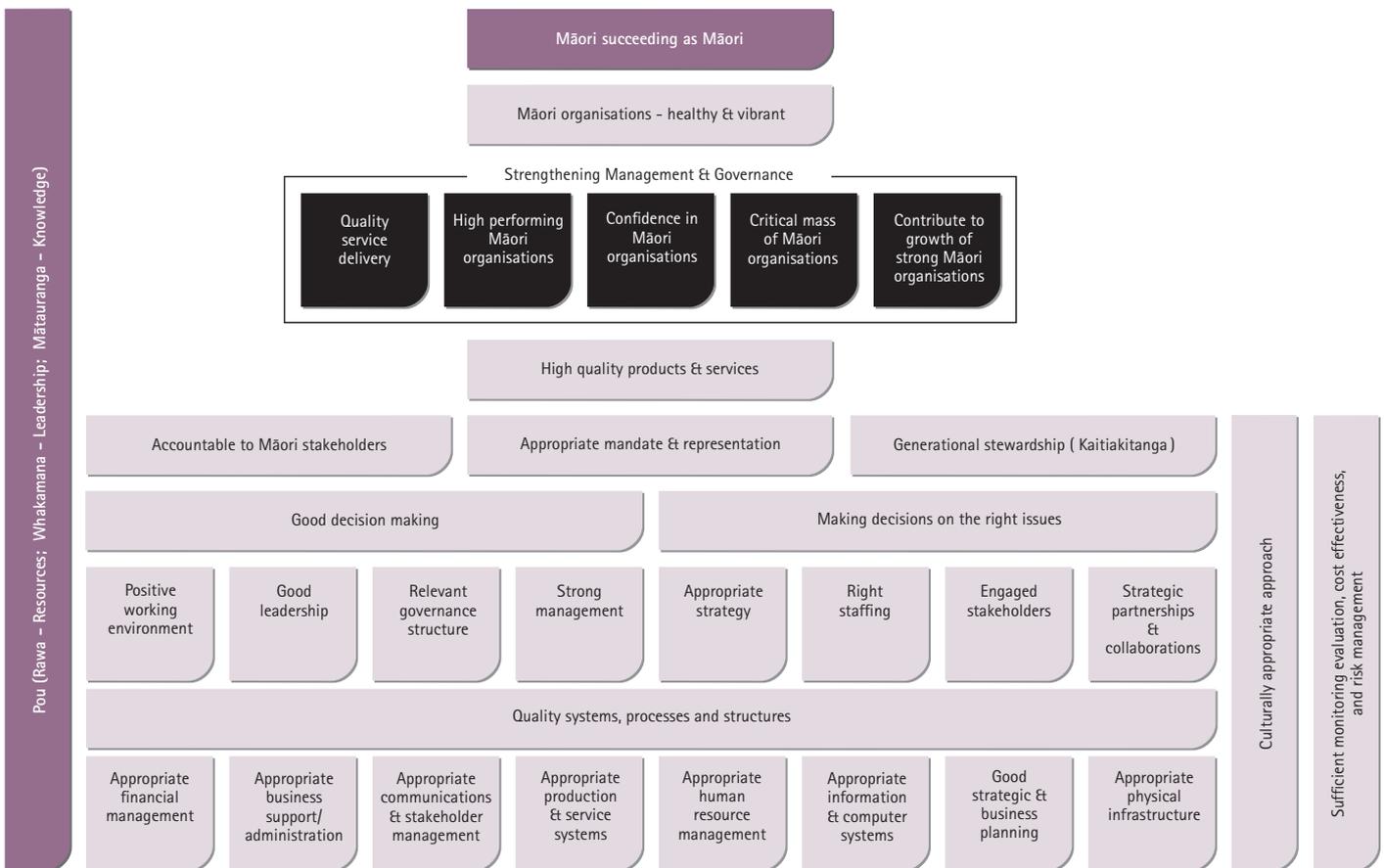
Three of the six assessor organisations were randomly selected to be part of the key informant interview process. All assessors interviewed had conducted over 10 organisational assessments and/or undertaken remedial work through the SMG programme.



## 1.4.2 Evaluation questions

Te Puni Kōkiri developed a draft outcomes model (see Figure 1 below)<sup>4</sup> to inform the overall evaluation design, test the assumptions around the outcomes and, ultimately, inform Te Puni Kōkiri's investment strategy. The model describes the key outcomes required to achieve healthy, vibrant and excellent Māori organisations. For this to be achieved, a series of low level outcomes needs to be present. These low level outcomes (such as appropriate financial management, relevant governance structure and strong management) provide the focus of the evaluation, and some attempt was made to assess (to the extent possible) whether the higher order outcomes, such as strong Māori organisations and high performing Māori organisations, were achieved. (Refer to the third tier of boxes in Figure 1).

Figure 1: Draft outcomes model – Healthy, vibrant and excellent Māori organisations



All evaluation questions were derived from the draft outcomes model and the programme outcomes for the SMG programme. The key evaluation questions were:

- Did the SMG programme promote improvements in governance and management practices/ outcomes for the participating organisations, such as improved systems, infrastructure, communications and strategy?
- What impact, if any, did the SMG programme have on the performance of Māori organisations?
- What areas of the SMG programme could be enhanced?

4 The draft outcomes model has not been validated by Te Puni Kōkiri.

### 1.4.3 Information gathering

Document analysis, an online survey and key informant interviews were undertaken to inform the objectives of the evaluation.

#### Document analysis

SMG programme summary reports, briefing materials, SmartFund<sup>5</sup> and the 2005 process evaluation were analysed to understand the SMG programme and to inform the evaluation design. These documents were also used to develop the detailed question guides for the key informant interviews and the online survey.

#### Online survey

The online survey was initially run for two weeks, from 3 to 17 March 2008, with a 46% response rate. The evaluation team extended the survey for another three weeks (until 7 April 2008), resulting in a small increase in the response rate.

Overall, a 51% response rate was achieved, which is above the average response rate<sup>6</sup> for online surveys.

#### Key informant interviews

The evaluation team conducted semi-structured interviews with a range of stakeholders including organisation managers, directors, operational staff, board members and trustees, as well as assessors and Te Puni Kōkiri regional directors and kaiwhakarite. Interviews were held either individually or in group settings (two or more participants) within the organisations.

The interviews provided a 'rich' source of information on stakeholders' perceptions and experiences of the SMG programme.

### 1.4.4 Analysis

The qualitative information was analysed using a thematic approach noting the 'significant' findings from the interviews. The quantitative information was analysed using a descriptive statistical tool and the findings integrated with the key themes identified through the qualitative findings.

Information collected is presented as aggregated results and quotes are attributed anonymously to maintain the confidentiality of participants. However, where quotes are attributed to assessors or Te Puni Kōkiri staff, this is noted in brackets.

## 1.5 EVALUATION TEAM

The evaluation was conducted by three members of the evaluation team from Risk and Assurance, Te Puni Kōkiri.

## 1.6 ETHICAL CONSIDERATIONS

The evaluation was conducted in accordance with Te Puni Kōkiri's Evaluation for Māori<sup>7</sup> guidelines and the draft Social Policy Evaluation and Research (SPEaR) guidelines for Evaluation with Māori.<sup>8</sup> Adherence to the principles of respect, integrity, responsiveness, competency and reciprocity was observed throughout the evaluation design, fieldwork and reporting.

The evaluation was conducted in a way that ensured all participants were comfortable in the

<sup>5</sup> Te Puni Kōkiri administrative contracts management database.

<sup>6</sup> The literature noted that the average response rate for online surveys is between 30% and 40%. See Ritter & Sue (2007).

<sup>7</sup> Te Puni Kōkiri (1999).

<sup>8</sup> [www.spear.govt.nz](http://www.spear.govt.nz).



evaluation process and participants were able to openly express their views in confidence. All participants were briefed on their rights prior to the interview process and were able to withdraw or decline to answer questions at any stage during the interviews.

## 1.7 LIMITATIONS OF THE EVALUATION

The following limitations apply to this evaluation:

- The evaluation is not intended to assess whether investments in the SMG programme provided value for money (cost benefit analysis) for government.
- The scope of the evaluation did not extend to questioning other government agencies on their investment practices and whether Māori service providers they invested in produced high quality outcomes. Therefore the evaluation was unable to address two of the four high level outcomes for the SMG programme, namely whether:
  - Māori organisations involved in the delivery of government service contracts achieved high quality outcomes and were accountable to stakeholders (Outcome 1); and
  - government funding was targeted appropriately (Outcome 2).

Assessment of the achievement of these outcomes is more appropriately addressed through the standard contract monitoring and evaluation activities of those agencies that are contracting for services.

- The achievement of Outcomes 3 and 4 is addressed in section 2.3 of this report: Outcomes for Te Puni Kōkiri. These outcomes are as follows:
  - To contribute to the growth of strong Māori organisations able to meet organisations' goals and take advantage of future opportunities (Outcome 3); and
  - To increase stakeholder confidence in the accountability of Māori organisations (Outcome 4).

The evaluation noted that in the absence of information from other government agencies, the extent of achievement of these two outcomes is based primarily on assessments made by the evaluators. On that basis, some caution should be taken when interpreting the discussion.



■ 2. WHAT HAS THE  
SMG PROGRAMME  
ACHIEVED?



## 2. WHAT HAS THE SMG PROGRAMME ACHIEVED?

### 2.1 INTRODUCTION

This section provides an analysis of the key outcomes that Māori organisations have achieved as a result of their participation in the SMG programme. Following this is a discussion of the extent to which Te Puni Kōkiri's high level outcomes for the SMG programme have been achieved. The findings are organised under the following headings:

- Outcomes for Māori organisations; and
- Outcomes for Te Puni Kōkiri.

This section also reflects on what the evaluators consider to be good governance and management practices as discussed by the SMG organisations.

The analysis draws on responses gathered through key informant interviews and the online survey responses. The responses have been synthesised for analysis and reporting. Quotes sourced from the interviews and survey have been used where they substantiate and illustrate the discussion.

### 2.2 OUTCOMES FOR MĀORI ORGANISATIONS

#### 2.2.1 Strengthening the governance function of Māori organisations

The online survey and key informant interviews confirmed that the SMG programme successfully increased the capacity and capability of the organisations' governance boards. It was also apparent that ongoing work is required in the governance area to address issues such as board member turnover and enhancement of board members' skills and capabilities.

Assessors reported that most of the organisations they worked with needed assistance with governance issues; therefore they focused much of their effort at that level. Assessors noted that many organisations focused disproportionate amounts of time and energy on operations while governance functions were often neglected. One assessor also commented that a lack of attention to governance matters was not a weakness unique to Māori organisations:

*"It's not just a Māori issue but, nationally, New Zealand organisations are behind the eight ball on governance matters." (Assessor)*

Within the area of governance, assessors and organisations commented that the SMG programme improved organisations' strategic focus, helped clarify the distinction between governance and management, and increased board confidence and overall performance. The following table provides an analysis of this information.

Table 2: Responses to survey question – Has the SMG programme assisted your organisation to achieve (or to improve) in the following areas?

GOVERNANCE AREAS	SIGNIFICANTLY	CONSIDERABLY	TO SOME EXTENT	NOT AT ALL	DON'T KNOW, CAN'T SAY
An appropriately structured governance board	16%	49%	23%	12%	0%
A high performing governance board	9%	45%	36%	9%	0%
A governance board with a clear understanding of its roles, responsibilities and legal obligations	19%	40%	33%	9%	0%
A governance board comprising members with relevant skills	5%	45%	45%	5%	0%
A governance board with a clear understanding of its stewardship responsibilities	14%	41%	36%	7%	2%
A governance board operating with a strategic focus	16%	49%	28%	7%	0%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

## Enhanced strategic focus

Assessors noted that organisations were generally passionate about what they did and knew where they wanted to go, but many were operating without clear, documented strategic plans. Strategic plans, if they did exist, were often outdated, and had not been formally adopted or used to provide direction or to measure performance of the organisation. Some organisations were unclear about the value of a strategic plan.

The SMG programme assisted boards to understand their role in setting strategy and clarifying the strategic goals for their organisation.

*"SMG sorted out the strategic focus of the organisation, helped with the direction of the organisation and looked at the bigger picture stuff." (SMG organisation)*

The process of setting clear strategy and goals through the SMG programme has enabled boards to gain a better understanding of their environment, prioritise their work programme, and provide direction to the management team to achieve the set goals.

*"Our main outcome was the writing of our strategic goals, which were identified as a result of the process. We identified our goals for the next three years... and achieved them in a year's time!" (SMG organisation)*

The survey results confirm that the SMG programme assisted boards to improve their strategic focus, with 65% responding that the SMG programme assisted either significantly or considerably in this area.

### KEY FINDINGS

The SMG programme assisted boards to understand their role in setting strategy and clarifying the strategic goals for the organisation.

Almost two-thirds of organisations considered the SMG programme assisted their boards to improve their strategic focus.



## REFLECTING ON GOOD PRACTICE

Strategic planning helps organisations to focus their business to ensure all staff work towards a shared common goal. Strategic planning assists organisations to be adaptive to the changing environment.

Goal setting needs to occur at all levels of the organisation and should involve staff and board members to ensure buy-in and acceptance.

### Clarity of roles

The SMG programme assisted board members to distinguish between their roles and the distinct role of management in an organisation. Key informant interviews revealed that board members gained an improved understanding of the risks of not maintaining clear separation of roles. Most organisations appeared to be aware of the risks such as conflict of interest and inefficient use of board member skill and time; however, the small size of some organisations, limited resources to remunerate board members and the limited pool of expertise in small communities negated the situation and board members performed dual roles in governing and managing organisations.

Moreover, the survey noted that most organisations (91%) found the SMG programme assisted board members to clarify their roles and responsibilities and legal obligations. The SMG programme provided boards with actual strategies and solutions to ensure greater separation of roles. According to some organisations, the clear separation of governance and management and greater understanding of board members' roles led to better decision making and a more focused board.

*"The review highlighted that we did not have any distinction between governance and management. It clearly defined those roles and responsibilities for us." (SMG organisation)*

*"SMG clarified the distinction between governance board and management (CEO) roles..." (SMG organisation)*

Clarity and a better understanding of the expectations and boundaries of their governance role have helped board members to prioritise strategic issues over operational matters.

*"Instead of trustees helping with painting the building, they hire people to do this and the trustees focus their time on strategic thinking, higher level issues." (SMG organisation)*

## KEY FINDINGS

The SMG programme assisted board members to clarify their roles and responsibilities, including the separation of their governance and management duties.

## REFLECTING ON GOOD PRACTICE

Board members need to be aware of their role and responsibilities as governors and a clear separation should exist between management and governance.

Where separation of roles is not feasible, boundaries and potential conflicts need to be clarified and declared.

## Board composition and members' skill development

The evaluation confirms that the SMG programme assisted board members to develop their governance skills and capabilities. Organisations commented that individuals were often keen to volunteer to join boards, but believed they lacked the necessary skills or experience to contribute effectively to the board. In addition, individuals found the board operations to be foreign and were out of their depth.

Governance training (undertaken as remedial work through the SMG programme) enabled board members to gain skills and knowledge to improve their understanding of their role, allowing them to be more productive and focused at board meetings.

*"Prior to SMG, trustees were lay people and were concerned that they didn't have the skills to make good decisions, meetings were very long, and all of the agenda was not covered and had to be covered in the next meeting. Trustees walked out of the meetings, and were not sure how to run board meetings or how to become a trustee. Now, the meetings are more focused and trustees are more aware of their roles as trustees – looking at the bigger picture stuff." (SMG organisation)*

*"Each trustee really evaluated the programme as beneficial to their self-development, in understanding what their role and responsibility as a trustee really was, which has given them confidence to be more proactive at meetings." (SMG organisation)*

*"General awareness by board members as to its responsibilities has increased. Clarity about roles has increased through governance training." (SMG organisation)*

Some organisations advised that their boards had to satisfy constitutional requirements for specific hapū or marae representation. This often became an issue when appointed representatives lacked the necessary governance skills or interest in the role. Both assessors and the organisations acknowledged that the practice of representative appointments based on kinship rather than skills posed significant risks for some organisations. These risks were identified through the SMG process and in some cases were carefully managed through ongoing training opportunities.

Another issue that emerged during the evaluation was balancing the importance of tikanga Māori with the need for essential governance skills on a board. For most organisations that commented on this issue, the importance of tikanga was acknowledged and clear boundaries were established to ensure those values were not compromised in the wider operations of organisations.

The survey results and comments from organisations confirmed that organisations paid more attention to recruiting competent and skilled individuals for their governance boards.

*"As result of SMG, a non-Māori with vast and global experience was encouraged to become a trustee, and brings good value and a different view from the governance team." (SMG organisation)*

Assessors and organisations commented that remuneration levels for board members often failed to reflect the workload, time commitment or complexity of the board's operating environment. Assessors commented that remuneration levels for board members needed to reflect market rates in order to attract highly skilled individuals whose time was likely to be in high demand. The SMG programme provided organisations with strategies such as targeting board member recruitment to address these concerns.

In general, assessors found the boards that were operating most effectively were those that had skilled membership and active levels of participation by all board members.



### KEY FINDINGS

Governance training enabled board members to acquire skills and knowledge that allowed them to be more productive and focused at board meetings.

### REFLECTING ON GOOD PRACTICE

Board members need to have sufficient skills and experience to be of value to organisations.

Organisations need to actively target board members with appropriate skills or, where this is not possible, provide training development opportunities for board members.

Remuneration of board members needs to reflect workloads and the operating environment of the organisation.

### Board confidence

The Phase 2 remedial component of the SMG programme provided boards with skill development and training in response to identified needs. Governance training enabled board members to gain confidence and self-assurance in their governance abilities. For example, boards more readily analysed risks and were more confident in pursuing new opportunities that they may not have actively pursued before the SMG intervention.

*"It [the SMG] provided our fledgling trust with the confidence to take on the big boys, because we were just as good and in some cases better." (SMG organisation)*

### KEY FINDINGS

Training led to an increase in board members' confidence in their governance abilities.

Training provided self-assurance to board members to seek and take up new business opportunities that they would not have pursued before.

### REFLECTING ON GOOD PRACTICE

Training is critical and needs to be available to board members.

### 2.2.2 Strengthening the management function of Māori organisations

Overall, the evaluation showed that the SMG programme played a key role in improving organisations' management processes and systems. The survey results outlined in the table below, and the key informant interviews, showed that the SMG programme identified areas of weakness and provided support and direction to address the shortcomings.

Table 3: Responses to survey question – Has the SMG programme assisted your organisation to achieve (or to improve) in the following areas?

MANAGEMENT AREAS	SIGNIFICANTLY	CONSIDERABLY	TO SOME EXTENT	NOT AT ALL	DON'T KNOW, CAN'T SAY
Human resource management	14%	50%	32%	5%	0%
Financial management	25%	43%	20%	11%	0%
Organisational structure	20%	41%	30%	7%	2%
Stakeholder management	7%	57%	25%	11%	0%
Risk management	11%	45%	34%	9%	0%
Planning processes	16%	61%	18%	5%	0%
Monitoring and evaluation processes	7%	43%	43%	7%	0%
Operational policies and procedures	23%	40%	30%	7%	0%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%

## Management structures

The SMG programme assisted some organisations to revise and streamline their management structures to improve lines of accountability and reporting. In addition, the evaluators noted that strong direction and leadership from managers instilled staff and community confidence in organisations. All organisations interviewed were led by charismatic, committed, highly competent and experienced individuals. It was clear that these leaders were the driving forces of their organisations and used their leadership styles to empower and motivate staff.

Assessors identified management succession planning as a significant risk for some organisations. There was a high risk of the organisation failing if a key figure such as the manager or chairperson became unavailable. The SMG programme identified strategies such as the appointment of second tier management support or operations managers to address this issue. As a result, these strategies led to stronger cohesion between management and staff, improved lines of communication, increased staff contact time with managers, and assistance with accelerating the decision-making process.

*"It [appointment of an operations manager] had a huge impact on staff... just having someone to talk to... to look after our needs while the boss is away." (SMG organisation)*

*"We now have a deputy CEO, which spreads risk, and a restructured management plan." (SMG organisation)*

Other organisations responded by focusing on the development of up-and-coming managers. The restructuring of organisations also allowed them to redirect resources to areas where they could be more effective and allow new staff to be brought on board.

### KEY FINDINGS

The SMG programme assisted organisations to review and streamline their management structures to ensure lines of accountability and management support were in place.

### REFLECTING ON GOOD PRACTICE

Organisations were led by charismatic, committed, highly competent and experienced individuals. These leaders were the driving forces of organisations.



## Organisational culture

For many of the organisations interviewed, the culture of their organisation was heavily shaped by the constituents they represented. Having a clear mandate with accountability to whānau, hapū and iwi ensured that organisations remained connected with their constituents and their values were reflected in the operations of the organisation. Similarly, constituents were able to understand what the organisation was doing for the community.

Tikanga and kawa were entrenched in most of the organisations and these values flowed through to influence the way in which the organisations operated.

The SMG programme prompted one organisation to strengthen its work environment by improving the organisational culture. The organisation promoted open lines of communication, which resulted in greater awareness and understanding of staff member roles.

*"The staff members are now aware of what the other staff members are doing, which has engendered a culture of oneness, a family atmosphere and cohesiveness among staff." (SMG organisation)*

*"The staff members are more aware of the work of the management and become more appreciative of the policy development role of management in the organisation, thus creating a common vision to help in the success of the organisation." (SMG organisation)*

### KEY FINDINGS

A clear mandate with accountability to whānau, hapū and iwi ensured that organisations remained connected with their communities.

Tikanga and kawa play an important role in Māori organisations.

### REFLECTING ON GOOD PRACTICE

Strong organisational culture determines how organisations conduct their business and how staff interact both within and outside of the organisation.

Māori cultural values and practices are valued as highly as Western practices in the operations of many organisations.

## Systems and processes

Assessors found that the organisations they worked with often lacked operating policies and procedures including financial management, risk management, board management and quality management. In some cases, no formal policies existed or, where they did exist, they lacked sufficient detail or relevance or had not been formally implemented.

*"We have used the SMG report to completely review and update our quality management systems, including the development of human resources policies and processes, social work policies, and a training and education manual." (SMG organisation)*

The existence of policies and procedures increased the confidence of organisations when engaging with government agencies.

*"Every single funder wants to see your policies and procedures, and I don't need to look for them because they're there when government comes in; everything is there for them." (SMG organisation)*

For one organisation, the availability of policies and procedures also empowered staff to be self-managing and less reliant on management.

*"Manuals, guidelines and procedures are in place and staff utilise these. Before... the staff members had to go to the CEO to ask about processes and procedures. This has enabled the management to concentrate on the more strategic work." (SMG organisation)*

The SMG programme also highlighted the need for organisations to formalise HR practices, such as documenting job descriptions and professional development plans, and ensuring adequate support is in place for staff.

The survey found that the SMG programme assisted over two-thirds (68%) of organisations to assess and improve their financial processes and systems. This led to improved financial management including monthly board reporting, implementation of financial management software, and oversight of financial practices.

In one case, the SMG programme motivated an organisation to introduce new accounting software. Previously, bookkeeping had been a manual process and reconciliation of the cash book journal was time consuming and often behind schedule. The SMG programme identified the benefits of the accounting software and how it could improve the financial performance of the organisation.

Provision of expert financial advice through the SMG programme also assisted one organisation to make prudent financial decisions about the allocation of resources.

*"Early on, there was disagreement on how to use the money coming in from the church and from training contracts; there was good advice from the assessors and also from the accountant on where to spend the money - buying equipment, for example." (SMG organisation)*

KEY FINDINGS
Organisations often lacked operating policies and procedures and the SMG programme has assisted in this area.
Over two-thirds of organisations considered that the SMG programme assisted organisations to improve their financial processes and systems.
REFLECTING ON GOOD PRACTICE
Organisations need sound processes and systems to improve effectiveness and performance.
Operational systems and processes must be documented, meaningful to users and readily accessible within organisations.

### Risk management

Assessors identified risk management as an area where many organisations required strengthening. It appeared that many were unaware of the importance of risk management or how to undertake and apply it. As a result of the SMG programme, organisations developed a better understanding of risk management and implemented procedures to assist them to assess and develop strategies to manage and mitigate risks. Organisations commented:

*"Our participation in the SMG programme has significantly reduced the risks to our trust from loss of funding for programmes and other external risks through the strengthening of our governance processes and operational management." (SMG organisation)*

*"Risk management has improved, especially as we are a private establishment with our own funding. We are now more aware of the risks and how to manage them." (SMG organisation)*

#### KEY FINDINGS

The SMG programme assisted organisations to develop a better understanding of risk management and develop strategies to manage and mitigate risks.

#### REFLECTING ON GOOD PRACTICE

Organisations need to embed a risk management framework across their operations.

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### Staff and skill development

Organisations commented that in order to achieve a certain level of productivity, a particular skill set was required. In isolated locations and where highly specialised skills were required, attracting skilled staff was often difficult.

*"It's very hard for us to get staff to fill some of the roles." (SMG organisation)*

*"We are a typical Maori organisation, with board members and staff whose skill levels are not high despite the greatest of intentions - more intensive and even extended training would help." (SMG organisation)*

As a result of the SMG programme, one organisation invested extensively in financial management training for their senior managers to enable them to better interpret and report to the board on key financial areas of the business.

#### KEY FINDINGS

Organisations invested in staff development to ensure they had the capabilities to deliver quality services.

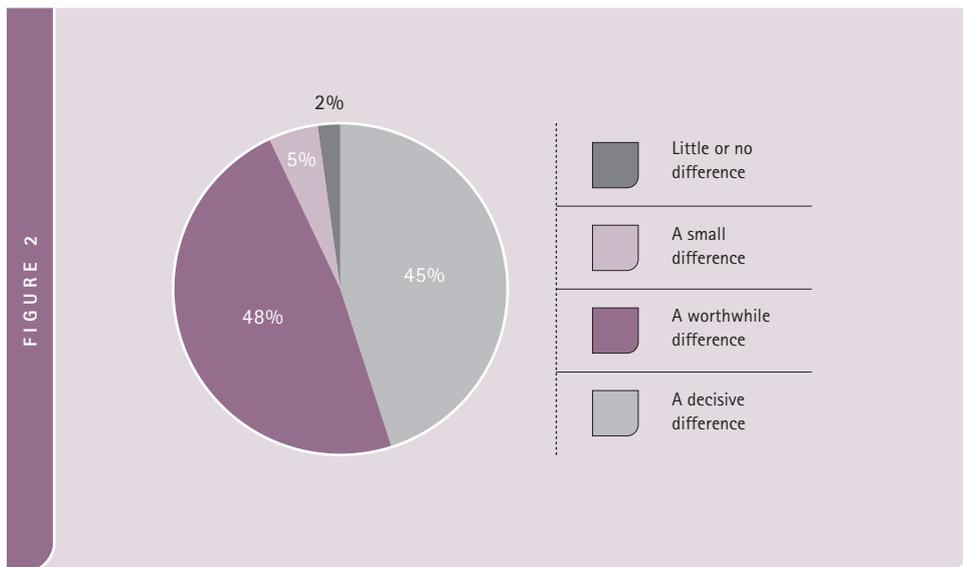
#### REFLECTING ON GOOD PRACTICE

Organisations need to target skill development around the needs of staff and organisations to increase the organisations' performance and productivity.

### 2.2.3 The impact of the SMG programme

Overall, the SMG programme was viewed positively by organisations and assessors. The survey results show that organisations rated the SMG programme as having made either a decisive or a worthwhile difference to their organisation.

Figure 2: How would you rate the contribution of the SMG programme to your organisation?



Organisations appreciated the professional advice, valuable independent opinion and ability to access experienced assessors.

*"The SMG programme enabled the Rūnanga to access a highly skilled consultant, who worked closely with staff and management to develop much needed operational policies and procedures and strengthened the weaknesses that were highlighted." (SMG organisation)*

*"The SMG programme gave the organisation the ability to access professional people to strengthen our organisation." (SMG organisation)*

*"Having an outside opinion was invaluable." (SMG organisation)*

Assessors and organisations reported that they quickly developed good working relationships with each other, which enabled an environment of trust and openness. The assessors found that organisations were keen to participate in the SMG programme, as they showed willingness to share information and insights, and were receptive to the recommendations made. About two-thirds (67%) of organisations surveyed implemented all or most of the recommendations made by their assessors. Organisations noted that a lack of resources to undertake remedial work and/or a change in organisational priorities were common reasons for not implementing the assessors' recommendations.

Organisations commented that the SMG programme was timely and enabled their organisation to develop and grow. Assessors' recommendations often reinforced issues that organisations were already aware of and highlighted areas where they could improve. For some, the assessment provided reassurance that the organisation was tracking well.

*"It provided an independent expert overview on key challenges for the organisation and areas that are going well. Basically a reality check." (SMG organisation)*

For another organisation, the SMG programme provided the rationale for closing down operations altogether.

*"The report told them they shouldn't be in that business anymore and they should consider closing down... so they did!" (Te Puni Kōkiri staff member)*

The SMG programme provided a level of assurance to Te Puni Kōkiri, and, anecdotally, to other government agencies and funders, that organisations were capable of service delivery. For example, a Te Puni Kōkiri staff member commented that there was a willingness from another government agency to invest in an organisation because they had been through the SMG programme.



*"Agencies are confident that the organisation will deliver the outcomes they were set to achieve." (Te Puni Kōkiri staff member)*

All of the assessors who participated in the evaluation viewed the SMG programme as a highly positive intervention that successfully provided targeted assistance to organisations.

*"[The SMG programme] enabled us to impart basic governance skills to organisations... and give them the tools to critique themselves." (Assessor)*

*You see the lights go on... when you present back the findings." (Assessor)*

*"It's the best thing Te Puni Kōkiri has ever done." (Assessor)*

## KEY FINDINGS

The SMG programme was viewed positively by organisations and assessors.

Organisations valued the professional advice, valuable independent opinion and access to experienced assessors.

About two-thirds (67%) of organisations implemented all or most of the recommendations made by their assessors.

## REFLECTING ON GOOD PRACTICE

The credible reputation of assessors provided confidence and assurance to organisations that a quality service would be delivered.

Trusting relationships enable greater engagement and interaction between parties (organisations and assessors).

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## 2.3 OUTCOMES FOR TE PUNI KŌKIRI

The following section discusses the extent to which outcomes three and four of the SMG programme high level outcomes have been achieved.

As stated in section 1.7 Limitations of the evaluation, in the absence of information from other government agencies, the following discussion is based on assessments made by the evaluators. The discussion examines, to the extent possible, the achievement of Outcomes 3 and 4, namely:

- Outcome 3: To contribute to the growth of strong Māori organisations able to meet organisations' goals and take advantage of future opportunities; and
- Outcome 4: To increase stakeholder confidence in the accountability of Māori organisations.

### 2.3.1 Strong Māori organisations

The evaluation found that organisations strengthened their governance and management capabilities through the SMG programme, as well as through their own efforts, leading to the growth of strong Māori organisations.

*"We are in a damned good place after SMG. I could walk out the door knowing that the operational part of the organisation is extremely safe. We have staff who are in a very safe position, operational reviews have started to happen and we have policies and procedures in place. We also took the advice and have a finance committee in place now with membership from the board, treasurer, myself (CEO) and bookkeeper. The SMG process has certainly helped, coupled with a good relationship built with the community." (SMG organisation)*

The SMG programme enabled organisations to critically assess their strengths and weaknesses to gain a better understanding of their organisation and how to achieve organisational goals (through implementing appropriate strategies).

*"For the most, the report confirmed weaknesses and strengths our board was already aware of and has steps in place to address. It was, however, very reassuring to know that for the most part the organisation was very much on track." (SMG organisation)*

*"The SMG report gave us a full understanding of areas that required improvement. It also gave us some ideas/means of carrying out some of the improvements identified." (SMG organisation)*

At a governance level, the SMG programme provided impetus for organisations to strengthen their strategic focus through setting clear directions, gaining greater awareness and understanding of the governance role, and developing the skills and capabilities of board members.

At a management level, the SMG programme improved organisational processes and systems, culture, and stakeholder relationships, and enabled management and staff to function more effectively and efficiently.

As a result of the SMG programme, one organisation was forward focused in how they engaged with one of their funders. The organisation questioned whether it was in their best interest to take on a new service, particularly when the new service would expose the organisation to new risks and put more pressure on available resources. Previously, the organisation would without hesitation pursue new funding without assessing the consequences for their organisation and/or community.

*"We don't have to look for contracts... we are even the ones who say no because of the capacity issues." (SMG organisation)*

Another organisation demonstrated independence and ownership of their development requirements by subsequently funding – from their own budget – a separate follow-up review. This enabled the organisation to measure performance against the baselines set from the assessment and remediation phases of the SMG programme.

*"The SMG programme allowed for a stocktake of our organisation, but more importantly it gave us a baseline to work and measure ourselves from." (SMG organisation)*

Some organisations gained financial stability through securing new contracts for service.

*"The organisation is in good financial standing and staff are secure in their employment for a longer period even if there is a change of government." (SMG organisation)*

For others, achieving long-term sustainability required them to diversify their operations and seek new business opportunities, sometimes in new and untested areas of expertise. New business opportunities also led to the creation of strategic partnerships with other providers in their communities.

*"Other providers are looking at using the trust as a conduit to open up other NZQA-certified wānanga courses." (SMG organisation)*

*"Māori language course development was identified as a strategic focus because of the strength of the relationship of the trust with the community." (SMG organisation)*

For example, one organisation described how the SMG programme helped secure an offshore contract for their trade training programme. The same organisation was also investigating animation technology opportunities and considering developing a technology suite for the community.



### 2.3.2 Accountable Māori organisations

One of the objectives of the SMG programme was to restore public confidence in Māori organisations at a time when the media was highlighting some high profile failures. Media comment at the time focused on the lack of accountability of Māori organisations and the resulting ineffective delivery of government contracts and services.

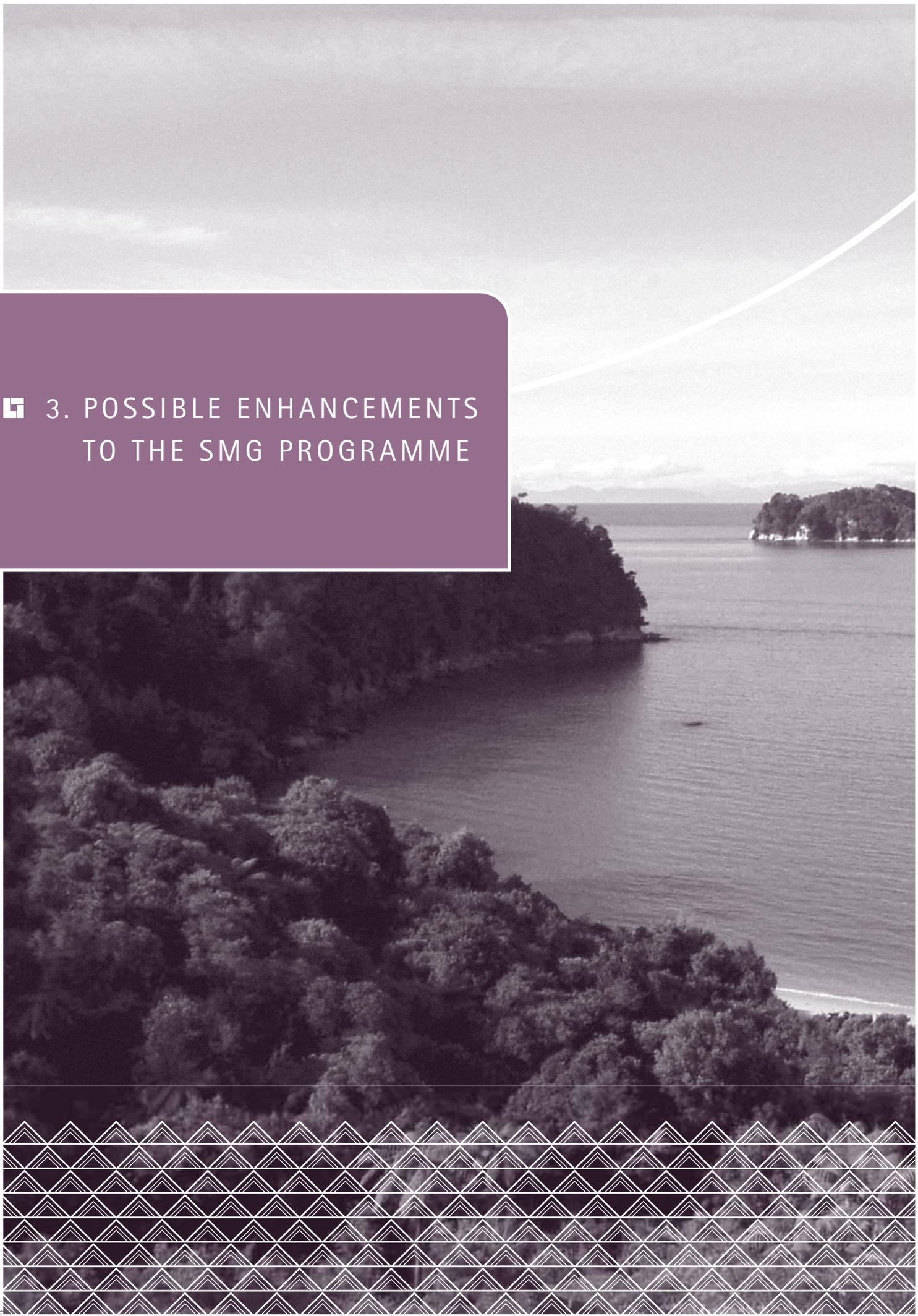
The willingness of funders to invest in an organisation is an indicator of confidence and trust. Moreover, the renewal, or signing, of new contracts is an indicator of an organisation's capability to manage contracts and account for funds. Two organisations had a significant injection of funding<sup>9</sup> since their participation in the SMG programme. For one organisation, income from new contracts had increased from \$500,000 to over \$1.5 million. Another organisation stated:

*"Income has grown by \$2 million since the [SMG] report." (SMG organisation)*

The implementation of operational policies and procedures and improved financial management practices ensured organisations had accountability controls in place, particularly when approving expenditure. In addition, organisations commented on the heavy monitoring and compliance expectations, such as regular service audits, that other government agencies placed on organisations to ensure transparency and accountability.

The evaluation noted that considerable attention was given to ensuring boards understood their stewardship role and that the accountability of the organisation was ultimately their responsibility.

<sup>9</sup> The evaluators noted that the achievement of these financial measures can be attributed to some extent to the organisation's participation in the SMG programme.



 3. POSSIBLE ENHANCEMENTS  
TO THE SMG PROGRAMME

## 3. POSSIBLE ENHANCEMENTS TO THE SMG PROGRAMME

### 3.1 INTRODUCTION

While the SMG programme was well received by organisations and assessors, the evaluation identified areas of possible improvement.

At a programme level, the evaluation identified enhancements to refocus the programme and provide more targeted assistance to meet the changing needs of organisations. These enhancements include:

- broadening the qualifying criteria for organisations, including the funding threshold;
- offering SMG as a total development package;
- refocusing SMG with a targeted and tailored approach;
- offering mentoring opportunities;
- assisting organisations with information sharing;
- improving the preparation of assessors before the assessment; and
- matching assessors more closely with organisations.

At a policy level, the evaluation identified some strategic issues that may have future implications for the SMG programme. The nature of these issues focuses on the development needs of organisations as follows:

- Formalising training programmes.
- Providing access to governance resources.
- Increasing public knowledge of Māori governance.
- Redefining the SMG programme outcomes.
- Brokering support and collaboration.

### 3.2 REFOCUSING THE SMG PROGRAMME

#### **Broadening the qualifying criteria**

To qualify for the SMG programme, Māori organisations must have government contracts in excess of \$300,000 per annum. While this benchmark may be useful in managing expectations around access to the SMG programme and in targeting more prominent organisations with accountability for government contracts, assessors believe there is a large number of organisations that need governance and management support but fail to qualify under the existing criteria.

The SMG programme could be useful to more organisations if the qualifying criteria were

broadened to allow non-government-funded organisations to qualify and if the contract threshold was lowered (or removed) to allow low income generating Māori organisations to participate in the programme. Any changes to the criteria should be balanced against the original intent of the SMG programme in order to maintain the integrity of the programme.

### **SMG as a total development package**

Organisations considered that the SMG programme could be improved by tailoring the programme as a complete package covering initial assessment, and remediation work, followed by a post-assessment monitoring and evaluation phase. Organisations commented that the current SMG programme was more effective when delivered in a structured package (i.e. with assessment and remediation).

Currently, some Te Puni Kōkiri regions actively promote the remedial phase, with other regions taking a less pro-active approach. Some organisations that participated in the assessment phase declined to carry on with the remediation phase, stating that they would undertake the work themselves, in line with their own resources and timeframes.

Some organisations were interested in having follow-up with their original assessors to share progress. In most cases it appeared there was no contact between assessors and organisations after the assessment phase. Some assessors also mentioned that they would be interested in checking in with organisations to see how their recommendations had been received and how the organisations had progressed in the intervening period.

A post-assessment monitoring and evaluation phase would be a valuable add-on to the programme, as it would enable organisations and Te Puni Kōkiri to track progress, ensure recommendations were implemented, and identify any new issues. It would also enable Te Puni Kōkiri to assess whether any improvements had been sustained over time.

### **Refocusing SMG with a targeted and tailored approach**

One of the strengths of the SMG programme has been the standardised assessment process delivered by experienced assessors. The assessment framework and process have largely been a 'one size fits all' approach with some flexibility to tailor the approach to meet the specific needs of organisations. Some organisations suggested that, in addition to the standard SMG process, the programme could be enhanced by inclusion of a component that tailored specific advice and expertise to the explicit needs of the organisation, whether that be related to new business development, investment opportunities or sector-specific knowledge.

### **Mentoring opportunities**

Some organisations expressed interest in receiving follow-up assistance in the form of coaching/mentoring activities from experienced consultants. Rather than have consultants undertake all of the remedial work, organisations requested that they work alongside the consultants, where possible, to learn and retain the institutional knowledge and experience.

Some organisations would like access to the consultants over a longer period and for them to be available on an on-call basis to support and guide the organisation.

*"It would be useful to have a mentor for six months or so who could attend meetings and help out with particular issues." (SMG organisation)*

### **Information sharing**

Organisations considered there was value in being able to link up and share information with other similar organisations. While this already occurred on an ad hoc basis, largely with other



organisations within the same sector, organisations expressed interest in establishing a more formal process. Such an initiative may be outside the parameters of the SMG programme; however, the evaluators included this issue as it was raised a number of times by organisations.

Assessors also commented that there could be value in assessors meeting to feed back on the SMG process and to share insights and experience to continuously improve the SMG programme.

### **Preparedness of assessors**

Organisations commented that some assessors need to spend more time prior to the organisation visit to fully understand the organisation and the sector it operates in, so that during the visit less time is spent briefing the assessor on the background of the organisation.

In addition, the restriction on organisations working with their Phase 1 assessors during the remedial phase (Phase 2) meant that more time had to be spent bringing new consultants up to speed on the particular needs of the organisation. Time could have been reduced if the same assessors were used throughout both stages. However, organisations accepted the rationale behind this approach (i.e. independence and preventing self-generated work) although some still expressed frustration at what they regarded as lack of flexibility by Te Puni Kōkiri.

### **Matching of assessors with organisations**

Most organisations accepted that they could not select their assessor (during Phase 1) and that there was value in the assessor coming into an organisation with a 'clean slate'.

One organisation considered that the SMG programme could be enhanced if Te Puni Kōkiri were to match organisations with assessors who had background and knowledge related to the specific sector they were working in.

For example, one organisation was unhappy with what they perceived as the youth and inexperience of their assessors. They considered the assessors to be lacking an in-depth understanding of what is entailed in operating as a kaupapa Māori provider. Because of this perceived shortcoming, the organisation considered that the assessors' questioning of board members as to their understanding of their roles and responsibilities failed to acknowledge the value placed by the organisation on the importance of cultural support and tikanga advice rather than on generic trustee skills.



## 3.3 UNDERSTANDING THE DEVELOPMENT NEEDS OF MĀORI ORGANISATIONS

### Formalising development programmes

One of the key themes the evaluation identified was the urgent need for governance training in Māori organisations. While governance training was high on the agenda for most organisations, finding relevant training or development opportunities specifically tailored to organisations such as marae or land trusts was often difficult. Formalising a training programme with the attainment of a qualification for trustees of Māori organisations could be an area of future work for Te Puni Kōkiri. This could be undertaken with the New Zealand Qualifications Authority and other governance training providers such as New Zealand Trade and Enterprise and the Institute of Directors in New Zealand.

The Hui Taumata Action Taskforce<sup>10</sup> recommended the establishment of a Māori Leadership in Governance Development Centre for the delivery of a broad-based leadership and governance education programme targeted at a wide range of Māori organisations. This suggestion may provide a platform for the development and delivery of the requisite training programmes.

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### Access to governance resources

Survey results indicated that organisations wanted more governance resources to assist their development, including governance toolkits and templates.

Te Puni Kōkiri has developed some resources that could assist SMG organisations in their governance and management functions. The Boardwalk Series on governance, the governance website<sup>11</sup> and the recently published Governance guide,<sup>12</sup> a self-help guide for people involved in the governance and management of Māori organisations, are freely available to organisations.

Te Puni Kōkiri should ensure all organisations are aware of, and able to access, these resources as well as resources available from other agencies.

### Increasing knowledge of Māori governance

A vast body of knowledge on Māori governance exists within the SMG programme and particularly with the assessors. No formal process has been undertaken to extract and utilise this information to inform policy development or to understand the development needs of Māori governance. Although this evaluation goes some way towards identifying issues in Māori organisations, there still remains much information that could be analysed, particularly in exploring what defines Māori governance and whether there are unique characteristics, and how active Māori organisations are in using Western practices of governance.

One assessor suggested Te Puni Kōkiri may wish to consider promoting the guiding principles of the Policy Governance Model<sup>13</sup> as a basis for further development of knowledge about Māori governance.

### Redefining the SMG programme outcomes

The ambiguity of the SMG programme outcomes made it difficult for the evaluation to measure whether these high level outcomes were achieved. For example, how does Te Puni Kōkiri define 'strong Māori organisation'? Is it possible or desirable for Te Puni Kōkiri to attempt to determine if government funds administered by other agencies are targeted appropriately?

<sup>10</sup> Hui Taumata Action Taskforce and Victoria University (n.d.).

<sup>11</sup> [www.governance.tpk.govt.nz](http://www.governance.tpk.govt.nz).

<sup>12</sup> Te Puni Kōkiri (2007).

<sup>13</sup> Carver (1997).



Te Puni Kōkiri should redefine the programme outcomes to ensure they are clear, measurable and meaningful and align with the Māori Potential outcomes. Te Puni Kōkiri should also consider further developing the outcomes model (outlined in section 1.4.2) and testing the relevance of the low order outcomes of the model, including, where possible, developing indicators and measures of success for these outcomes.

### **Brokerage and collaboration role**

One of the early policy intentions for the SMG programme was for Te Puni Kōkiri to broker and facilitate access to resources from other agencies (instead of Te Puni Kōkiri funding both the assessment and remedial phases). To a large extent this only occurred on an ad hoc basis, at a localised level, and is dependent on the relationship Te Puni Kōkiri staff have with other agencies. The impetus for brokering agency collaboration for organisation development opportunities may have diminished somewhat now that the SMG programme is well established and organisations know that Te Puni Kōkiri can fund both phases. However, opportunities still exist for Te Puni Kōkiri to increase synergies with other agencies that offer provider development funding or have a vested interest in building the capability and capacity of Māori organisations.



 4. CONCLUSION



## 4. CONCLUSION

Overall, the SMG programme was rated positively by organisations and assessors. Both groups reported that involvement with the programme was beneficial for the organisations.

The evaluation set out to achieve three key objectives:

- To understand the extent to which investments in governance and management have been effective, and the range of outcomes achieved.
- To understand what are good governance and management practices for Māori organisations.
- To guide future investments in governance and management initiatives and inform future programme design.

### Effectiveness of the SMG programme

The SMG programme was effective in providing advice and strategies to address key governance issues. Governance was considered by the assessors to be an area that was often neglected, with organisations tending to focus more at an operational level.

The evaluation identified that the SMG programme has been instrumental in enhancing the operations and performance of boards through:

- clarifying the role of governance as distinct from that of management;
- setting clear strategy and goals for the organisation;
- improving board members' skill levels, enabling boards to be more productive and have greater confidence in their abilities and roles; and
- focusing on competencies and skills required for board members.

These improvements built confident boards, leading to better decision making and stronger organisational cohesion. Efficiency and effectiveness gains through more productive meetings and better knowledge and understanding of their operating environments have contributed to lifting the overall performance of organisations.

Organisations made significant gains in the governance area; however, there is still an ongoing need to provide support and assistance to boards. Issues highlighted as significant risks for organisations included the voluntary nature of boards, their inability to remunerate members at realistic levels for their time and effort, and representation on boards based on kinship rather than competency.

The SMG programme also made significant gains in improving organisations' management processes and systems. Improvement in human resources, financial management, business

planning and risk management processes enabled organisations to strengthen and consolidate their positions.

The evaluation highlighted that many organisations were enjoying increased levels of confidence. Organisations were aware that their communities and funders demonstrated increased levels of confidence in them, as measured by increased numbers of contracts, increased financial turnover and growth in client numbers.

### **Good management and governance practices**

One of the strengths of the SMG programme was the provision of experienced, independent assessors, who engaged professionally in their work with the organisations. The arrival of the SMG programme was timely and offered targeted assistance to enhance growth and development potential for many organisations.

The availability of remedial assistance through Phase 2 provided organisations with continuity of support and an opportunity to address gaps identified in the Phase 1 assessment. In some instances, the gaps posed a high risk to the organisations' ongoing viability.

The evaluation found that, in general, some organisations were already operating well and that where processes and systems existed they reflected good practice models.

### **Enhancements to the SMG programme**

The evaluation found that there was still a demand for the SMG programme. It also identified options to widen its accessibility and improve its effectiveness. These improvements fall broadly under a) operational; and b) policy improvements.

#### **Operational**

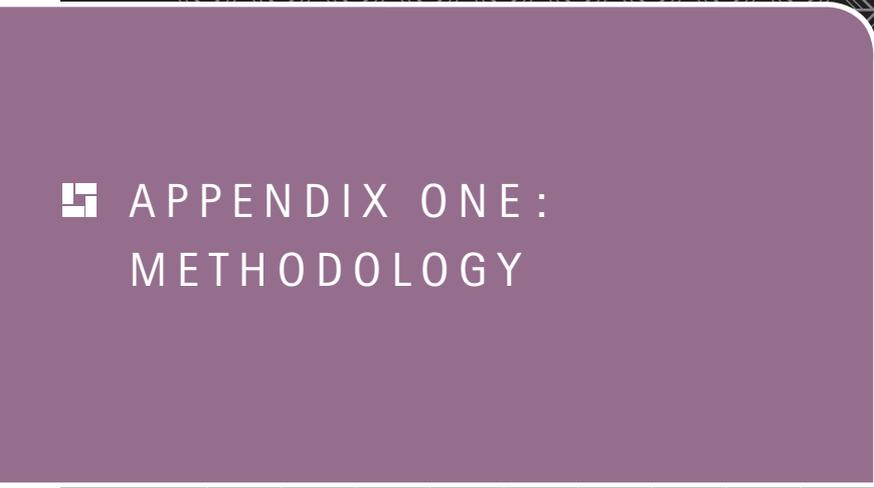
- Broadening the entry criteria and lowering the contract level threshold to allow a larger range of organisations to qualify.
- Tailoring a complete package (assessment, remediation, and post-remediation monitoring and evaluation) for each organisation, to be provided by an assessor with industry-specific knowledge.
- Targeting assistance to the specific needs of organisations in addition to the standardised SMG process.
- Setting up coaching and mentoring arrangements for organisations to access consultants over a longer period and having them available on an on-call basis.
- Providing networking opportunities to share information.
- Improving the quality of pre-assessment briefings and assigning assessors with sector-specific knowledge of the organisation.

#### **Policy**

- Formalising board development programmes.
- Analysing SMG programme information to increase Te Puni Kōkiri's knowledge and understanding of Māori governance.
- Reviewing the SMG programme outcomes to ensure they are measurable and align with the Māori Potential outcomes.
- Brokering closer relationships with other agencies that have a vested interest in building the capability and capacity of Māori organisations.



Overall, the SMG programme has been instrumental in assisting organisations to achieve positive outcomes. There was unanimous agreement among evaluation participants that the SMG programme (or something similar) should continue and that greater value could be realised if the recommended improvements are made to the programme.



 APPENDIX ONE:  
METHODOLOGY

# APPENDIX ONE: METHODOLOGY

## Introduction

This section describes in detail the methodology used in the evaluation. A summarised version is contained in the main body of the report (refer to section 1).

## Project planning and design

A needs assessment was undertaken to discuss how the evaluation would be useful to the key stakeholders and to inform the overall evaluation design.

Using the RUFDATA<sup>14</sup> tool, the evaluation team met with the Policy Wāhanga and the Relationships and Information Wāhanga to discuss the direction and focus of the evaluation based on their respective needs and current work programmes.

## Evaluation approach

Through the needs assessment, the following evaluation objectives were identified:

- To understand what is good practice governance and management for Māori organisations.
- To understand the extent to which investments in governance and management have been effective, and the range of outcomes achieved.
- To guide future investments in governance and management initiatives and to inform future programme design.

In addition, the evaluation was informed by a set of questions derived, in part, from the key outcomes in the draft governance and management outcomes model and programme outcomes relating to the SMG programme. The following questions were explored:

- Did the SMG programme promote improvements in governance and management practices/ outcomes (improved systems, infrastructure, communications, strategy)?
- What impact (if any) did the SMG programme have on the performance of Māori organisations?
- What areas of the SMG programme could be enhanced?

A mixed method (quantitative and qualitative) approach including document review, online survey and key informant interviews was undertaken to inform the objectives of the evaluation.

<sup>14</sup> Developed by Saunders (2000), RUFDATA is an abbreviation for the key questions asked of key stakeholders at the initial stages of the evaluation when drafting an evaluation plan. R stands for Reason for the evaluation, U for Use, F for Foci/Focus of the evaluation, D for Data or evidence of the evaluation, A for Audience of the evaluation, T for Timing, and A for Agency conducting the evaluation.

## Document review

SMG programme summary reports (and in some cases full reports), briefing papers, the assessment framework template and the 2005 SMG programme process evaluation were analysed to better understand the nature of the SMG programme and give focus to the evaluation. These documents were also used to inform the interview guide for the key informant interviews and the online survey.

## Online survey

The table below shows the steps and activities that were undertaken for the online survey.

Table 4: Step-by-step procedure for the online survey

STEP	ACTIVITY
1. Planning process	Determining resources – a programme plan was established identifying all the resources needed to implement the survey. These activities included: <ul style="list-style-type: none"><li>• generating survey questions (peer reviewed by Research, Information and Monitoring Team and programme staff);</li><li>• developing the online tool and hosting the tool on the Te Puni Kōkiri server;</li><li>• testing the survey with a sample of Te Puni Kōkiri staff and one external expert to focus on sufficiency and clarity of content, accessibility, interpretability and any relevant issues with the survey tool;</li><li>• generating an email list of all SMG programme participants from the Te Puni Kōkiri administrative database and validating the list by the programme and regional staff;</li></ul> and <ul style="list-style-type: none"><li>• informing Te Puni Kōkiri staff of the objectives of the evaluation.</li></ul>
2. Data collection	<ul style="list-style-type: none"><li>• Implementing the survey – sending the web link to all respondents, with instructions on how to complete the survey.</li><li>• Sending reminders to participants to complete the survey.</li></ul>
3. Data analysis	<ul style="list-style-type: none"><li>• Downloading and cleaning data from the Te Puni Kōkiri server and exporting into MS Excel for analysis.</li></ul>
4. Reporting	<ul style="list-style-type: none"><li>• Interpreting data and integrating with the qualitative findings.</li></ul>

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The online survey was sent to all 110 organisations that had participated, or were currently participating, in the SMG programme. Best efforts were made to source up-to-date email addresses from regional staff; however, of the 110 organisations:

- 13 organisations had invalid email addresses (and current email addresses were not able to be sourced);
- six organisations had duplicate email addresses in the database; and
- two organisations notified the evaluation team that the key person with knowledge of and information about the SMG programme had left the organisation.

As a result, the total population for the online survey was reduced to 89 organisations.

The online survey was initially run for two weeks (from 3 to 17 March 2008), which generated a 46% response rate. The evaluation team decided to extend the survey for another three weeks (until 7 April) to further increase the response rate. This resulted in only three additional completed surveys.

A total of 45 valid surveys (51%) were completed, which is above the average response rate for online surveys. The literature<sup>15</sup> confirmed that the average response rate for online surveys is between 30% and 40%.



## Key informant interviews

Interviews were held with six organisations, three assessors, and Te Puni Kōkiri regional and national office staff.

The six organisations were:

- Te Rūnanga o Whaingaroa, Kaeo;
- Solomon Group, Auckland;
- Turanga Health, Gisborne;
- Wainuiomata Christian Fellowship, Lower Hutt;
- Te Rōpū Tautoko ki te Tonga, Dunedin; and
- Awarua Social Services, Bluff.

Interviews were held with a range of stakeholders including organisation managers, directors, operational staff, board members and/or trustees.

The three assessors interviewed were:

- KPMG, Wellington;
- KCSM, Opotiki; and
- Manukau Business Solutions, Auckland.

Te Puni Kōkiri regional directors and regional staff (responsible for the SMG programme in their region) in the regions of the six SMG organisations were also interviewed. In addition, national office staff responsible for administering the SMG programme were also interviewed.



15 Ritter & Sue (2007).

The interviews gathered data from organisations, assessors and Te Puni Kōkiri staff. Interviews were generally held at workplaces and at times, in places most suitable for the interviewees.

A semi-structured interview guide was used during the interviews and interviews were tape-recorded with the consent of the interviewees.

Table 5 provides a description of the actions undertaken by the evaluators for the key informant interviews.

Table 5: Procedure for the conduct of the key informant interviews

STEP	ACTIVITY
1. Planning process	<ul style="list-style-type: none"> <li>• Developing the interview guide and sending it to the former and current SMG project managers for feedback on the sufficiency of coverage and areas that the evaluation may need to focus on.</li> <li>• Selecting key informants – a purposive random sample of the 110 Māori organisations was undertaken that resulted in a sample of six organisations being selected based on the following criteria:               <ul style="list-style-type: none"> <li>o Investment reach – a mix of investments at a regional and national level.</li> <li>o Assessors – a mix of assessors assigned to respective organisations.</li> <li>o Investment status – organisations that have participated at different stages of the programme (i.e. different financial years).</li> <li>o Nature of assessment – assessment and/or remedial work.</li> </ul> </li> <li>• Selecting a random sample of three of out six assessors. The three assessors had all undertaken 10 or more assessments and/or remedial work.</li> </ul>
2. Data collection	Using a two-team approach (two members of the evaluation team), face-to-face interviews with interviewees were undertaken. The interviewees were informed of their rights prior to the interview and were requested to sign a consent form before the interview commenced.
3. Data analysis	Content analysis using a thematic approach was utilised to analyse the fieldwork notes.
4. Report writing	A draft report was submitted for peer review internally and externally before release.

A mixed method data analysis was used to analyse the data gathered from the quantitative and qualitative results.

Initially, the raw data from the online survey was analysed using Crystal Reports analytical software and then exported to Microsoft Excel for further analysis using frequency distribution and percentages in tables, pie and bar graphs.

The qualitative information (field notes and audio-tape material) was analysed through a thematic approach noting the 'significant' findings from the interviews.

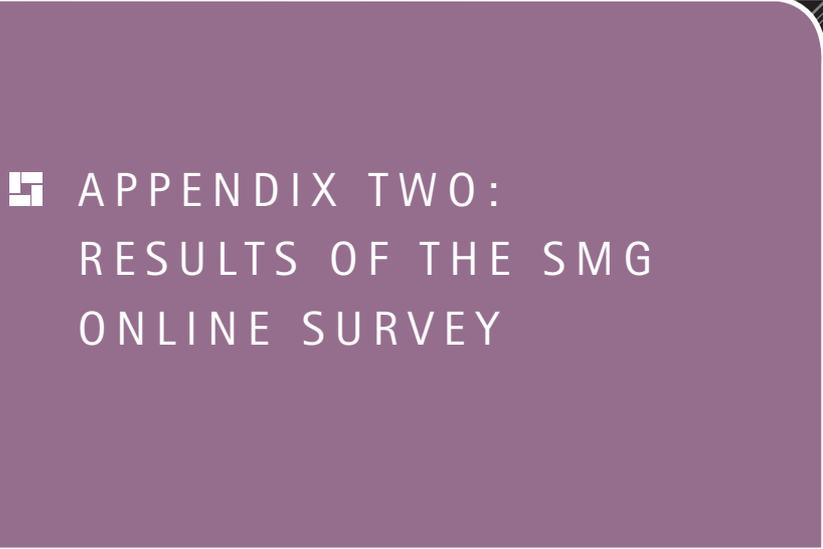
The McKinsey 7S<sup>16</sup> framework was also used to help organise and present the findings of the evaluation against the seven key elements of the 7S framework, namely: Strategy; Structure; Systems; Style; Skills; Staff; and Shared values. Further refinement of the findings and key themes was carried out to synthesise the findings and to simplify the presentation of the results.

The findings from the online survey were integrated, where possible, with the qualitative findings to support the results or to present opposing arguments.

Information collected is presented as aggregated results and quotes are attributed anonymously to maintain the confidentiality of participants.

16 Peters & Waterman (1982).



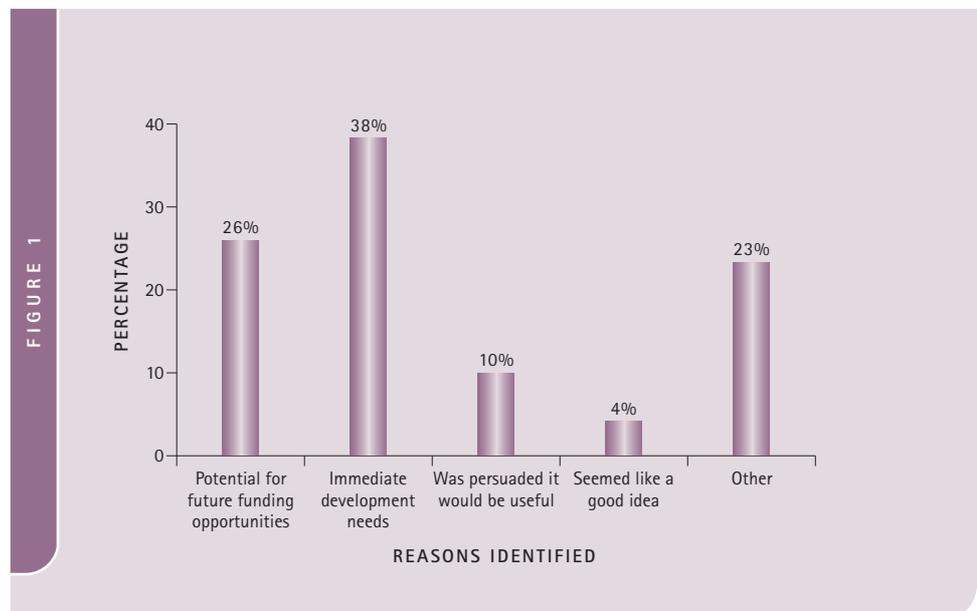


 APPENDIX TWO:  
RESULTS OF THE SMG  
ONLINE SURVEY

# APPENDIX TWO: RESULTS OF THE SMG ONLINE SURVEY

Questions 1 and 2 asked the name of the organisation and the designation of the person completing the survey.

Figure 1: Question 3 – Why did your organisation decide to participate in the SMG programme?



**Notes:**

- a. Multiple responses were allowed, thus resulting in more than the number of total respondents, n=45.
- b. The percentages shown are calculated by dividing the number of responses per item by the total number of responses, n=84.
- c. Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

Table 1: Question 4a – Has the SMG programme assisted your organisation to achieve (or improve) in the following areas?

	SIGNIFICANTLY	CONSIDERABLY	TO SOME EXTENT	NOT AT ALL	DON'T KNOW, CAN'T SAY
Clear vision, mission and value statements	19%	53%	26%	2%	0%
Leadership and management direction	32%	41%	20%	7%	0%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.



Table 2: Question 4b – Has the SMG programme assisted your organisation to achieve (or to improve) in the following areas?

GOVERNANCE	SIGNIFICANTLY	CONSIDERABLY	TO SOME EXTENT	NOT AT ALL	DON'T KNOW, CAN'T SAY
An appropriately structured governance board	16%	49%	23%	12%	0%
A high performing governance board	9%	45%	36%	9%	0%
A governance board with a clear understanding of its roles, responsibilities and legal obligations	19%	40%	33%	9%	0%
A governance board comprising members with relevant skills	5%	45%	45%	5%	0%
A governance board with a clear understanding of its stewardship responsibilities	14%	41%	36%	7%	2%
A governance board operating with a strategic focus	16%	49%	28%	7%	0%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

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Table 3: Question 4c – Has the SMG programme assisted your organisation to achieve (or to improve) in the following areas?

MANAGEMENT	SIGNIFICANTLY	CONSIDERABLY	TO SOME EXTENT	NOT AT ALL	DON'T KNOW, CAN'T SAY
Appropriate human resource management including succession planning, recruitment, remuneration, performance management, code of conduct and staff training	14%	50%	32%	5%	0%
Robust financial management including financial/accounting systems, cash flow management, payments and payroll, and internal controls	25%	43%	20%	11%	0%
Strong organisational structure including computer, IT systems, facilities management, and equipment	20%	41%	30%	7%	2%
Positive stakeholder management including relationship management, stakeholder management, communications, and strategic partnerships and collaborations	7%	57%	25%	11%	0%
Sound risk management including business continuity and disaster recovery, and risk monitoring	11%	45%	34%	9%	0%
Rigorous planning processes including strategic, business and financial and HR planning	16%	61%	18%	5%	0%
Effective monitoring and evaluation of business processes, performance and service delivery	7%	43%	43%	7%	0%
Clear operational policies and procedures including quality systems, delegations and decision making	23%	40%	30%	7%	0%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

Table 4: Question 5 – Did your organisation's involvement with the SMG programme give you increased:

AREA/FOCUS	SIGNIFICANTLY	CONSIDERABLY	TO SOME EXTENT	NOT AT ALL	DON'T KNOW, CAN'T SAY
Understanding of your organisation's strengths	39%	41%	18%	2%	0%
Understanding of your organisation's weaknesses	39%	43%	18%	0%	0%
Confidence in your decision-making processes	25%	41%	30%	5%	0%
Appreciation of your accountability to Māori organisations	21%	47%	23%	9%	0%
Understanding of your mandate and representation	28%	40%	21%	12%	0%
Confidence in negotiating with government and other funding organisations	18%	41%	30%	10%	2%
Confidence in ensuring the ongoing sustainability of your organisation	26%	35%	30%	7%	2%
Motivation to deliver a high quality service	34%	48%	11%	7%	0%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

Figure 2: Significance of the SMG programme's contribution to Māori organisations (a graph of the above results)

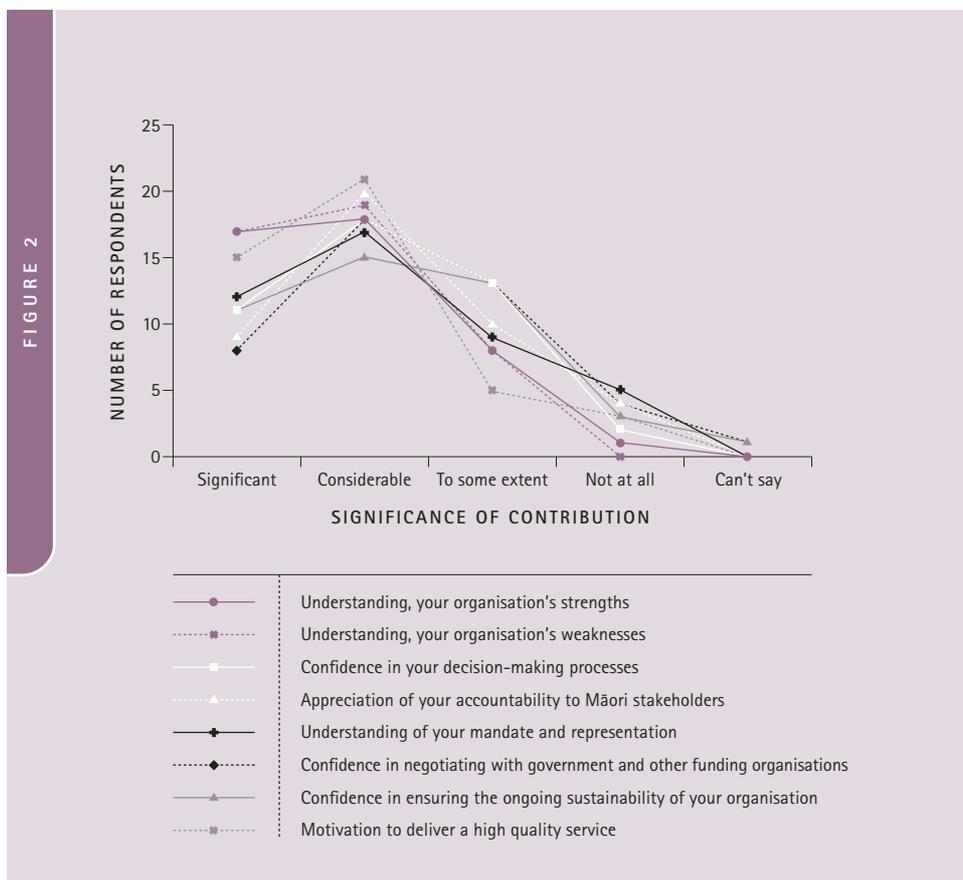


Figure 3: Question 6 – How would you rate the contribution of the SMG programme to your organisation?

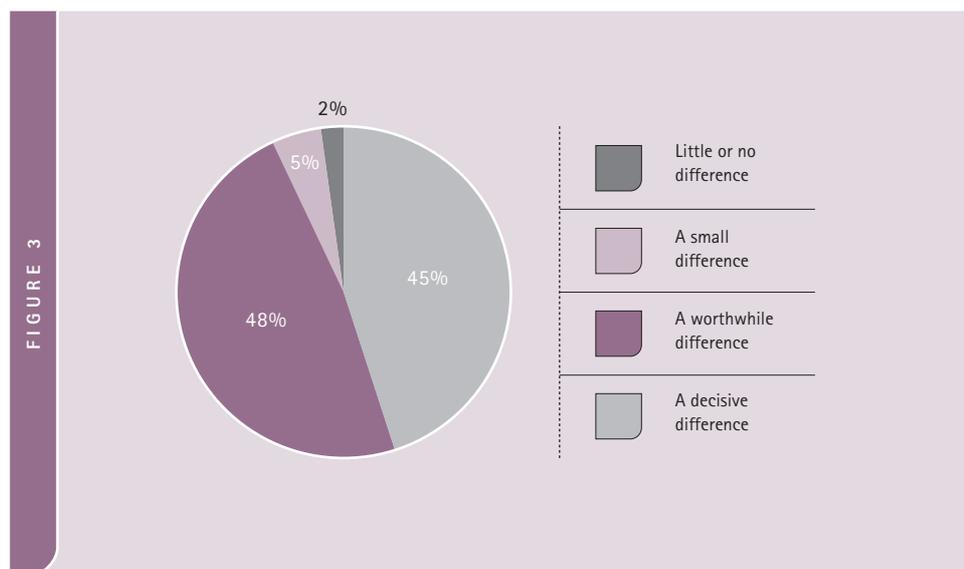


Table 5: Question 7 – How does your organisation rate the performance of the SMG programme in the following areas?

AREA/FOCUS	EXCELLENT	VERY GOOD	GOOD	LOW	VERY LOW
Te Puni Kōkiri appointment of independent assessors	36%	44%	18%	0%	2%
Independence of assessor's advice	44%	31%	2%	2%	0%
Flexibility of approach	51%	38%	16%	2%	0%
Confidentiality of assessor's report	52%	30%	18%	0%	0%
Value added to your organisation by the assessor's report and tools	44%	31%	20%	4%	0%
Solution orientation of the assessor's report	42%	31%	20%	4%	2%
Professionalism of the assessors	62%	24%	11%	2%	0%
Respect of assessors towards the tikanga, kawa and kaupapa of the organisation	62%	27%	11%	0%	0%
Assessor's genuine concern for your organisation	58%	27%	16%	0%	0%
Availability of remedial support from Te Puni Kōkiri	33%	24%	24%	11%	0%
Other support from Te Puni Kōkiri	30%	25%	27%	14%	5%
Improved relationship with Te Puni Kōkiri	22%	38%	27%	11%	2%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

Table 6: Question 8 – Is your organisation still working on the assessor's recommendations?

	NO. OF RESPONDENTS	PERCENTAGE
Yes	45	100%
No	0	0%
Total	45	100%

Table 7: Question 9 – In relation to the assessor's recommendations, approximately what proportion of these has your organisation implemented?

PROPORTION IMPLEMENTED	NO. OF RESPONDENTS	PERCENTAGE
All of them	5	11%
Most of them	25	56%
About half of them	5	11%
About a quarter of them	1	2%
A few of them	7	16%
None of them	1	2%
No answer	1	2%
Total	45	100%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

Table 8: Question 10 – Of the recommendations not implemented, what was the main reason for not following through? (Multiple responses allowed)

REASONS	NO. OF RESPONDENTS	PERCENTAGE
Lack of resources	17	33%
Changes in organisational priorities	18	35%
Lack of relevance	4	8%
Disagreement with assessor's view	1	2%
Other	12	23%
Total	52	101%

Note: Rounding-off of percentages to whole numbers may result in totals being greater or less than 100%.

Multiple responses account for greater than 45 total respondents.



Table 9: Question 11 – What aspects of the programme could be improved on if resources were available?

COMMON THEMES
• Coaching/mentoring by experts
• Co-funding for remediation work
• Additional funding for remediation work
• Follow-up work after implementation of recommendations
• A complete suite that covers assessment, remediation work and review of progress
• Facilitated self-analysis
• Commitment from programme recipients, otherwise refund the money

Table 10: Question 12 – What other resources (either government or private) could assist your organisation with carrying out its governance and management functions?

COMMON THEMES
• Governance and management training (e.g. best practice governance workshops)
• Governance toolkits
• Coaching/mentoring
• A governance help line
• Financial support to attract high calibre trustees
• Funding to attend Institute of Directors training
• Support for strategic development
• Training and monitoring of recommendations
• Access to templates (e.g. evaluation, business plan, IT checklist)
• Forum for discussing governance and management issues

Table 11: Question 13 – Who do you think should be providing the resources?

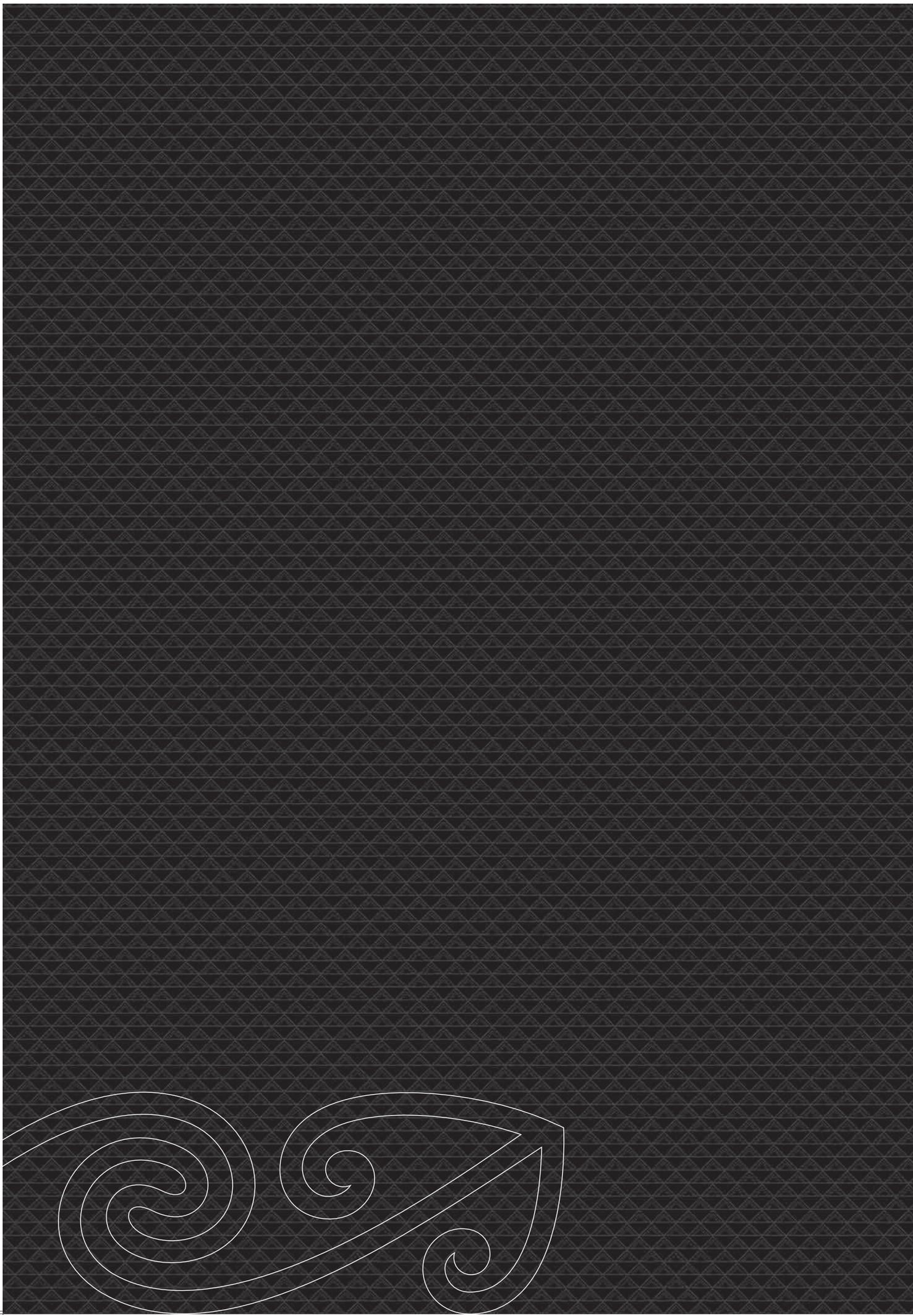
COMMON THEMES
• Government (e.g. Te Puni Kōkiri)
• Private sector
• Private sector, facilitated by Te Puni Kōkiri
• Co-funding
• Māori providers



 APPENDIX THREE:  
REFERENCES

## APPENDIX THREE: REFERENCES

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