



Te Puni Kōkiri
REALISING MĀORI POTENTIAL

COPY

29 OCT 2012

Natalie Mankelow
Reporter
Radio New Zealand
PO Box 2209
AUCKLAND 1140

Tēnā koe

Official Information Act Request

I refer to your email of 13 September 2012, which was in response to your earlier Official Information Act request and our response of 13 September 2012. You have asked for a copy of the recently completed evaluation report and all advice given to the Minister along with the reports detailing the outcomes of the "regular reviews" in relation to the Whānau Ora Programme undertaken in the past 12 months.

Attached is the briefing to the Minister of Whānau Ora on the evaluation report along with a copy of the evaluation. Some names have been withheld under section 9(2)(a) to protect the privacy of natural persons.

In response to the remainder of your request, the attached document schedule refers to the "regular reviews" undertaken as advised in our response of 13 September 2012 to you, and has been updated to include details on what information is being released to you, withheld or is already publicly available.

For the majority of the internal review documents, the executive summary/high level findings have been released and the remainder of the information in the documents has been withheld. These are internal audits that are carried out to ensure our systems and processes are satisfactory. The release of the high level findings in my view is sufficient to satisfy public interest that we have the appropriate systems and processes in place for our funding programmes and also satisfies your request for "outcomes". The reports are for internal use and therefore all other detail that has been withheld is done so under sections 9(2)(f)(iv) and 9(2)(g)(i) of the Official Information Act in order to maintain the constitutional conventions around the confidentiality of advice and to maintain the effective conduct of public affairs through the free and frank expression of opinions. Names have been withheld under section 9(2)(a) of the Official Information Act to protect the privacy of natural persons.



Information from the financial and estimates reviews provided to the Māori Affairs Select Committee (document references 2 and 8) are publicly available to you and therefore refused under section 18 (d) of the Official Information Act as it is publicly available.

Document reference 6, was prepared for consideration by the Whānau Ora Working Group, the report from the review is still under consideration by Ministers and is withheld under sections 9(2)(f)(iv) and 9(2)(g)(i) of the Official Information Act in order to maintain the constitutional conventions around the confidentiality of advice and to maintain the effective conduct of public affairs through the free and frank expression of opinions.

Document reference 7 refers to the interim and final audit letters. Like the internal reviews, the audit letters are for internal use. The high level summary where it refers to the Whānau Ora programme has been released and the remainder of the information has been withheld under sections 9(2)(f)(iv) and 9(2)(g)(i) of the Official Information Act in order to maintain the constitutional conventions around the confidentiality of advice and to maintain the effective conduct of public affairs through the free and frank expression of opinions. Information not relevant to the request has been removed.

Where "reviews" are still underway and have not been completed, there is no outcome so the information cannot be provided.

Please note that if you are not satisfied with this response, you have the right under section 28 of the Official Information Act, to make a complaint to an Ombudsman.

Nāku noa, nā



Leith Comer
Chief Executive

Document schedule of "regular reviews" in relation to the Whānau Ora programme undertaken in the past 12 months or underway

Doc #	Date	Title	Description and status/release of information
1	Sept 2012	Findings of the Developmental Evaluation of the Whānau Ora, Whānau Integration, Innovation and Engagement (WIIE) Fund	Briefing paper to the Minister for Whānau Ora along with a copy of the evaluation report Released in full
2	Feb 2012	Māori Affairs Committee financial review of the 2010/11 non-departmental appropriations for Vote Māori Affairs (Whānau Ora)	Annual financial review of Vote Māori Affairs, (Whānau Ora) for the 2010/11 Financial year of non-departmental appropriations This information is publicly available on the Parliament Website
3	Feb 2012	Non-Departmental Output Expenditure (NDOE) funding process review	Independent review of high level NDOE funding processes as identified in the Internal Audit annual plan for 2011/12 Executive Summary released – remainder of document withheld
4	March 2012	Two Regional Office Māori Potential Fund and Whānau Integration, Innovation and Engagement audits	Regular cyclical reviews of Investment Centre's NDOE contract administration practice. Two investment centres are internally audited by Te Puni Kōkiri on an annual basis as identified in Te Puni Kōkiri's Internal Audit annual plan for 2011/12 Summary of the findings released, the remainder of the documents withheld
5	April 2012	Whānau Ora Provider Development audit	Internal audit on the appropriateness of contracting and associated business practice for Provider development funding as identified in Te Puni Kōkiri's Internal Audit annual plan for 2011/12 Summary of the findings released, the remainder of the document withheld
6	April 2012	Whānau Ora Working Group – Review of the Whānau Integration, Innovation and Engagement Fund (WIIE)	Review of Te Puni Kōkiri processes in administering the WIIE Fund non-departmental appropriation in line with public sector good practice

7	October 2011 and July 2012	Audit New Zealand Interim and Final Audit Management Letters	<p>Document withheld in its entirety – as part of the Whānau Ora Working Group review which is still under consideration by Ministers</p> <p>Audit New Zealand annual audit of Te Puni Kōkiri's financial statements on behalf of the Controller and Auditor-General. Management letters are provided at the conclusion of interim and final audit visits on matters of significance to the financial statements and include observations on internal controls</p> <p>Summary of the findings released, the remainder of the document withheld. Information not relevant to the request has been removed.</p> <p>Annual estimates examination by the Māori Affairs Committee includes the examination of the financial information for Whānau Ora</p> <p>Information is publicly available on the Parliament website – copy of presentation released</p>
8	July 2012	Māori Affairs Committee examination of Vote Māori Affairs	<p>For each of the 18 contracts - Te Puni Kōkiri will carry out an annual review of the services provided along with the expenditure of the funds against the agreed annual budget for that year in order for funding to proceed for the following year</p> <p>These reviews are currently underway and have not been completed therefore information on the outcomes is not available</p>
9	2012	Annual reviews of 18 multi-year contracts for Whānau Ora Programme of Action Implementation	<p>Information is publicly available on the Parliament website – copy of presentation released</p>

OFFICIAL RELEASED FROM THE GOVERNMENT INFORMATION ACT



14 September 2012

Minister for Whānau Ora
Minister for Māori Affairs

Findings of the Developmental Evaluation of the Whānau Ora Whānau Integration, Innovation and Engagement (WIIE) Fund

Purpose

1. This briefing provides a summary of the findings of an evaluation of Te Puni Kōkiri's investment in the Whānau Integration, Innovation and Engagement Fund ('the WIIE Fund') for your noting and feedback.

Background

2. The WIIE Fund is part of the broader cross-government Whānau Ora Approach, through which Te Puni Kōkiri invests in whānau-led initiatives that build whānau capability, strengthen whānau connections, support the development of whānau leadership and enhance best outcomes for whānau.
3. In 2010/11 \$4.9 million¹ was invested in whānau planning and plan implementation through the WIIE Fund, and in 2011/12 \$7.7 million was invested. The WIIE investment in whānau transformation has been allocated baseline funding of \$6.4 million in 2012/13 and increases to \$8.4 million in outyears.

A Developmental Evaluation approach to supporting WIIE development

4. Early evaluation scoping work undertaken, including evaluability assessment², identified that WIIE Fund processes were still evolving to the extent that there was insufficient readiness for a more 'traditional' formative or process evaluation.
5. A Developmental Evaluation approach was considered a more appropriate fit given the developmental context of the Fund and the broader Whānau Ora Approach.
6. Developmental Evaluation is designed to support emergent, innovative and transformative initiatives or organisational development; and brings evaluative

¹ Te Puni Kōkiri, Report to the House of Representatives on Whānau Ora Non-Departmental Appropriations pursuant to the Section 32A, 2010/11, p. 7.

² Assessment of the readiness of a programme or project or policy for evaluation.

thinking and evidence to decision-makers to support on-going adaptation as initiatives are developed and implemented.

7. Te Puni Kōkiri commissioned Nan Wehipeihana of Research Evaluation Consultancy (REC) Ltd to undertake a Developmental Evaluation of the WIIE Fund, which was completed between November 2011 and June 2012. Following the presentation of the draft report on 30 June 2012, the report has been finalised and has been incorporated into the review of the WIIE Fund underway.

Whānau-centred evaluation objectives and questions

8. The whānau-centred framing of this evaluation was intended to align with the whānau-centred kaupapa of the WIIE Fund, and also to ensure this project would complement the three earlier process-focused audit reviews of WIIE Fund.³
9. The Key Evaluation Questions (KEQs) were:
 - KEQ1: Is the WIIE Fund providing a platform for whānau transformation?
 - KEQ2: How are whānau accessing and engaging with the WIIE Fund?
 - KEQ3: Are whānau experiencing WIIE Fund processes as simple and consistent?
10. The evaluation drew on available data including:
 - WIIE Fund policy and operational documentation,
 - 88 stakeholder interviews (with Providers, Regional Leadership Groups, and Te Puni Kōkiri staff), and
 - Te Puni Kōkiri administrative (SmartFund) and census data.

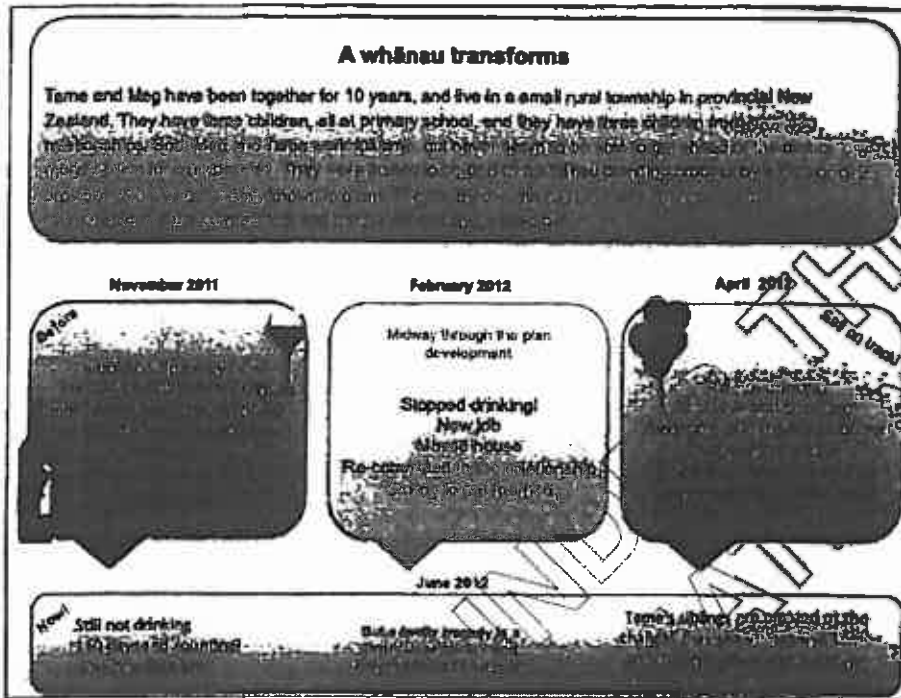
Evaluative findings

KEQ1: Is the WIIE Fund providing a platform for whānau transformation?

11. This is the most important of the evaluative questions. The evaluation demonstrates that the WIIE Fund is providing a platform for whānau transformation and positive outcomes are evident when there are high quality whānau planning and implementation processes. Whānau transformation:
 - is a continuum and may occur through the planning process itself, or as a result of the implementation of a plan (see page 14 of the full report).
 - can involve forwards and backwards (and very difficult) steps.
 - when positive can have a ripple effect on other whānau beyond WIIE.
12. Several whānau interviewed highlighted the positive transformation they had experienced through the WIIE Fund. Figure 1 below is a summary of one whānau story from page 15 of the evaluation report.

³ Three internal and external process audits were undertaken during 2011 and 2012 by KPMG for Te Puni Kōkiri; Audit New Zealand and Deloitte as part of the ongoing Whānau Ora review work

Figure1: Whānau transformation story: Tame and Meg



13. Another recently completed research study provides more in-depth stories on whānau transformation through the WIIE Fund, and complements the high-level findings on whānau impacts identified in this evaluation. The research study, commissioned by Te Puni Kōkiri and completed by Kaahukura Enterprises Ltd, explored whānau transformation through case studies of twelve whānau.
14. These findings, along with the case studies, whānau stories and the satisfaction surveys from whānau indicate that whānau planning and implementing has merit. By incorporating these findings into the WIIE Fund review, it will be important that appropriate systems are further developed to provide evidence about the extent to which positive transformative results are shared by all whānau, nationally, accessing and engaging in the WIIE Fund. This will provide the basis for further evaluative work over time.

KEQ2: How are whānau accessing and engaging with the WIIE Fund?

15. The evaluation also finds that the WIIE Fund is reaching whānau nationally and there is some early evidence to suggest that the WIIE Fund is reaching all New Zealand whānau, as the policy intended. It is now important on the basis of the approach to date to ensure that the settings for the WIIE Fund provide for:

- More evenness in allocations across Te Puni Kōkiri regions and promotion of engaging the widest possible number of whānau;
- Reducing any differential whānau access and experience by strengthening the capacity and capability at the regional level to promote the WIIE Fund and administer alongside regional leadership groups; and
- Systemise the monitoring of whānau level data to provide the fullest and most accurate picture of participating whānau.

KEQ3. Are whānau experiencing the WIIE Fund processes as simple and consistent?

16. Whānau enjoy good access to the WIIE Fund through three main entry points, namely through:

- Te Puni Kōkiri offices;
- Category 1 providers selected for Whānau Ora funding through an Expression of Interest (EOI) process; and
- Category 2 (all other social and health service) providers acting as legal entities for whānau engaging in the WIIE Fund.

17. The multiple entry points have made it easier for whānau to access and pursue their aspirations. The WIIE review will consider the extent to which the settings of the funding balance transparency and accountability for funding with streamlining the process for whānau to access appropriate supports. Whānau appear mostly positive about their WIIE Fund experience, however there are operational improvements that can be made.

Policy and operational considerations for Te Puni Kōkiri

18. The following section outlines key policy and operational considerations for Te Puni Kōkiri suggested by the WIIE evaluation findings.

High quality planning supports whānau transformation through the WIIE Fund

19. Whānau transformation is occurring when whānau engage in either a high quality planning process or plan implementation. The implicit policy assumption that whānau planning and implementation involve discrete, sequential activities leading to transformation does not reflect the real world experience of some whānau, nor does it capture the full potential of high quality planning. Furthermore:

- An ethic of care must be an integral component of any whānau planning engagement, especially as the WIIE Fund is engaging vulnerable whānau;
- More information is required to identify the most effective whānau planning models to serve the range of whānau starting points along the transformation continuum, and the appropriate supporting funding, and entry models; and
- This raises an important policy question, namely, what levers might encourage sustainability of any transformative effects gained by whānau beyond WIIE?

Need to address WIIE Fund performance monitoring and reporting gaps

20. Better data collection is critical to ensure that Te Puni Kōkiri can tell the WIIE performance story over time and report on the performance measures in Whānau Ora WIIE Fund Framework (impact, cost-effectiveness, and contribution to Whānau Ora outcomes)⁴. In particular:

⁴ Cabinet Social Policy Committee [SOC (10) 17/3], Whānau Ora: Whānau Integration, Innovation and Engagement Fund, 2010, p.13.

- Whānau stories are a powerful device to convey what whānau transformation looks like. On their own however, they do not provide convincing evidence of the WIIE results nationally. Providing that evidence means robustly answering the question, to what extent have all whānau participating in WIIE experienced positive change in wellbeing?
- The evaluation report (see Table 9, page 35) provides a solution to meet the current data needs. This is being incorporated into the review of WIIE Fund arrangements.

Consolidate and share good practice knowledge for better results and value for money

21. The collation and sharing of information will allow Te Puni Kōkiri to leverage good practice and resources, to strengthen engagement with whānau and ultimately contribute to whānau transformation by drawing on:
- An emerging body of good practice evidence about good strategies to engage and support whānau that is vested in providers, RLGs and Te Puni Kōkiri; and
 - Outputs from WIIE investments in research, toolkits and resources to support whānau engagement and planning and implementation processes.

Socialise 'what works' to support whānau transformation and contribute to Better Public Services

22. The WIIE Fund results provide Te Puni Kōkiri with future opportunity to make a contribution to the wider government strategy of Better Public Services, by:
- Socialising learning among state sector agencies about 'what works' to support whānau transformation through providers, RLGs and Te Puni Kōkiri. This knowledge may be used to influence and support changes in the way services are delivered and organisational resources deployed to improve the quality, responsiveness and efficacy of these services for whānau.
 - Influencing current state sector engagement in the Whānau Ora Approach beyond Te Puni Kōkiri, Ministry of Health, and Ministry of Social Development that are represented in the RLGs throughout the country. Other key agencies that deliver services in the social sector that are critical to realising whānau transformation, such as education, justice and housing sector agencies, are noticeable in their absence.
23. Reporting on WIIE Fund data such as whānau plan goals and aspirations can inform state sector policy by suggesting where the service delivery needs and gaps are for Māori.

Improvements agreed to lift the performance of the WIIE Fund for whānau

24. As well as highlighting the achievements and potential of the WIIE Fund, the evaluation identifies next steps to lift the performance of the investment: to further realise the potential of this Fund for whānau; and to demonstrate increasing evidence of WIIE results.

25. Te Puni Kōkiri management has agreed to give further consideration to specific next steps identified in the evaluation, namely:

- Adding new measures to SmartFund data capture (see Table 9, page 35 of the evaluation report) so that future whānau transformation evidence is captured for robust reporting and to evidence WIIE results against Whānau Ora Outcomes framework at the individual and whānau levels;
- Updating WIIE Fund guidelines and training for Te Puni Kōkiri staff so staff are supported to collect high quality data;
- Strengthening the national presence of the WIIE Fund by sharing information on whānau planning approaches and providers between the Te Puni Kōkiri national and regional offices, and Te Puni Kōkiri WIIE coordination, processes and external communications to whānau are consistent nationally; and
- Commissioning research, as well as consolidating and disseminating knowledge and tools on whānau planning already funded through WIIE to ensure Te Puni Kōkiri shares good practice in whānau planning with providers to underpin policy development and ensure best outcomes for whānau.

26. The next steps above will be considered as part of a Te Puni Kōkiri Review of the WIIE Fund underway currently that will focus on refining funding criteria and processes.

Communicating Results

27. The WIIE Fund has been of interest to media and other groups over the last six months. Te Puni Kōkiri would like to release the Developmental Evaluation over the next few weeks on its website, along with other material that provides a progress report on results to date. Te Puni Kōkiri would like to work with your offices to develop a communications plan around the potential release of this information.

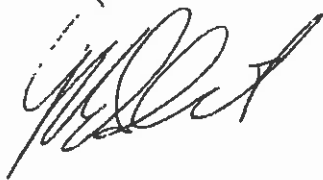
28. It is likely that the Māori Affairs Committee will have an interest in this evaluation and associated material. The Committee will likely request a copy of this evaluation as part of the documents it will seek during the financial review stage of Vote Māori Affairs. Documents provided to the Committee are usually made available publicly by the Committee on its part of the Parliamentary website.

Recommendations


29. It is recommended that you:

- a. **note** that an evaluation of Te Puni Kōkiri's investment in the WIIE Fund was completed in June 2012 and the full report is attached for your consideration and feedback;
- b. **note** the evaluation highlights the achievements and potential of the WIIE Fund, including several stories of whānau transformation;
- c. **note** the evaluation identifies opportunities for Te Puni Kōkiri to better realise, and evidence, results for whānau in future, and specific next steps have already been approved for action; and

- d. provide feedback that you believe is relevant to future considerations for the WIIE Fund.



Geoff Short
Deputy Secretary, Whānau and Social Policy

NOTED	NOTED
 Hon Tariana Turia Minister for Whānau Ora	Hon Dr Pita R Sharples Minister of Māori Affairs
Date: ___ / ___ / 2012	Date: ___ / ___ / 2012

RELEASED UNDER THE OFFICIAL INFORMATION ACT

Whānau Integration, Innovation and Engagement Fund

Developmental Evaluation Report

Prepared for

Te Puni Kōkiri

Prepared by

Research Evaluation Consultancy Limited
- a member of the Kinnect Group

Date

June 2012



Kinnect
group

100 Oke Street • Research Evaluation Consultancy
111 Kowloon Street • Inbar King & Associates

RELEASED UNDER THE
OFFICIAL INFORMATION ACT

He tuku mihi

He tuku whakamihi ki nga whānau, ki nga ropu Whānau Ora me nga kaimahi o Te Puni Kōkiri, mō ta rātou tautoko mō tenei mahi arotake. He mihi anō ki a kaimahi arotake o Te Puni Kōkiri mō tāna mahi tautoko mō te mahi nei.

He mihi ano ki nga kaimahi arotake: ko

ki te kaha mō te mahi nei.

Mauri ora ki a koutou katoa.

Na,
Te Kaihutu

Acknowledgements

I would like to thank whānau, Whānau Ora providers and staff of Te Puni Kōkiri for their support and assistance with this evaluation. A special thanks to F. Evaluation Advisor at Te Puni Kōkiri for her assistance with this evaluation.

My thanks also to the regional evaluators

invaluable assistance with this evaluation.

Lead Evaluator

RELEASED UNDER THE OFFICIAL INFORMATION ACT

**Contents**

Executive Summary	4
1 Background: Whānau Ora and the Whānau Integration, Innovation and Engagement (WIIE) Fund	7
2 Evaluation methodology	10
3 Whānau-centred enquiry findings	14
4 Delivering best results for whānau through the WIIE Fund	33
5 References	38
Appendix A: Non-Interview data sources and technical notes	39
Appendix B: The value of critical and evaluative thinking	41

Tables

Table 1. Te Puni Kōkiri WIIE Fund Investment 2010-2014	7
Table 2. Phase one profile of Developmental Evaluation participants	12
Table 3. Phase two profile of Developmental evaluation participants	13
Table 4. Whānau access through providers, 2010/11 and 2011/12	18
Table 5. WIIE investment by providers and region, 2010/11 and 2011/12	18
Table 6. Individuals accessing WIIE by Te Puni Kōkiri region with population comparisons, 2010-2012	19
Table 7. Whānau plan goal categories and sub-categories	21
Table 8. Whānau plan goal categories as proportions of total goals, 2010/11	22
Table 9. WIIE whānau results evidence required and suggested collection	35

Figures

Figure 1. WIIE Fund Whānau Outcomes	8
Figure 2. Whānau transformation continuum	14
Figure 3. Whānau transformation story – Tame and Meg	15
Figure 4. Whānau transformation story - Marama	16
Figure 5. Whānau WIIE Fund access pathways	23
Figure 6. Whānau Ora WIIE Fund outcomes framework	33



Executive Summary

Introduction

1. Within the broader cross-government Whānau Ora Approach, the Whānau Integration, Innovation and Engagement (WIIE) Fund invests in whānau-led initiatives that build whānau capability, strengthen whānau connections, support the development of whānau leadership and enhance best outcomes for whānau. The Fund has been implemented by Te Puni Kōkiri since late 2010 and has undergone on-going development since then.

Evaluation approach

2. Te Puni Kōkiri commissioned Research Evaluation Consultancy Ltd to undertake a Developmental Evaluation of the WIIE Fund, which was completed between November 2011 and June 2012. A Developmental Evaluation approach was considered an appropriate fit given the developmental context of the Fund itself and the broader Whānau Ora Approach.
3. Developmental Evaluation is designed to support emergent, innovative and transformative initiatives or organisational development; and brings evaluative thinking and evidence to decision-makers to support on-going adaptation as initiatives are developed and implemented (Patton, 2012).
4. This evaluation employed a mixed method approach to data collection. The main data sources for the evaluation were:
 - *WIIE Fund policy and operational documentation*; planning, strategy and reporting documentation of Regional Leadership Groups; and
 - *eighty-eight stakeholder interviews with*: whānau (29); providers (23); Regional Leadership Groups (5); and Te Puni Kōkiri staff (31); and
 - *Administrative and non-interview data sources*: Te Puni Kōkiri contract management system data (SmartFund); Māori Population statistics (2006 Census, Statistics New Zealand); and Te Puni Kōkiri WIIE Whānau Plan analysis (Whanganui ā Tara Regional Office project, 2011).

5. The central enquiry focus of this evaluation is to consider the significance of the findings on the early implementation of the WIIE Fund for whānau, as well as for Te Puni Kōkiri policy and operations within the broader contexts of the Whānau Ora Approach and the Better Public Services programme.

Evaluation purpose and key evaluation questions

6. The purpose of the evaluation was to generate 'earning about how and in what way the WIIE Fund is leading to whānau transformation; and how the WIIE Fund can be improved to better support whānau transformation. The evaluation findings are therefore presented in relation to the three key evaluation questions:

1. Is the WIIE Fund providing a platform for whānau transformation?
2. How are whānau accessing and engaging with the WIIE Fund?
3. Are whānau experiencing the WIIE Fund processes as simple and consistent?



Is the WIIE Fund providing a platform for whānau transformation?

7. There is good evidence that the WIIE Fund is providing a platform for whānau transformation through high quality whānau planning and implementation processes. Transformational outcomes are evident for some whānau when planning and implementation processes are done well. However there is a lack of evidence about the extent to which transformative outcomes are experienced by all whānau accessing the WIIE Fund, the areas of successful transformation across the board, and the critical success factors that underpin different whānau planning approaches.

How are whānau accessing and engaging with the WIIE Fund?

8. The WIIE Fund is reaching whānau nationally and there is also some early evidence to suggest that the WIIE Fund is reaching all New Zealand whānau, as per the policy intent. However, the Fund allocations are very uneven across Te Puni Kōkiri regions. The evidence suggests the factors that are contributing to the differential picture of whānau access include: regional capacity and capability (within and across Te Puni Kōkiri Regional Offices); limited promotion of the WIIE Fund; and priority being given to other Te Puni Kōkiri activities at the regional level.

Are whānau experiencing the WIIE Fund processes as simple and consistent?

9. Whānau enjoy good access to the WIIE Fund via three main entry points; through or via Te Puni Kōkiri, through Category 1 providers and through Category 2 providers. Whilst the multiple entry points have made it easier for whānau, Te Puni Kōkiri Regional Offices report it has made it difficult to develop and maintain regionally consistent processes because of the lack of regional relationships with Category 1 providers and the sharing of information between Whānau Ora collectives and Regional Offices. Whānau however were mostly positive about their WIIE Fund experience and are generally unaware of regional variability or Te Puni Kōkiri concerns.

Future considerations for the WIIE Fund

Address WIIE Fund performance monitoring and reporting gaps

10. Currently there is a gap in the whānau (and Fund) performance monitoring and data collection systems. Whānau stories are a powerful device to convey whānau transformation. On their own however, they do not provide sufficient evidence of the contribution and impact of the WIIE Fund to whānau transformation to provide convincing evidence of the results Te Puni Kōkiri is delivering.
11. Steps need to be taken to ensure that Te Puni Kōkiri has the data it needs to tell the WIIE performance story including being able to demonstrate the nature (quality) and extent (quantity and reach) of successful whānau transformation. A suggested approach to addressing the current information gaps is provided in Table 9 (see p. 35 of this report). This table outlines the critical evidence required, why the evidence is needed, and suggested data collection approaches and tools. In addition, research is required to identify effective whānau planning models for whānau that also draws on the tools and resources currently being funded through the WIIE Fund. Future innovation and continuous improvement will be informed by on-going monitoring of Te Puni Kōkiri progress and regular evaluation of 'what works'.



Collate and share good practice knowledge for better results and value for money

12. There is an emerging body of good practice evidence-vested in providers, Regional Leadership Groups and Te Puni Kōkiri-on the best strategies to engage and support whānau to give best effect to positive whānau transformation. There has also been investment through the WIIE Fund in research and the development of toolkits and resources to support whānau engagement and planning and implementation processes.
13. The collation and sharing of this good practice knowledge will provide Te Puni Kōkiri with the ability to get the most out of, and to leverage, these resources to strengthen engagement with whānau and ultimately contribute to more whānau transformation.

Socialise 'what works' to support whānau transformation and contribute to Better Public Services

14. The WIIE Fund plans provide an early indication of the goals¹ and aspirations that whānau are pursuing through WIIE funded activities and are a rich, whānau-centred, data source. A better understanding of whānau plan goals nationally can help to identify where the gaps are for Māori in mainstream government services. The collation, analysis and reporting of this data will provide Te Puni Kōkiri with the opportunity to provide leadership to the state sector to inform the policy and service delivery responsiveness of government agencies. In particular this information will inform those agencies most able to support the realisation of whānau goals through WIIE, and also whānau outcomes through Whānau Ora whatsoever.
15. Te Puni Kōkiri, and the Ministries of Health and Social Development are actively engaged in the WIIE Fund. Other public sector agencies for example, Education, Justice and Building and Housing are noticeably absent. One of the consequences of this absence is that these government agencies, and others, will lack an understanding of the WIIE Fund and Whānau Ora more generally.
16. It will be important to socialise, share and promote learning with public sector agencies about 'what works' to support whānau transformation. This knowledge can be used to inform changes in the way services are delivered and how resources are deployed within and across agencies to improve the quality, responsiveness and efficacy of services for whānau. In this way, WIIE Fund results can also contribute to the wider Better Public Services programme.

¹ Health, education, cultural, financial, employment, housing, other and social and economic goals (ordered by frequency), see p.22 of this report.



1 Background: Whānau Ora and the Whānau Integration, Innovation and Engagement (WIIE) Fund

The Whānau Ora Approach

- 17. The Whānau Ora Approach is an inclusive, culturally anchored approach to service delivery. It seeks to reflect the aspirations of whānau, support them to be self-managing, and to take responsibility for their own social, economic and cultural development.
- 18. Te Puni Kōkiri is the lead government agency for this inter-agency approach, in collaboration with other agencies including the Ministry of Social Development and the Ministry of Health.
- 19. The Whānau Ora Outcomes Framework provides Government level outcomes for the Programme at three levels: government agency effectiveness designing and implementing Whānau Ora; provider effectiveness delivering Whānau Ora; and whānau development.
- 20. The implementation of Whānau Ora by Te Puni Kōkiri focuses on supporting:
 - whānau integration, innovation and engagement (the WIIE Fund): where whānau are supported to engage with each other, and with other whānau, communities and providers to build resilience, inform and shape service development, access existing services appropriate to their needs and move to greater self-reliance; and
 - service and organisational transformation (provider capability and capacity development and integrated contracting arrangements): where providers are selected through an Expressions of Interest process and will work with government agencies to develop a Programme of Action for delivering integrated services to whānau.

The Whānau Integration, Innovation and Engagement (WIIE) Fund

- 21. In March 2010, Cabinet agreed that Te Puni Kōkiri would administer the WIIE Fund to invest in whānau-led initiatives that build whānau capability, strengthen whānau connections, support the development of whānau leadership and enhance best outcomes for whānau.

Table 1. Te Puni Kōkiri WIIE Fund Investment 2010-2014²

	2010/11	2011/12	2012/13	2013/14 and outyears
\$ m	6.6	6.4	6.4	8.4

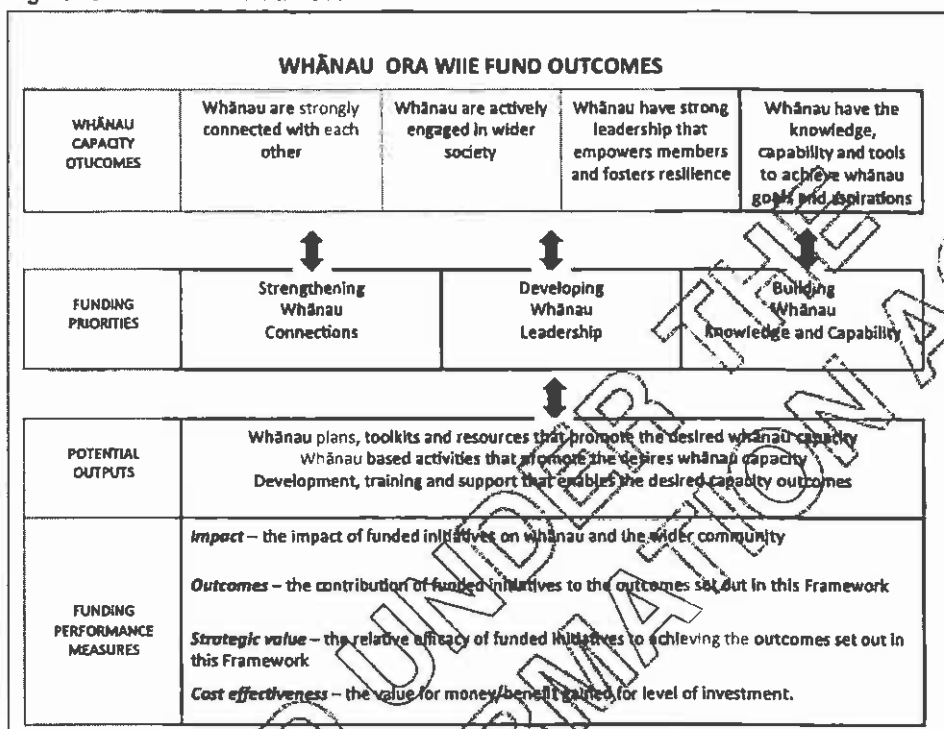
- 22. The purpose of the WIIE investment is to strengthen whānau capacity so that whānau are strongly connected with each other, are actively engaged in wider society; have strong leadership that empowers members and fosters resilience; and have the knowledge, capability and tools to achieve whānau goals and aspirations.

² Cabinet Social Policy Committee [SOC (10) 17/3], Whānau Ora: Whānau Integration, Innovation and Engagement Fund, 2010, p.2.



23. The following figure shows the whānau outcomes sought through the WIIE Fund specifically.

Figure 1. WIIE Fund Whānau Outcomes³



24. Regional Te Puni Kōkiri offices administer regional allocations of the Fund with endorsement and support of Regional Leadership Groups based on Te Puni Kōkiri regional boundaries. The groups comprise community representatives and officials from Te Puni Kōkiri, the Ministry of Social Development and local District Health Boards to provide strategic leadership to ensure whānau initiatives contribute positively to local communities.

25. WIIE applications fall into two application types:

- *planning*; for developing a whānau plan to address problems, needs and aspirations
- *implementation*; for implementing priority aspects of a whānau plan by supporting whānau based activities, or producing information and resources for whānau.

26. The fund is accessible to whānau through an eligible legal entity namely:

- Whānau Ora (Category 1) providers selected through an expressions of interest process; and
- Other (Category 2) providers of health and social services, non-government (not for profit, iwi, rūnanga, hapū, marae, whānau family trusts) primarily in areas of high deprivation and or geographic isolation.

³ Cabinet Social Policy Committee [SOC (10) 17/3], Whānau Ora: Whānau Integration, Innovation and Engagement Fund, 2010, p.13.



Kinnect

27. Whānau can apply for up to five thousand dollars towards a whānau planning proposal and up to twenty thousand dollars (or more at the discretion of the Governance Group and the Te Puni Kōkiri Chief Executive) for a proposal to implement one or more whānau plans.
28. The following activities are eligible for WIIE funding:
- facilitation and reasonable costs of whānau hui or wānanga to develop whānau plans.
 - developing and implementing priority aspects of whānau plans.
 - developing or providing information based tools and resources to whānau.
 - support for whānau-based activities.
 - providing training and development to whānau to meet priority areas as identified in whānau plans.
29. Activities that are not funded include capital items (buildings and vehicles), operational costs, projects that are, or should be, funded by other sources, existing debts and overseas travel.
30. Te Puni Kōkiri developed operational guidelines to support whānau to access, and to support providers and Te Puni Kōkiri staff to administer the WIIE Fund including:
- WIIE Funding Guidelines (web and print materials)
 - WIIE Funding Application–Whānau Planning (web and print materials)
 - WIIE Funding Application–Implementation (web and print materials)
 - WIIE Fund Administration guidelines (June 2011)-specifically for Te Puni Kōkiri staff.
31. In 2010/11 the \$6.6m was to be targeted on activities to support whānau planning, in the main, and it was proposed the investment would be allocated evenly across three categories:
- i. First Wave Whānau Ora providers (Category 1): up to 25 providers and/or collectives.
 - ii. Māori Transition Category (Category 2): including seven providers identified from the Expressions of Interest process and Kaitoko Whānau/Oranga Whānau providers.
 - iii. Regional WIIE category: 10 through Te Puni Kōkiri Regional and National Offices.
32. In 2010/11 \$4.9 million ⁴ was invested in whānau planning and plan implementation through the WIE Fund, and approximately \$7.0 million has been invested to date in 2011/12.

⁴ Te Puni Kōkiri, Report to the House of Representatives on Whānau Ora Non-Departmental Appropriations pursuant to the Section 32A, 2010/11, p. 7.



2 Evaluation methodology

Evaluation as learning – a critical friend approach

33. Evaluation as learning is the overarching philosophy underpinning this work. A focus on evaluation as learning is about a thoughtful, ethically conducted evaluation that generates (new) understandings that can be used to improve, strengthen, or alter aspects of an initiative (Rallis & Rossman, 2000). In this context, evaluators take on the role of critical friends.
34. A critical friend approach to evaluation means that the external evaluators play an advisory role to programme stakeholders; posing critical questions to generate focused and purposeful reflection and/or to point out a need for action. "The critical friend approach is based on the premise that evaluations must not only be methodologically sound but also be useful for programme managers and decision makers. That is, the evaluation must contribute to strategic and operational decision-making" (Balthasar, 2011).

Evaluation scope and context

35. The evaluation design was informed by scoping work undertaken by the Te Puni Kōkiri evaluation advisor and by the needs and context of this specific investment. This scoping work confirmed the developmental nature of the WIIE Fund. This early evaluative work carried out by Te Puni Kōkiri highlighted the evolving nature of the WIIE Fund as it was developing, and informal evaluability assessment suggested there was a need was to find an approach to fit this context. Specifically, this assessment suggested the Fund processes were still evolving to the extent that there was insufficient readiness for taking a more 'traditional' formative or summative evaluation approach to the Fund.
36. In addition there were several⁵ reviews of WIIE Fund that audited process and risk and care was taken to avoid duplicating this work and the findings of these projects.

Developmental Evaluation

37. At its core, evaluation is about critical thinking⁶ and development is about creative thinking⁷. Developmental Evaluation therefore is an approach that combines the rigor of evaluation, being evidence-based and objective with organizational / programme development and learning, which is change-oriented and relational (Gamble, 2006).
38. It has been developed to be implemented in complex situations, that is, where very little is constant over time, new and emerging issues arise, often unexpectedly; there is a continual need to respond and adapt; there are multiple stakeholders with different needs; and where even small actions can produce large effects.
39. Developmental Evaluation is explicitly focused on building the capacity of people in programmes and organisations, that is decision makers at all levels, to systematically use data to think evaluatively and critically as something is being developed. Thus Developmental Evaluation is an evaluation approach that brings together evaluative

⁵ Three internal and external process audits were undertaken during 2011 and 2012 by KPMG for Te Puni Kōkiri; Audit New Zealand and Deloitte as part of the ongoing review work around Whānau Ora.

⁶ See Appendix B

⁷ See Appendix B



thinking and evidence to decision makers as programmes are developed and implemented (Patton, 2012).

40. Developmental Evaluation draws from a range of methodologies and traditions that support change, learning, adaption, and transformation. It is designed to sit alongside and support emergent, innovative and transformative programme or organisational development and on-going adaptation (Patton, 2012).

Key evaluation questions (KEQs)

41. Good questions are the key to evaluation; systematically searching for evidence to answer these questions is the core of evaluative practice.
42. The initial high-level evaluation objectives scoped⁸ related to
- taking stock of WIIE Fund delivery to date; and
 - assessing the quality of the early Te Puni Kōkiri implementation; and
 - exploring early impacts for whānau.
43. In addition it was hoped the evaluation would contribute to Te Puni Kōkiri understanding about:
- the significance of any unintended consequences (positive or negative) of early WIIE implementation; and
 - information needs for future evaluative work such as unpacking key Whānau Ora outcomes terminology.
44. These initial areas of interest for the evaluation were later reframed to align more closely with the whānau-centred kaupapa of the WIIE Fund (and not to duplicate the process focus covered by the three earlier reviews of the WIIE Fund). This whānau-centred policy intent is reflected in the words of the Honourable Tariana Turia, who made the observation that the Whānau Ora Approach⁹:
- ... [is] essentially is about whānau taking responsibility for whānau [...] It places whānau at the centre and empowers them to lead the development of solutions for their own transformation [and is] all about whānau hapū and iwi putting themselves under the microscope, the magnifying glass, or indeed the video camera – looking critically at what their needs are; understanding their priorities and reflecting on issues they seek to address.*
45. The KEQs were redeveloped into three questions that focused on the meaning, experience and results of the WIIE Fund for whānau, namely:
- Is the WIIE Fund providing a platform for whānau transformation?
 - How are whānau accessing and engaging with the WIIE Fund?
 - Are whānau experiencing the WIIE Fund processes as a simple and consistent?

⁸ Te Puni Kōkiri, Terms of Reference for Developmental evaluation of the Te Puni Kōkiri Whānau Ora investments, August 2011.

⁹ Hon Tariana Turia, Minister Responsible for Whānau Ora, Speech to the Māori Association of Social Science (MASS) Conference, December 2010.

*Sampling and data collection*

46. The evaluation was conducted in two phases and a total of 88 people contributed to the evaluation.
47. Phase One was a foundational stage, focused on gaining an in-depth understanding of the WIIE Fund policy rationale, programme intent, fund implementation (including operational guidelines and organisational systems and processes), contract monitoring and the reporting of the outputs and outcomes of WIIE Fund investment. This involved an extensive review of policy and operational documentation¹⁰ and interviews with a range of Te Puni Kōkiri staff responsible for the overall management, implementation, quality assurance and WIIE Fund reporting.

Table 2. Phase one profile of Developmental Evaluation participants

Te Puni Kōkiri staff	Number of participants
Whānau and Social Policy Wāhanga <ul style="list-style-type: none"> Deputy Secretary Managers Lead Advisors 	1 3 2
Relationships and Information Wāhanga <ul style="list-style-type: none"> Deputy Secretary Director Advisor/Analyst 	1 1 1
Regional Office - Whanganui ā Tara <ul style="list-style-type: none"> Regional Director Kaiwhakarite Business Analyst 	1 1 1
Total	13

48. A total of 13 Te Puni Kōkiri staff were formally interviewed in Phase One. In addition there was informal discussion with four other staff members, mostly in relation to provision of WIIE Fund monitoring and reporting data.
49. Phase Two focused primarily on whānau experience of the WIIE Fund processes, identifying outcomes for whānau, and to the extent possible exploring whether the WIIE Fund provides a platform for whānau transformation.
50. Three main factors impacted on our approach to data collection and who we spoke to (sampling). First, Te Puni Kōkiri had commissioned whānau impact stories and this research allowed for the capture of rich whānau stories, in greater numbers than was possible within the timeframe and budget for the evaluation. As a consequence it was decided that the evaluation would undertake fewer whānau interviews than originally envisaged; offset by an increase in the number of regions from which data would be collected from three to four. In addition, it was envisaged that this data would also be available to the evaluation, timeframes permitting.
51. Second, the whānau impact stories research happened almost concurrently with the evaluation. In order to reduce the burden of the evaluation and research on regional staff, as well as on whānau, providers and regional leadership groups it was decided

¹⁰ This included nationally developed operational guidelines, regional guidelines developed by Te Puni Kōkiri regional offices and more general information about the WIIE Fund developed for the general public.



- that each Te Puni Kōkiri region would be involved in either the evaluation or the research.
52. Despite this constraint, regions were selected to provide a broad overview of WII-E Fund activity based on the number of approved WII-E Fund plans per region and Phase One data from regions said to be have high, moderate, or low levels of activity/engagement with the WII-E Fund.
53. The four whānau categories reflect the pathways by which whānau can access and apply for WII-E funding. Whilst most whānau engage with the WII-E Fund through Category 1 and Category 2 providers, small numbers of whānau self-refer and self-manage their application process. Further, in some regions Te Puni Kōkiri regional staff (and not providers) are the key contact for whānau, providing on-going support to assist whānau to apply for WII-E funding.
54. We also aimed to ensure a mix of Category 1 and Category 2 providers. The following table provides an overview of the regions and participant category profile.

Table 3. Phase two profile of Developmental evaluation participants

Stakeholders	Takitimu	Te Arawa	Te Tai Hauāuru	Te Tai Tokerau	Te Whanganui-a-Tara	Total
Te Puni Kōkiri						
Regional Director	1			1	1	5
Kaiwhakarite/Advisor	5	4		1	2	14
Community						
Regional Leadership Group		2	1	1		5
Providers						
Category 1 Provider		11	1	1		14
Category 2 Provider	1	1	5	1		8
Whānau						
Whānau - Category 1		3	1	1		6
Whānau - Category 2	2		2	1		5
Whānau - TPK	15					15
Whānau - Self referred		3				3
Total	27	26	13	7	3	75

55. Seventy-five people were interviewed in Phase Two: 29 whānau; 22 provider personnel; five chairs or members of the Regional Leadership Groups; and 19 Te Puni Kōkiri regional staff.

Presentation of report findings

56. Early findings were presented to Te Puni Kōkiri on 7 June 2012 and feedback from that presentation informed the findings in this report. This report also responds to the requests for additional information, clarification of findings and questions raised at the presentation.



3 Whānau-centred enquiry findings

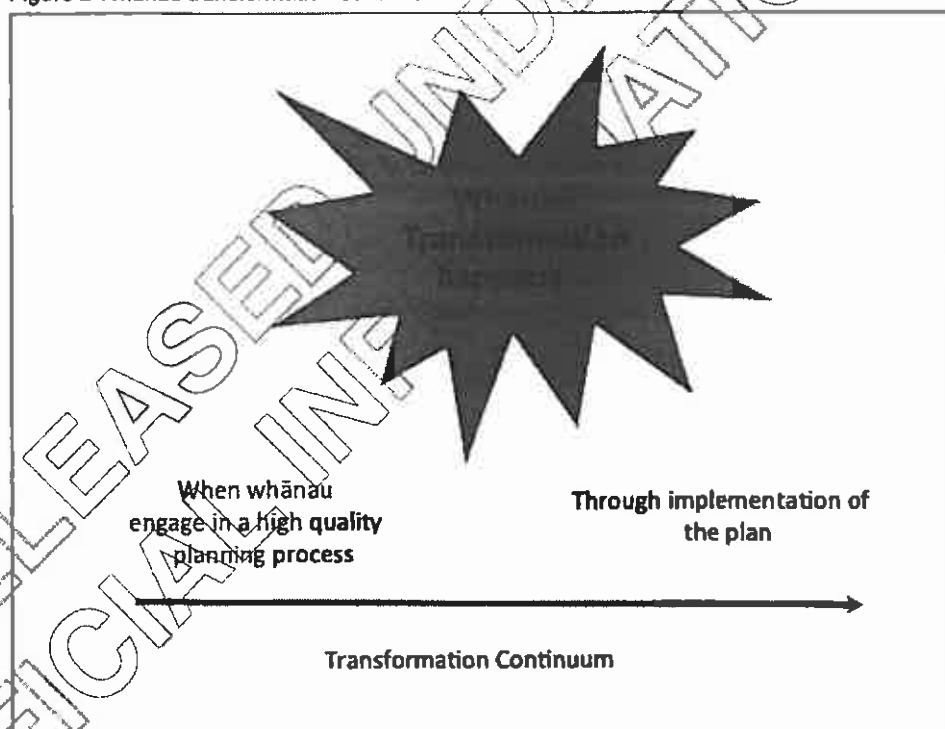
57. This evaluation took a whānau-centred approach to the framing of the evaluation enquiry, the analysis of data and the reporting of findings. The evaluation findings are framed around three questions relating to the WIIE Fund.

1. Is the WIIE Fund providing a platform for whānau transformation?
2. How are whānau accessing and engaging with the WIIE Fund?
3. Are whānau experiencing Te Puni Kōkiri WIIE processes as simple and consistent?

KEQ1 - Is the WIIE Fund providing a platform for whānau transformation?

58. Whānau transformation is occurring when whānau experience or engage in high quality planning processes and/or when whānau implement high quality plans

Figure 2 Whānau transformation continuum



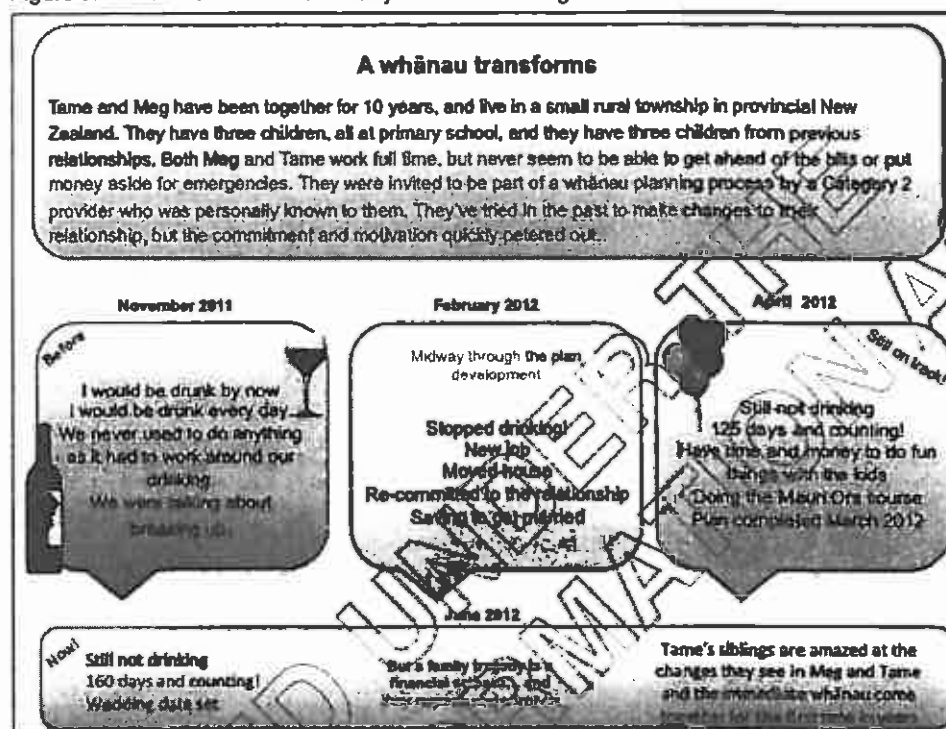
59. For some whānau simply being part of a high quality planning process is life changing and transformative; for others the whānau planning processes sows the seed for transformation, with perhaps small steps being taken as part of the planning process. For other whānau, it is in the implementation of the plan that transformation begins and/or is realised.

60. What follows are two vignettes or whānau stories of transformation. These are real whānau stories, but the names and other factors not germane to the story have been changed to protect the identity of the whānau.



61. The following vignette provides an indication of the transformative potential of high quality whānau planning and implementation processes when undertaken with whānau who want to make a positive change in their lives.

Figure 3. Whānau transformation story – Tame and Meg



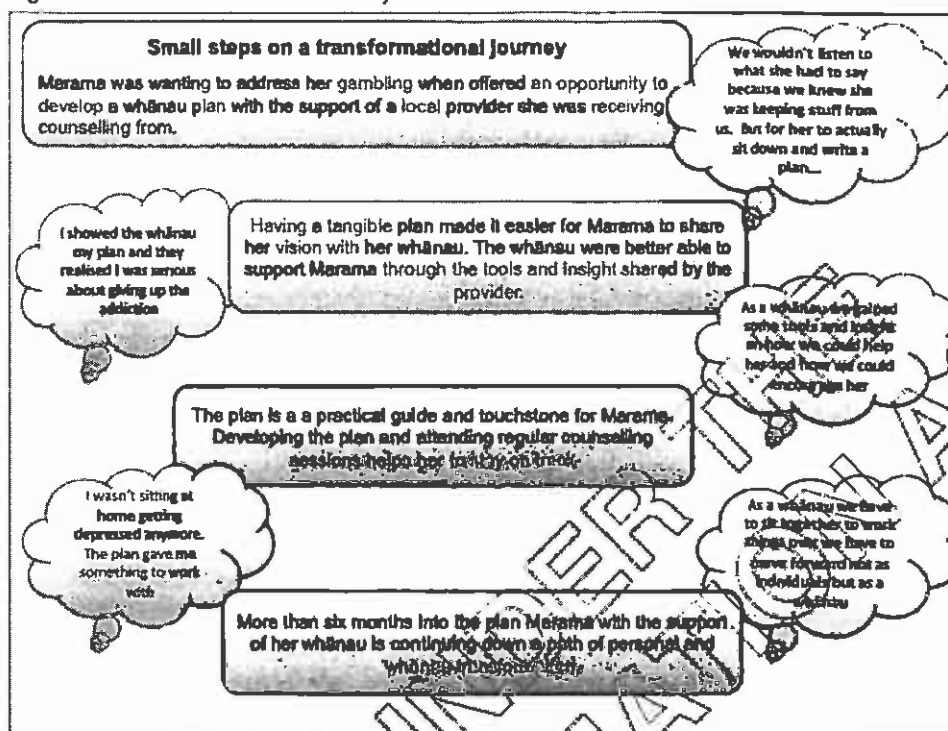
62. This whānau story also highlights the potential 'ripple' effect of whānau transformation to other whānau members not part of the original whānau planning or implementation processes. These whānau can become interested, motivated and inspired when they see whānau transformation in their extended whānau.

63. For one Taitokerau whānau the value and benefits of participating in the planning process were:

- letting the whānau know, they're not alone.
- committing to each other.
- learning about each other and history.
- understanding why things happen the way they do.
- going forward together.
- pulling together and overcoming old hurts.

64. This next whānau story illustrates the gradual and evolutionary nature of whānau transformation as a journey; the value of provider and whānau support to that journey; and shows the seeds of transformation occurring within the whānau as they have seen and been part of their sister's journey to wellness and wellbeing.

Figure 4. Whānau transformation story - Marama



65. However, it is important not to romanticise the planning process. Both whānau and providers reported that it could be a challenging and difficult process.

Reliving the experiences was painful and overcoming some past relationship difficulties was a challenge (Whānau, Te Taitokerau)

For whānau nail biting and painful, excruciating and celebrating as the journey goes on... (Category 2 Provider, Takitimu)

66. From an analysis of a broader set of whānau plans and whānau interviews the evaluation highlighted a number of points of interest around whānau transformation.

67. There is wide spectrum of starting points from which whānau begin to engage with WHE Fund and their transformational journey. On the one hand there are whānau where the planning process involves a starting point of vulnerability or crises e.g. drug and alcohol, family violence and mental health issues and their goals tend to more immediate and short term. On the other hand there are also whānau whose starting point is more stable and their goals tend to have an aspirational trajectory, such as training and education goals that lead to enhanced employment prospects and improved financial wellbeing.

68. There are a range of different planning approaches and models being used by providers and whānau, for example the 3C's model¹¹, Niho Taniwha¹² and the Planning Alternative Tomorrows with Hope (PATH)¹³. Given the range of needs and diverse contexts of whānau, it is likely that some models of whānau planning will be more suited or appropriate for whānau than others.

¹¹ WERA Aotearoa Charitable Trust.

¹² Kaahukura Enterprises Ltd.

¹³ Pipi, K (2010). PATH Planning Tool and its Potential for Whānau Research. Mai Review, 2010, Issue 3.



What don't we know about whānau transformation?

69. There are some remaining questions unable to be answered by the evaluation as well as new questions that have emerged for Te Puni Kōkiri to consider.
- To what extent are transformative outcomes experienced by all whānau accessing the WIIE Fund?
 - What are the range of approaches to whānau planning being used and the appropriateness and efficacy of these approaches for whānau?
 - What are the critical success factors for different whānau planning models?
 - How many whānau are in the vulnerable or aspirational ends of the spectrum of whānau planning?
70. This evaluation also suggests that some whānau have found it useful to share information about the planning process they used to assist other whānau around the selection of their own planning approach.

KEQ2 – How are whānau accessing and engaging with the WIIE Fund?

71. This evaluation took stock of the reach of the WIIE Fund to whānau nationally, and drew on administrative data, census data and Te Puni Kōkiri reports to show:
- the proportion of investment being accessed through Category 1 (Whānau Ora Collective) providers and Category 2 (all other NGOs and whānau trusts) across the two financial years the Fund has been operating; and
 - the proportion broken down by Te Puni Kōkiri administrative regions
 - the number of individuals (within whānau) who have potentially been impacted through access to the Fund by Te Puni Kōkiri administrative regions, and across the two financial years, in the context of Māori population concentrations; and
 - whether non-Māori whānau are accessing WIIE; and
 - whānau aspirations topics emerging through the content whānau plans.

Whānau access to WIIE through Category 1 and 2 providers

72. The following table shows the total amount of WIIE funding invested in whānau planning and implementation activities, across the two financial years 2010/11 and 2011/12, and proportionally by the two provider types (Category 1 and Category 2).



Table 4. Whānau access through providers, 2010/11 and 2011/12

Whānau access to: WIE through	Proportion of total investment 2010/11	Proportion of total investment 2011/12
Category 1 providers	33%	38%
Category 2 providers	67%	62%
Total	100%	100%

73. Table 4 highlights that in the first year of the investment (2011/11), two-thirds (67%) of the investment was accessed through Category 2. In the second financial year however the balance of the Fund has shifted with a drop in the proportion through Category 2 by almost five percentage points (from 67% to 62%).
74. The intent of the WIE Fund, as distinct from the Whānau Ora (Expression of Interest) providers Fund, was to provide a more direct route for whānau to access to Whānau Ora investment for transformation. Therefore it would be useful to know what proportion of whānau accessing through Category 2 providers were self-referred. Furthermore, it would be useful to know what proportion of whānau accessing through Category 2 providers are self-facilitated, as opposed to the proportion seeking provider based facilitation or 'navigation'.
75. The next table provides the total amount of the WIE Fund invested in whānau planning and implementation activities, across the two financial years 2010/11 and 2011/12, and shows this proportionally by Te Puni Kōkiri regional areas.

Table 5. WIE investment by providers and region, 2010/11 and 2011/12

Te Puni Kōkiri administrative region	2010/11		2011/12	
	Proportion of funding through Category 1 providers	Proportion of funding through Category 2 providers	Proportion of funding through Category 1 providers	Proportion of funding through Category 2 providers
Te Taiōkerau	0%	8%	7%	7%
Tāmaki Makāurau	0%	3%	0%	12%
Waikato	3%	9%	0%	4%
Te Moana ā Tōi	0%	17%	0%	7%
Te Arawa	5%	15%	0%	5%
Tairāwhiti	8%	1%	0%	6%
Takitimu	18%	12%	3%	9%
Te Tai Hauāuru	5%	4%	0%	25%
Te Whanganui ā Tara	8%	19%	7%	12%
Te Waipounamu	8%	3%	11%	14%
National	45%	10%	72%	0%
Total *	100%	100%	100%	100%

* Totals may not sum to 100% because of rounding.

76. Table 5 above highlights that the distribution of the WIIIE Fund in dollar terms across Te Puni Kōkiri regions, and for both Category 1 and 2 providers, is quite uneven.
77. It is possible that the large proportion of investment processed through the 'National' administrative region account for some of this apparent unbalance. Specifically, nearly half (45%) in 2010/11 and the majority (72%) in 2011/12 of the Category 1 (Whānau Ora providers) allocation of the WIIIE Fund was processed under the 'National' administrative region. It is unclear whether this means that the Category 1 funding is spread through these providers across the country or whether this is a reflection of the way Te Puni Kōkiri SmartFund categories are being used when processing WIIIE Fund applications.

Which whānau are accessing WIIIE, from where and for what?

78. A scan of selected whānau plan outcomes reports from several Whānau Ora (Category 1) providers delivering WIIIE in the North Island showed evidence that non-Māori whānau are engaging with whānau planning. In two large Auckland collectives, out of sixty-two whānau planning reports, eight whānau were described as identifying as non-Māori, namely as from Pacific Islands, Pākehā and new settler backgrounds. This evidences that the WIIIE Fund is accessible to all New Zealand whānau, albeit to an unknown extent.
79. The next table shows the total number of individuals within whānau involved in the WIIIE funded planning and implementation activities for each Te Puni Kōkiri administrative region.¹⁴ It also shows the total number of individuals by region as a proportion of all individuals involved within whānau nationally. For comparative purposes only, the far right column provides corresponding national Māori population proportions for those regions. This evaluation also suggests that some whānau have found it useful to share information about the planning process they used to assist other whānau around the selection of their own planning approach.

Table 6. Individuals accessing WIIIE by Te Puni Kōkiri region with population comparisons, 2010-2012

Te Puni Kōkiri administrative region	Number of Individuals*	Proportion of Individuals*	Proportion of Māori population†
Te Taitokerau	1,412	4%	8%
Tāmaki Makautau	1,309	4%	25%
Waikato	1,838	5%	12%
Te Moana ā Toi	3,295	10%	7%
Te Arawa	2,208	7%	6%
Tairāwhiti	2,273	7%	4%
Takitimu	5,911	17%	7%
Te Tai Hauāuru	7,937	23%	8%
Te Whanganui ā Tara	3,593	11%	12%
Te Waipounamu	2,368	7%	11%
National*	1,735	5%	n/a
Total all regions	33,877	100%	100%

¹⁴ See Technical Notes in the Appendix for an explanation of proxies and caveats around how the total counts of individuals within whānau and Māori population statistics were derived.



* Source: SmartFund data as at 5 June 2012.

+ Source: Census 2006 derived from Meshblock level population counts.

80. Table 6 highlights that:

- Nearly a quarter (23%) of all individuals within whānau participating in WIE funded activities between 2010 and 2012 were associated with funding originating in the Te Tai Hauāuru region
- The four regions with the highest numbers of individuals within whānau participating in WIE funded activities (Te Tai Hauāuru, Takitimu, Te Whanganui ā Tara and Te Moana ā Toi) accounted for about half (51%) of all individuals funded through WIE nationally.
- The 51% of individuals in whānau in those four regions (see previous point) is proportionally higher than the corresponding proportion (34%) of Māori population across those four regions collectively.
- On the other hand, the Tāmaki Makarau region, which is home to a quarter of all Māori usual residents nationally, appears to have the lowest (equal with the Te Taitokerau region) proportion of individuals in whānau accessing WIE funding. Moreover, because the table above considers funding relative to Māori population statistics only these WIE figures may in fact be an undercount of Māori people accessing WIE. This is because non-Māori whānau are also participating in whānau planning in this region.

81. The spread of whānau accessing the WIE funding across regions to date, does not reflect the initial operational intention of equal allocations across Te Puni Kōkiri regions, as outlined in Section 2 of this report.

82. No single reason is evident which explains the current regional picture of whānau receipt of WIE funding. In part the evidence suggests variable regional capacity and capability (within and across regional offices), limited promotion of the WIE Fund and priority given to other Te Puni Kōkiri activities at the regional level.

It was slow at the beginning. We didn't promote it because there wasn't enough money and we didn't want to raise whānau expectations. (Regional Director, Te Puni Kōkiri).

83. In future the approach to funding allocation could be reviewed as part of a more targeted investment strategy.

84. Te Puni Kōkiri analytical work undertaken between 2011 and 2012¹⁵ provides an early indication of the kinds of aspirations that whānau are pursuing through WIE funded activities. Based on a thematic analysis of the goals and content of funded whānau plans the report summarises the whānau goal categories evident within a sub-set of whānau plans. While limited in scope to analysis of 133 whānau plans submitted in four Te Puni Kōkiri regions only (Te Whanganui ā Tara, Te Moana ā Toi, Tāmaki Makarau, and Te Tai Hauāuru) the data suggest that the proportions of goal categories were overall similar across those four regions included.

85. The whānau plans express the needs, goals and aspirations of whānau and are a rich, whānau centred, data source from which to inform policy discussion with government agencies; particularly those most able to support the realisation of whānau goals.

¹⁵ Work undertaken by a Te Puni Kōkiri Business Analyst working from the Te Whanganui ā Tara Regional Office.



86. The following table outlines the major whānau goal categories (left column) and sub-categories within them (right column), aggregated from the Te Puni Kōkiri regional analytical work. These are presented in order of most predominant categories (from Health down to Social and Economic) and sub-categories (From Fitness and Nutrition to Oral Health with the Health category) respectively.
87. Table 7 suggests that Health, Education and Culture are the top three most frequent areas of focus for whānau in the process of whānau planning.

Table 7. Whānau plan goal categories and sub-categories

Whānau goal categories	Whānau goal sub-categories
Health	Fitness and nutrition, Counselling and other programmes, General health, Maara kai, Holistic wellbeing, Oral health
Education	Further adult education, Self and family improvement programmes, Sports and extra-curricula programmes, Career advice and scholarships, Drivers license, Schools and enrolments
Culture	Te reo, Whakapapa, Wānanga, Tikanga Māori and marae protocols, Performing arts, Kai/kaimoana/kaitiakitanga, Te ao Māori, Cultural history, Rongoa Māori
Financial	Budgeting, Saving and investments, Mortgages, Educational affordability, Self sufficiency, Wills/trusts/insurance, Financial planning and advice
Employment	Employed, Pre-employment, Own business, Other countries
Housing	Home ownership, Papakainga and kaumatua, Healthy homes, Rental accommodation, Home maintenance, Special needs
Other*	Office and IT resources, Transport and services, Business assets, Personal assets and clothing
Social & Economic	Permaculture/horticulture/agriculture/organics, Land and water, Social/community, Energy solutions, Tourism

Source: WHE Whānau Ora Plans analytical data as at 16 May 2012.

88. The next table shows that the top three goals category areas accounted for two-thirds (66%) of all whānau plan goals. The next two big areas, Financial and Employment accounted for just under a quarter (23%) of all goals identified.
89. Table 8 below suggests that education is a significant theme for whānau aspirations through WHE planning processes. This appears relevant to the current composition of government officials on Regional Leadership Groups (RLGs). There may be value for officials from the Ministry of Education to join the RLG tables.



Kinnect

Table 8. Whānau plan goal categories as proportions of total goals, 2010/11

Whānau plan goals category	Proportion of all goals identified
Health	25%
Education	21%
Culture	20%
Financial	12%
Employment	11%
Housing	4%
Other	4%
Social and Economic	3%
Total whānau goals	100%

Source: WlIE Whānau Ora Plans analytical data as at 16 May 2012

What don't we know about the national reach of WlIE to whānau?

90. There are some remaining questions unable to be answered by the evaluation as well as new questions that have emerged for Te Puni Kōkiri to consider.
- How many whānau plans have been completed to date through WlIE Fund planning, and how many of those have been followed up with implementation activity?
 - How many whānau (as opposed to individuals) have participated to date in WlIE Fund planning?
 - To what extent does the picture of whānau plan goals look the same across all WlIE investments nationally?
 - Are the goals for whānau accessing through Category 1 providers the same or different from the goals in plans for whānau accessing through Category 2 providers?

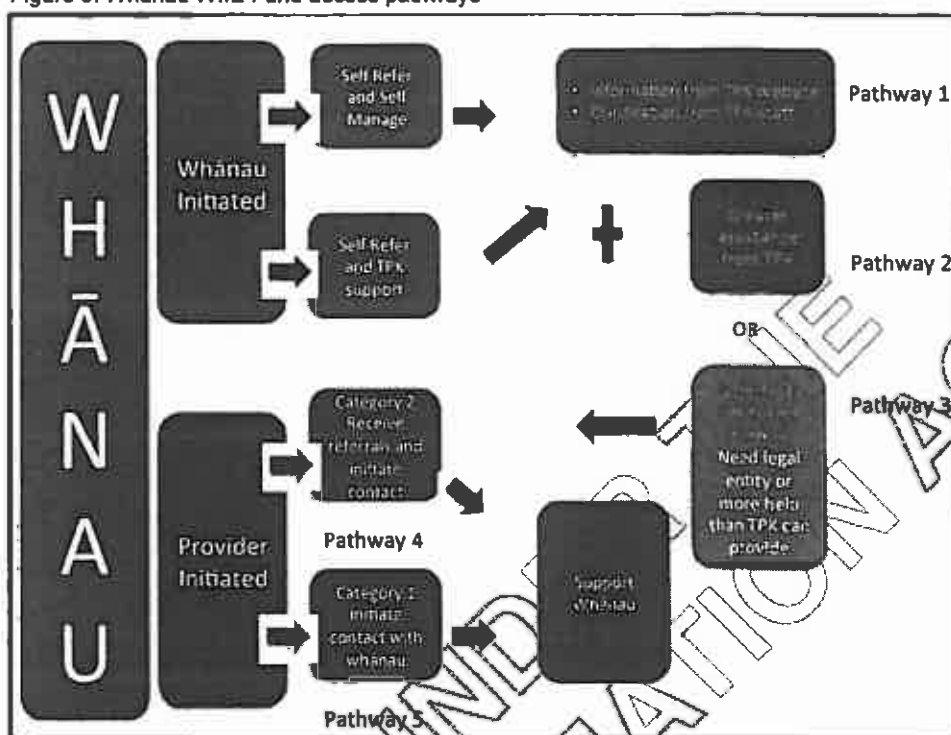
KEQ3 - Are whānau experiencing the WlIE Fund processes as simple and consistent?

Whānau access pathways

91. As discussed earlier, there are three main entry points by which whānau access the WlIE Fund, namely through or via Te Puni Kōkiri, through Category 1 providers and through Category 2 providers.
92. Whānau engagement with the fund is either whānau initiated (self-referral) or provider initiated (provider-referral), as illustrated in the following diagram.



Figure 5. Whānau WIIE Fund access pathways



93. Within this context, there are five pathways by which whānau access the WIIE Fund.

- **Pathway 1: Whānau self-refer and largely self-manage.** Whānau initiate the process by accessing the WIIE fund forms and information from the Te Puni Kōkiri website. They are largely self-directed and self-managing and complete the application by themselves. They may make contact with Te Puni Kōkiri regional office if they require further information or clarification.
- **Pathway 2: Whānau self-refer and receive assistance from Te Puni Kōkiri.** Whānau initiate the process by accessing the WIIE Fund forms and information from the Te Puni Kōkiri website but tend to need more assistance to complete the application. They work more closely with Te Puni Kōkiri regional staff to complete the application form.
- **Pathway 3: Whānau typically contact Te Puni Kōkiri personally** (phone, visit, the office, contact one of the regional staff members directly) to enquire about the WIIE Fund. Te Puni Kōkiri refer or broker a referral to a Category 2 provider because they require more support than Te Puni Kōkiri staff can provide and/or the Category 2 provider is in a position to more appropriately support them through the planning process because, for example, it already has in-depth knowledge of some of the presenting issues for whānau.
- **Pathway 4: Some whānau are referred to Category 2 providers** by Te Puni Kōkiri for whānau planning support and/or because the whānau already has a plan and needs a legal entity to act as the fund holder. Providers' work with referred whānau and contact whānau who they think might benefit from a whānau plan and offer them the opportunity to be part of a whānau planning process. Providers work with individual whānau or with groups of whānau, depending on the capacity and capability of staff, access to external facilitators and the whānau planning model preferred by the provider. Plans

are approved at a regional level, except for plans over \$5,000, which are referred to Te Puni Kōkiri National Office for approval.

- *Pathway 5:* Category 1 providers primarily approach whānau they are working, (or have worked with before) whom they think would benefit from the whānau planning process and having a whānau plan. They to use a mix of individual and group whānau planning models, depending on the capacity and capability of staff and the planning, access to external facilitators and the whānau planning model preferred by the provider. These plans are submitted by the provider to National Office for approval.
94. While the multiple entry points by which whānau can access the WIIE Fund (Te Puni Kōkiri, Category 1 and Category 2 providers) have made it easier for whānau, it has also made it difficult for Te Puni Kōkiri Regional Offices to develop consistent processes because of the lack of a regional relationship with Category 1 providers and the sharing of information between Whānau Ora collectives and Regional Offices.

Whānau perceptions on ease of accessing the WIIE Fund

95. Whānau express some frustrations with changes in the planning process, including requests for:
- multiple whānau signatures or endorsement of the application or plan, and
 - 'specification' around whānau composition, such as preference for intergenerational composition and for multiple whānau (as opposed to individual whānau) as part of a plan.
96. In the main however, whānau are largely positive as suggested in the tone and tenor of their feedback below.

TPK support was excellent responded to calls when messages were left. Clear expectations, options were provided and always available. (Whānau, Te Taitokerau).

I like that TPK came to us and talked to us about it as we didn't know what we were doing and I wanted to gather all my children together. And then we heard about Whānau Ora and they came and had a meal with us and we talked about what it could do. (Whānau, Te Takitimu).

We approached our marae to umbrella whānau and the chairman recommended we contact [Category 2 provider]. Their response time and support was excellent. (Whānau, Te Taitokerau).

The language used in the application was difficult to understand so needed help with that. (We) got help from TPK and they 'translated' the process and forms to the whānau. (Whānau, Takitimu).

The WIIE Fund framework was re-developed with new decision-making guidelines (for Regional Offices). [T]his meant re-engaging with some whānau and notifying them of these decisions. This received mixed responses from whānau. (Regional Director, Te Puni Kōkiri).

97. Whānau perceptions of the WIIE Fund are not only based on the pragmatics of the application process, for example clarity of the information, timing and timeliness of support, but also on the value of the planning process and the plan to them. Where the outcome is a positive one, then whānau feedback also tends to be positive.



Kinnect

[Name] is such a good counsellor, she didn't hand it to me on a platter, she made me work, she made me go over the stuff that I didn't really want to go over, the stuff that I was avoiding so I could develop the plan that would work with me. I had to face a few things there I hadn't looked at in the past or the present. (Whānau, Te Arawa).

Like I don't even have to lie no more, you know just to cover my tracks you know? And my lie gets upon a lie and upon a lie, upon a lie and then... You know. It's just been a lie free environment since we started this Whānau Ora. It's awesome. It really is. (Whānau, Te Tai Hauāuru).

98. To support completion of the WIIE Fund application process whānau suggest having example applications, lists of facilitators, a standard support letter which all whānau could sign, a tick box template for whānau profiles, and providing examples of what worked. Interviews undertaken as part of the evaluation also suggest that some whānau have found it useful to share information about the planning process they used to assist other whānau around the selection of their own planning approach.

Regional Offices focus on delivering a positive whānau experience

99. A reoccurring theme from all Regional Directors and Te Puni Kōkiri regional staff was a focus on ensuring that all whānau engaging with the WIIE fund process have a positive and consistent experience.

To ensure that the whānau experience with the WIIE fund process is a good one and a consistent one within the region regardless of their point of entry. (Regional Director, Te Puni Kōkiri).

100. Tactically deploying staff, developing tailored communications and collaboratively engaging with Category 2 providers have been the main mechanisms used to support delivery of a positive WIIE Fund experience.

One Kaiwhakatake was moved into a role overseeing and developing processes for consistency and quality. (Regional Director, Te Puni Kōkiri).

101. Regional Te Puni Kōkiri offices have employed and deployed their staffing resource in a number of different ways to support engagement with whānau. This includes:

- ensuring that all staff have a good base level of knowledge through staff training, office 'champion' or mentor to be able to respond to enquiries
- dedicated person/personnel who handle all general enquiries and 'templated' communications for use in email and telephone responses
- dedicated person/persons responsible for the on-going engagement and support of whānau and quality assurance.
- developing template communications for use in presentations and on-going engagement with whānau.
- whole of office approach to the delivery of the WIIE Fund.
- regular feedback and reflection on lessons learned, what's working well, not working and emerging good practice.
- regional fora with providers to identify issues, share tools and resources, and what's working well, not working and emerging good practice.



Kinnect

102. A number of Te Puni Kōkiri regional offices have developed their own communications and presentations as well as their own guidelines to support implementation.

The website and promotions are not very whānau friendly as whānau feedback indicates that they don't understand and TPK staff encourage them to come in. It can put whānau off when they can't understand the form. [We] modified things as we went along. (Regional Director, Te Puni Kōkiri)

103. Thus two main processes are operating in the regions. One where there is a high level of visibility and on-going engagement by Te Puni Kōkiri staff with whānau about the WIIE Fund. The second where Te Puni Kōkiri receive whānau enquiries and engage them through the initial stages of the process¹⁶ and then refer them on to a Category 2 Provider who will support them with facilitation and planning activities.

The Te Puni Kōkiri Kaiwhakarite role has therefore developed to include; initial engagement and assessment, brokering to a Category 2 Provider, support and development of processes for providers and their facilitators so there are consistent regional practices occurring for whānau. (Regional Director, Te Puni Kōkiri)

104. Te Puni Kōkiri staff identify the following factors as 'working well' in the implementation of the WIIE Fund:

- the development of a consistent regional approach
- regular hui with Category 2 providers
- Category 2 providers as the umbrella group of whānau who don't have a legal entity
- increased understanding by staff and providers about what whānau-centred practices
- the development of regional resources and guidelines
- the commitment of regional staff, including working weekends and nights, to the success of whānau ora and the WIIE Fund
- Regional Leadership Groups.

Role of providers in facilitating whānau access to WIIE

105. Category 2 providers have been used in a number of ways to support implementation of the WIIE Fund; Firstly, they support whānau who need a greater level of assistance than Te Puni Kōkiri staff can provide; Secondly, they work with whānau who might need or benefit from specialist assistance, for example planning which takes account of personal or family functioning issues such as addictions or anger management issues; Thirdly, Category 2 providers have been used essentially as a 'capacity' partner to increase the reach of the WIIE Fund, that is, the number and breadth of whānau accessing the Fund.
106. Te Puni Kōkiri regional staff expressed some concern about the varying capacity and capability of providers initially.

¹⁶ This includes establishing whether they meet the criteria, and writing a 'whānau terms of reference' (document that assists whānau to clarify and describe what they want to do through the WIIE fund and the next steps they need to take).



Some feedback from whānau has been that certain providers rush through the process rather than walking alongside them taking an enabling approach. It may be that some providers need to look at further training and support for kaimahi to equip them to implement the Fund in a way consistent with the philosophy underpinning it. It is important that whānau are empowered through the process rather than undermined. On balance approximately half the providers are doing well and the other half need to improve. (Regional Director, Te Puni Kōkiri).

107. However these concerns have largely been addressed or are being addressed.

All providers are good just needed some coaching around what the plans look like. [The] majority we would support again with further applications under WIIE. They are getting better at it. We are all learning and everybody is getting better. It's not always easy (Regional Director, Te Puni Kōkiri).

108. Providers have responded to the capacity and capability issues by using a range of different approaches to deliver WIIE Fund such as:

- employing new staff with a designated role for WIIE Fund.
- recruiting facilitators, as required, based on the skill set needed to support the whānau e.g. working with whānau who have members with disabilities.
- utilized existing staff or teams and including the WIIE Fund work into their existing roles.
- using contractors to co-ordinate WIIE Fund on behalf of their organization and work with whānau.

109. Te Puni Kōkiri regional offices see the value of Category 2 providers to the WIIE Fund process as providing a legal entity for whānau to formally engage with the WIIE Fund; providing additional capacity to do the work, engage with whānau and importantly leveraging provider community connections with whānau and with other community organisations.

There is added value in whānau engaging with providers as it enables them to build a relationship and learn about what services, supports and resources that provider has that they can access if they choose to. Also over 90 percent¹⁷ of whānau applying to the fund don't have a legal entity and therefore must engage with one and the Providers have enabled this to happen. (Regional Director, Te Puni Kōkiri)

110. Providers are positive about the practices they are using to support whānau to self-determine and lead their own planning process. These practices include:

- identifying who can assist whānau (internal and external to the organisation).
- describing whānau profile in depth so whānau and the funder can make 'good' realistic decisions about the activities that require resourcing.
- scoping a whānau terms of reference or instructions, such as if whānau need an external facilitator-identifying the role of that person and specifying the skills needed to successfully work with whānau.
- giving whānau the choice to work with the provider on an individual whānau basis, or as part of a group/cluster of whānau.

¹⁷ Referring to a single region only.



- developing a whānau agreement form, which sets out the roles and responsibilities of the provider and the whānau.

So we developed a whānau agreement form. The whole idea of that was so they were clear that they have an option: They could go and do it themselves; or if they wanted, work with us. This was what we/they were going to do, even down to how the funds were going to be used. To me it was about giving them a little bit of clarification and a choice – this is an option, or, you can do it yourself. (Category 2 provider, Te Tai Hauāuru)

Te Puni Kōkiri views on how to improve processes for whānau

111. Te Puni Kōkiri staff indicate there is still room to improve on the WIIE Fund processes so that the whānau experience of the fund is as simple and consistent as it can be. In particular, there is a strong recommendation to improve the language and clarity of website information, promotions and forms. Other suggestions include:
- more consistent communication between Te Puni Kōkiri National and Regional offices especially in relation to Category 1 and Category 2 providers.
 - formal relationship with Category 1 providers and Te Puni Kōkiri regional offices to share information and to support a consistent regional whānau experience of the WIIE Fund
 - developing standardised national protocols and investment benchmarks.
 - staff training – internal investment in cluster training opportunities to share experiences, learning, exemplars, and good practice examples.
 - providing more specific examples in the guidelines about entitlements and criteria e.g. what resources mean, what they can budget for.
 - developing standardised national protocols and investment benchmarks.
 - developing tools and resources to assist Te Puni Kōkiri to work with whānau such as an overview of the process for whānau with key questions outlined such as:
 - what do you want to achieve?
 - how are you going to get there?
 - who is going to do what to get there?
 - what is the time frame for achieving your whānau goals?
 - clarifying (and differentiating) how the WIIE Fund fits with other Te Puni Kōkiri work such as the Whānau Social Assistance programme.
 - adding whānau goal specific questions in the WIIE fund application form.
112. A number of Te Puni Kōkiri regional offices have developed their own communications and presentations and their own guidelines to support implementation.
113. Despite implementation concerns and challenges, Te Puni Kōkiri staff and providers are nevertheless highly positive about the empowering potential of the WIIE Fund processes in and of themselves.



Whānau Ora (the WIIE Fund) is the epitome of everything else that TPK has ever done as this is whānau making their own plans and decisions for their lives. (Regional Director, Te Puni Kōkiri).

Regional Leadership Groups' support of whānau engagement in WIIE

114. Despite some initial teething problems primarily around role clarification, Regional Leadership Groups make a strong and positive contribution to the implementation of the WIIE Fund. This is particularly evident in the regions with high whānau reach (where the fund is reaching whānau numbers in excess of regional Māori population proportions).

A key achievement for this role is the number of WIIE plans developed. (This) is largely attributed to two key things; a very effective regional Te Puni Kōkiri office, and the approach taken by the RLG in getting the messages out to the community. (Chair, Regional Leadership Group).

115. Like Te Puni Kōkiri staff, Regional Leadership Groups have a strong focus on:
- ensuring the whānau experience of the WIIE is simple and consistent; and
 - ensuring providers engaging with the WIIE Fund have clear and consistent information about the process to support engagement with whānau; and
 - maximising whānau access to the WIIE Fund through promotion of the Fund and identifying and targeting areas of need.

RELEASED UNDER THE OFFICIAL INFORMATION ACT



116. The following information box (Figure 6) outlines the approach taken by one Regional Leadership Groups to achieving these goals.

Figure 6: Regional Leadership Group strategies for whānau engagement

1. **RLG has a clear strategic vision** (and a written plan) and the Chair attempts to keep the activity of the RLG consistent with the strategy. The regional office understands the vision is and has a clear role in operationalizing it.
2. **RLG meetings are taken out to communities** across the rohe (region) and the first part of the meeting is dedicated to hearing from whānau and answering questions. Up to five TPK regional office staff are available at the meeting to assist individual whānau with plans.
3. **Community newsletters are distributed** before the RLG meeting to stimulate interest. Other organization and agency databases are used to distribute pānui (communications) about the WIIE fund and the meetings.
4. **Whānau engagement is the priority for the RLG.** A whānau 'champions' approach is used to encourage wide uptake of the WIIE Fund; where whānau champions work with their wider whānau to talk about the fund and encourage members to apply.
5. **Cross sector agency and community representation** on the RLG has been very active in helping whānau access resources and advice.

117. Three overarching issues are of concern to Regional Leadership Groups:

- the role and engagement of iwi with the WIIE Fund
- the role and engagement of government agencies as Regional Leadership Groups members and their understanding of the WIIE Fund
- information on how to better support whānau.

118. One of the challenges identified by Regional Leadership Groups has been engagement of iwi leaders in the uptake of the WIIE fund; this is variable within and across regions with some iwi being proactive and having conversations directly with the Regional Leadership Groups or Te Puni Kōkiri and other iwi remaining largely disengaged. In addition, a further challenge has been with those iwi leaders that are engaged to get them thinking beyond the possible direct financial advantage the WIIE fund may bring to iwi and to thinking about how to get iwi whānau involved. Holding an iwi leaders' symposium to discuss the WIIE fund and how this might facilitate whānau development is proposed.

119. One of the key benefits of Regional Leadership Groups is the collective knowledge and networks they have.

The RLG's contribution has been very valuable because of the skills and expertise of members. They have 'local intelligence' and an interest in connecting more with entities such as DHBs and MSD. The latter still have a focus on individuals and the RLG wants to broaden this to whānau. The RLG is committed to connecting with whānau. (Regional Director, Te Puni Kōkiri)



120. Government agency membership and participation varies across regions. While the Ministries of Health and Social Development are often present, other Ministries like Education, Justice and Building and Housing are noticeably absent. Given the number of whānau plan goals that focus on these various areas, the ability to support and link whānau to these relevant agencies (and their information, support and services) is key. One of the consequences of this absence is that these government agencies and others lack understanding of Whānau Ora and their role and responsibility as part of a whole government approach and the Better Public Service strategy to whānau ora (whānau wellbeing).

Other Government departments need to appreciate what TPK is trying to do rather than sitting behind closed doors and thinking that money could be used elsewhere. (Chair, Regional Leadership Group).

We have three agencies at the table, Justice, Education and not accountable. Training for agencies would be useful as a way of getting them to understand the kaupapa. (Chair, Regional Leadership Group).

121. A proposed way forward might be a direct approach at a local level to regional agencies - ideally supported by a similar approach by Te Puni Kōkiri to the Chief Executive and senior officials at National Office level of the 'absent' government agencies.
122. Maximising the WIE Fund potential to best effect for whānau is a priority for Regional Leadership Groups. Regional Leadership Groups would like easier access to regional and whānau data so they are better informed about how and where to support whānau. Therefore, additional Te Puni Kōkiri support to develop regional profiles and profiles of communities would add particular value.

Identifying areas of need is a scattergun approach at the moment. [We need] better analysis on where support is needed and communities of need. (Regional Director, Te Puni Kōkiri).

123. In the next phase of WIE Fund implementation, a more strategic focus is suggested for Regional Leadership Groups to secure and support whānau engagement, access and experience of the WIE Fund. This includes:

Maintaining the strategic role Regional Leadership Groups rather than operational role. The role of Regional Leadership Groups should be to facilitate discussion and development and ensure compliance with policy guidelines.

- **Strengthening the links between Regional Leadership Groups and Te Puni Kōkiri National Office** so that decision-making and any further policy development is communicated effectively.
- **Promoting WIE through a wider range of community and agency organisations.** Greater involvement of whānau, iwi, and cross sector agencies in the getting information out about the WIE Fund.
- **Improving the quality and format of WIE Fund communications** so that whānau and providers easily understand the information; and ensuring that the communication is as clear as possible so whānau are not confused about types of initiatives and funding available.

124. In addition, Regional Leadership Groups identified the following current and on-going information gaps that need to be addressed:



Kinnect

- knowledge on the value and relative strengths of whānau and community development models.
- continued monitoring on how whānau goals are being realised.
- documentation on how government agencies are responding to whānau and, where relevant, changing their approaches to be more effective for whānau.

What don't we know about whānau experience of accessing the WIIE Fund

125. There are some information gaps and remaining questions unable to be answered by the evaluation as well as new questions that have emerged for Te Puni Kōkiri to consider.

- How many whānau largely, or mostly, manage the development of their whānau plans? In other words, what is the number of whānau initiated (self-referral) WIIE applications that are self-managed and Te Puni Kōkiri assisted?
- What pathway options are associated with the most positive whānau experiences of the WIIE Fund and whānau transformation?
- What capability is needed at a regional level by Te Puni Kōkiri and providers to ensure whānau experience of the WIIE Fund is positive; and how can capability optimally be developed across and within regions?
- What needs to be done to secure the engagement, participation and contribution of a wider group of government agencies to Regional Leadership Groups, and to Whānau Ora more generally?

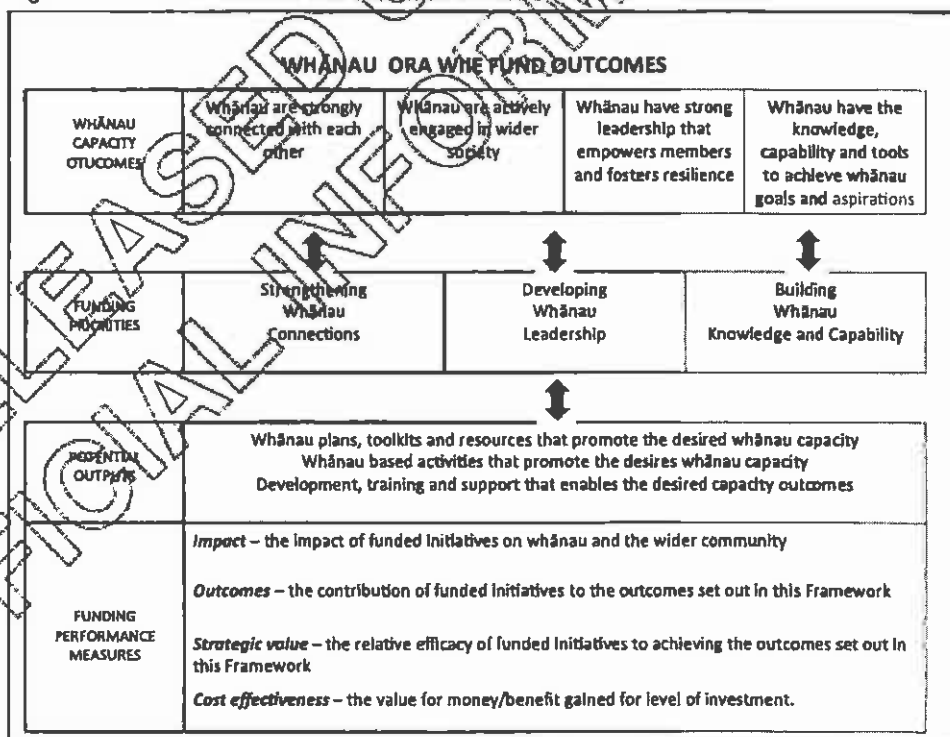
RELEASED UNDER THE ACT
OFFICIAL INFORMATION ACT



4 Delivering best results for whānau through the WIIE Fund

126. This Developmental Evaluation approach has a focus on learning that generates understanding to improve or strengthen an initiative and to contribute to strategic and operational decision-making. Specifically:
- how and in what way is the WIIE Fund leading to whānau transformation; and
 - how can the WIIE Fund be strengthened, enhanced, improved, to better support whānau transformation?
127. This section discusses some policy and operational considerations for the WIIE Fund based on the evaluation findings by considering the following questions:
1. Is the WIIE Fund providing a platform for whānau transformation?
 2. How are whānau accessing and engaging with the WIIE Fund?
 3. Are whānau experiencing the WIIE Fund processes as simple and consistent?
128. The 2010 WIIE Funding Framework¹⁸ provides a useful frame for reflecting on the findings of this evaluation and what they mean for the WIIE Fund in 2012 and beyond.

Figure 6. Whānau Ora WIIE Fund outcomes framework



¹⁸ Cabinet Social Policy Committee [SOC (10) 17/3], Whānau Ora: Whānau Integration, Innovation and Engagement Fund, 2010, p.13.



Is the WIIE Fund providing a platform for whānau transformation?

Evaluative Conclusion

129. There is good evidence that the WIIE Fund is providing a platform for whānau transformation through high quality whānau planning and implementation processes. Transformational outcomes are evident for some whānau when planning and implementation processes are done well. However there is a lack of evidence about the extent to which transformative outcomes are shared or experienced by all whānau accessing the WIIE Fund.

What supports whānau transformation through the WIIE Fund?

130. We know that high quality planning supports whānau transformation and because the WIIE Fund at times engages with vulnerable whānau then an ethic of care must be an integral component of any engagement. Research is required to identify effective whānau planning models whānau including tools and resources funded through the WIIE Fund.
131. We also know that whānau transformation is occurring when whānau engage in a high quality planning process and or through the implementation of their plan. Thinking about planning and implementation as discrete, sequential, activities leading to transformation does not reflect the real world experience of some whānau, nor the potentiality of high quality planning processes for transformation.
132. Despite this continuum of whānau transformation, Te Puni Kōkiri Regional Directors and Regional Leadership Groups want clear and specific operational policy and guidance. The guidance sought relates specifically to the question of the balance between planning and implementation activities (and the rationale for this), and how these decisions will be managed and communicated by Te Puni Kōkiri Regional Offices to whānau and providers.

Address WIIE Fund performance monitoring and reporting gaps

133. Currently there are gaps in the whānau (and WIIE Fund) performance monitoring and data collection systems. As a result, Te Puni Kōkiri is not able to tell a robust and convincing story of the contribution of the WIIE Fund to the achievement of longer-term outcomes of self-management, living healthy lifestyles, participating in Te Ao Māori, economic security, successful involvement in wealth creation, and to be cohesive, resilient and nurturing¹⁹—the Whānau Ora outcome goals.
134. Whānau stories are a powerful device to convey whānau transformation. On their own however, they do not provide a sufficient performance story, of the contribution and breadth of impact, of the WIIE Fund to whānau transformation.
135. There is a need to demonstrate both the nature (quality) and extent (quantity) of success, in particular around whānau transformation. Steps to ensure that Te Puni Kōkiri has the data needed to tell the WIIE performance story are critical if the Ministry is going to be able to address the Funding Performance measures in Whānau Ora WIIE Fund Framework (see Figure 1, page 8 of this report).

¹⁹ Cabinet Social Policy Committee [SOC (10) 17/3], Whānau Ora: Whānau Integration, Innovation and Engagement Fund, 2010, p. 6



136. Table 9 maps out a suggested approach to address the current information gaps regarding whānau results. It identifies the evidence required, why the evidence is needed, and suggests both data collection approaches and data collection tools.

Table 9. WIIE whānau results evidence required and suggested collection

Evidence required	Why	Collection approach	Collection tool
Number of whānau	Whānau Ora/WIIE Outcomes frameworks and WIIE require results at the individual and whānau levels. Te Puni Kōkiri needs to report how many whānau nationally are impacted by this investment.	'Whānau' is self-defined and provided by whānau and captured at the WIIE application process. SmartFund is already used to collect 'number of individuals' for each WIIE investment.	Application form/SmartFund
Whānau ethnic identification	Whānau Ora is intended to be for all New Zealanders. To demonstrate that it is, Te Puni Kōkiri needs to report the ethnic groups of whānau impacted by this investment.	Whānau ethnicity is self-identified by whānau on application through Te Puni Kōkiri and/or providers. Suggest Statistics New Zealand standard ethnicity question to allow multiple responses.	Application form/SmartFund Some Category 1 providers already collect this in manual WIIE reporting.
Whānau goals identification	Understanding whānau goal areas – even at a high level – will inform Te Puni Kōkiri on priority whānau aspirations and needs to inform policy development.	Requires a multiple drop-down/write in approach. Categories to inform this are already provided by Te Puni Kōkiri Whānau Plan Goals Report (2011)	Application form/SmartFund
Whānau impact (change)	Evidencing Whānau Ora outcomes through WIIE is fundamentally about answering the question "what and how much <u>change in wellbeing</u> have whānau experienced?"	Simple descriptive questions: - <u>What changed</u> for this whānau? - <u>Why is this is significant change</u> for the whānau? Te Puni Kōkiri Contracts Advisors and Regional Directors already capture similar data (albeit not on <u>change</u>) at the WIIE investment QA stage.	Application form/SmartFund Could test through Provider systems (Whānau Ora provider outcomes trial)
Whānau wellbeing outcome (change measure)	Evidencing Whānau Ora outcomes through WIIE is fundamentally about answering the question "what and how much <u>change in wellbeing</u> have whānau experienced?"	A whānau wellbeing rating should be <u>determined by whānau</u> (and/or providers). Requires capture once at WIIE application <u>and</u> again at close through – for example - a simple rating scale from 1 (Pai rawe) to 9 (Rawe kore). Measuring change requires <u>before and after</u> data. Has potential value as a proxy indicator for 'vulnerable whānau' in WIIE too (where for example 6 to 9 could be assumed to indicate vulnerability).	Application form/SmartFund Could test through Provider systems (Whānau Ora provider outcomes trial)



137. All of the evidential outcome data suggested in Table 9 is informed by and builds on current data collection happening for the WIIE Fund: including systematic processes (WIIE application forms and Te Puni Kōkiri SmartFund contract management); and other forms (such as provider-generated approaches and templates in the case of Category 1 providers).
138. The suggested data collection and tools are realistic for the WIIE Fund - given the size and scope of this investment. Implementing would improve on already existing processes and systems, which is more realistic and cost-effective than building new systems. The only additional suggestion is that training to support Te Puni Kōkiri staff would augment consistent and high quality data collection to meet evidential needs.
139. Evidencing whānau results through WIIE is fundamentally about answering the question, what and how much change in wellbeing (or, transformation) have whānau experienced? At the strategic level of Whānau Ora outcomes, more robust and detailed data on whānau change may well be necessary. In the case of WIIE specifically, measuring change in whānau wellbeing in a way that is immediately workable in the real world requires an approximate answer to a very important question – a simple realistic measure is better than nothing.

How are whānau accessing and engaging with the WIIE Fund?

Evaluative conclusion

140. The WIIE Fund is reaching whānau nationally, however, the Fund allocations are very uneven across Te Puni Kōkiri regions. The evidence suggests variable regional capacity and capability (within and across regional offices), limited promotion of the WIIE Fund and priority given to other Te Puni Kōkiri activities at the regional level are contributing to the picture of differential whānau access. There is also some early evidence to suggest that the WIIE Fund is reaching all New Zealand whānau, as per the policy intent.
141. Many questions remain about how many whānau WIIE Fund plans have been completed to date; how many whānau (as opposed to individuals) have participated in WIIE Fund planning and what the profile of whānau goals nationally is. Suggestions about how to address the current information gaps are outlined in Table 9.

Consolidate and share good practice knowledge for better results and value for money

142. There is an emerging body of good practice evidence about strategies to engage and support whānau vested in providers, Regional Leadership Groups and Te Puni Kōkiri. In addition, there has also been investment in research to develop toolkits and resources to support whānau engagement and planning and implementation processes. The collation and sharing of this information will provide Te Puni Kōkiri the ability to leverage good practice and resources, to strengthen engagement with whānau and ultimately contribute to whānau transformation.



Are whānau experiencing the WIE Fund processes as simple and consistent?

Evaluative conclusion

143. Whānau enjoy good access to the WIE Fund via three main entry points; via Te Puni Kōkiri, through Category 1 providers and through Category 2 providers. Whilst the multiple entry points have made it easier for whānau, it has made it difficult for Te Puni Kōkiri Regional Offices to develop regionally consistent processes because of the lack of a regional relationship with Category 1 providers and the sharing of information between Whānau Ora collectives and Regional Offices. Whānau however are mostly positive about their WIE Fund experience and are generally unaware of regional variability or Te Puni Kōkiri staff concerns.

Socialise 'what works' to support whānau transformation and contribute to Better Public Services

144. The Better Public Service strategy and goal of improved public sector performance – delivery of better, smarter and quality public services – requires changes to how State services, and contracted service providers, currently operate and improved cross agency collaboration, driving delivery of results.
145. Te Puni Kōkiri, the Ministry of Health and the Ministry of Social Development currently have a high level of engagement in Whānau Ora at a policy level and are well represented operationally in the Regional Leadership Groups throughout the country. In contrast, other agencies that deliver services in the social sector, and that are critical to the realisation of whānau transformation, are noticeable in their absence. In particular, this includes the education, justice and housing sector agencies.
146. The WIE Fund plans provide an early indication of the goals²⁰ and aspirations that whānau are pursuing through WIE funded activities and are a rich, whānau-centred, data source, which identify where the gaps are for Māori in mainstream government services. The collation, analysis and reporting of this data provides Te Puni Kōkiri with the opportunity to provide leadership to the state sector and to inform the policy and service delivery responsiveness of government agencies, particularly those most able to support the realisation of whānau goals.
147. It is important to socialise, share and promote learning among public sector agencies about 'what works' to support whānau transformation through providers, Regional Leadership Groups and Te Puni Kōkiri. This knowledge may be used to influence and support changes in the way services are delivered and organisational resources deployed to improve the quality, responsiveness and efficacy of these services for whānau. In this way, Te Puni Kōkiri WIE Fund results can in future make a contribution to the wider government strategy of Better Public Services.

²⁰ Health, education, cultural, financial, employment, housing, other and social and economic goals (ordered by frequency), see p.22 of this report.



5 References

Balthasar, A. (2011). Critical Friend Approach: Policy Evaluation Between Methodological Soundness, Practical Relevance, and Transparency of the Evaluation Process . *German Policy Studies* , 7 (3), 187-231.

Gamble, J. (2006). *Developmental Evaluation Primer*. Montreal: The J.W. McConnell Family Foundation.

Patton, M. Q. (2011). *Developmental Evaluation*. Guilford.

Patton, M. Q. (2012). *The Essentials of Utilization Focused Evaluation* Thousand Oaks, Sage Publications.

Rallis, S. F., & Rossman, G. B. (2000). Dialogue for Learning: Evaluator as Critical Friend. *New Directions for Evaluation* , Summer (86), 81-92.

RELEASED UNDER THE
OFFICIAL INFORMATION ACT



Appendix A: Non-interview data sources and technical notes

Non-interview data sources

148. The following data sources informed this evaluation:

- Te Puni Kōkiri contract management system data (SmartFund)
- Māori Population statistics (2006 Census, Statistics New Zealand)
- Te Puni Kōkiri WIIE Whānau Plan analysis (Whanganui-ā-Tara Regional Office project, 2011).

149. In considering the information presented in tables throughout this report it is useful to note the following technical explanations.

Te Puni Kōkiri administrative data (SmartFund)

150. The SmartFund data used in this report was extracted using an SQL query because some of the information needs were not available through standardised SmartFund reporting templates.
151. For example, the system does not currently flag WIIE providers as Category 1 or Category 2. Therefore manual work was undertaken by two Te Puni Kōkiri staff to identify Category 1 investments. The unique code identifiers for those providers were used to output Category 1 and Category 2 separately for Tables 4 and 5.
152. In Table 6 the source region for each WIIE investment is used as a proxy for the region of location for whānau (individuals) accessing the Fund. This is an approximate count because some whānau members involved in the plan may not be usual residents (per the census data) in the Te Puni Kōkiri region in which the WIIE investment was processed.
153. In SmartFund the number of individuals in a whānau accessing the Fund is collected as a range. In order to sum total number of individuals by region, the following rule was applied to convert the range data into whole numbers:

SmartFund (range data)	Derived data (to whole numbers)
1-10	5
11-20	16
21-50	38
51-100	76
100+	100



Māori population statistics (2006 Census, Statistics New Zealand)

154. The percentage figures in Table 6 were calculated based on sums of the counts for each of the Statistics New Zealand Meshblock dataset areas within each of the Te Puni Kōkiri administrative regions.²¹
155. While this data is intended as indicative only, it is useful to note that these numbers will not be exact due to:
- Statistics New Zealand privacy protocols of randomly rounding numbers (the Meshblock data was already rounded before being summed by Te Puni Kōkiri region); and
 - The need to treat suppressed values as zero; and
 - Real population change since Census 2006.

Whānau Plan analysis 2011 (Whanganui ā Tara Regional Office)

156. The whānau plan goal categories and sub-categories outlined in Tables 7 and 8 are sourced from an internal report on the content of whānau plans in four Te Puni Kōkiri regions undertaken by a Te Puni Kōkiri Business Analyst in 2011.
157. Both the development of goal categories, and the counts for goal categories across all whānau plans analysed was based on an informal review. It is therefore possible that a formal thematic analysis research approach, or a different approach to categorisation of goals, would produce different data.
158. The number of goal categories is larger than the number of plans analysed. This is because one whānau plan may have contributed to multiple counts in different goal categories and/or sub-categories – where the activity in the plan was deemed relevant to multiple categories.

²¹ See Statistics New Zealand website:
<http://www.stats.govt.nz/Census/2006CensusHomePage/MeshblockDataset.aspx>



Appendix B: The value of critical and evaluative thinking

Great leaders think evaluatively!	
Critical thinking is the mental process of objectively analyzing a situation by gathering information from all possible sources, and then evaluating both the tangible and intangible aspects, as well as the implications of any course of action.	Evaluative critical thinking can provide leaders with useful frameworks for working out what sources to consider, from what angles, how to grapple with tangibles and intangibles, and how to evaluate evidence and courses of action in terms of value and benefit trade-offs.
Implementation thinking is the ability to organize ideas and plans in a way that they will be effectively carried out.	Evaluative implementation thinking can help leaders maximize the quality of programming and implementation and the value of outcomes by getting the theory of change and theory of action right. <u>Add developmental evaluation, and we can help hone this evaluative (design and) implementation thinking as implementation and development proceed.</u>
Conceptual thinking consists of the ability to find connections or patterns between abstract ideas and then piece them together to form a complete picture.	Evaluative conceptual thinking can help leaders find connections and patterns not just among abstract ideas, but also with all-important customer needs and values, strategic vision and intent.
Innovative thinking involves generating new ideas or new ways of approaching things to create possibilities and opportunities.	Evaluative innovative thinking can help leaders generate new ideas or approaches with a clear line of sight through to valuable outcomes.
Intuitive thinking is the ability to take what you may sense or perceive to be true and, without knowledge or evidence, appropriately factor it in to the final decision.	Evaluative intuitive thinking can help leaders take what they sense or believe to be true and use evidence and evaluative reasoning to show why it should (or, shouldn't!) be factored into the final decision.
Source: Forbes Magazine, March 2012 (http://genuineevaluation.com/great-leaders-think-evaluatively/ retrieved June 7 2012)	Source, Davidson, E. J. March 2012 (http://genuineevaluation.com/great-leaders-think-evaluatively/ retrieved June 7 2012)

Risk and Assurance

Non-departmental Funding Process Review

February 2012

Conducted by:

external to TPC

Reviewed by:

Sponsor:

Deputy Secretary, Relationships and Information

Acting Deputy Secretary, Whānau Ora and Social Policy

RELEASED UNDER THE OFFICIAL INFORMATION ACT

1 Executive Summary

This Non-departmental Funding Process Review was scheduled as part of the Internal Audit Plan for 2011/12 as approved by the Executive Leadership Team.

The overall objective of the review was to determine the appropriateness of Te Puni Kōkiri's (TPK) processes in administering non-departmental funding while complying with the policy direction set by the Government, including business improvement opportunities.

1.1 Conclusion

We have concluded that the systems and processes to administer the non-departmental funds were effective in complying with policy direction set by the Government. However there are efficiencies and process improvements that can be gained.

If the issues and improvement opportunities in this report are addressed the investments processed by TPK would be appropriately contributing to business improvement efficiencies.

1.2 Key Strengths

Several key strengths were identified during the non-departmental process review both through interviews and analysis of TPK documents.

The key strengths are:

- controls are in place to effectively process each application;
- relationships are strong between applicants and TPK staff, who have demonstrated a strong understanding of individual needs; and
- the Smartfund system in relation to the Māori Potential Fund (MPF) and Whānau Integration, Innovation and Engagement (WIE) ensures effective management and monitoring of projects to provide useful and meaningful timely information.

1.3 Key Recommendations/Improvement Opportunities

The following are our key recommendations in response to the identified findings:

- To implement a formal regional plan requiring head office Executive Leadership Team approval to ensure the regional priorities, strategies and activity plans align with the national plans;
- To update the Quality Assurance criteria to communicate to Quality Assessors what is and is not acceptable practice; and
- To perform peer review audits of each Quality Assessor and provide support and feedback to ensure that they are aware of their roles and responsibilities, the quality of assurance provided is appropriate, and there is national consistency.

Risk & Assurance

**Review of Māori Potential Fund & WIE
Contracts Administration Processes**

(-)

March 2012

RELEASED UNDER THE
OFFICIAL INFORMATION ACT

Conducted by:

- Puni Kōkiri

Reviewed by:

Sponsor:

Deputy Secretary (Acting) Relationships & Information

1 Executive Summary

The Māori Potential Fund Contract Administration (National and Regional Offices) audit and an examination of the WIIE contracting processes were scheduled as part of the Internal Audit Plan for 2011/12.

The overall objective of the audit was to provide assurance on the adequacy and effectiveness of the Māori Potential Fund and WIIE contract administration processes.

This report covers the observations made in the investment centre.

1.1 Conclusion

We have concluded that the Māori Potential Fund and WIIE contract administration processes in the Waikato investment centre are comprehensive, but a number of control weaknesses were noted arising from an absence of a dedicated Contracts Advisor performing quality assurance throughout the contracting process.

1.2 Key Strengths

Due to the absence of a dedicated Contracts Advisor, the Region has implemented a stop gap measure with Kaiwhakarite peer reviews on the adequacy of processes and documentation of contract files.

1.3 Key Recommendations/Improvement Opportunities

- Provide a conclusive documented decision on the fairness and reasonableness of budgeted costs in the funding proposal quality assessment.
- Establish a consistent and verifiable basis for allocating funds for the preparation of Whānau Ora plans.
- Ensure that actual or perceived conflicts of interest are declared, risk assessment of potential impact is documented and mitigation actions satisfy the Regional Director.
- A disclosure of the project risks is provided with a transfer of management responsibility of contracts from National Office to Regional Offices.
- Instalment plans need to be structured to encourage satisfactory performance of contract outputs.

Risk & Assurance

**Review of Māori Potential Fund & WIE
Contracts Administration Processes**

March 2012

Conducted by:

Te Puni Kōkiri

Reviewed by:

Sponsor:

Deputy Secretary (Acting) Relationships & Information

1 Executive Summary

The Māori Potential Fund Contract Administration (National and Regional Offices) audit and an examination of the WIIE contracting processes were scheduled as part of the Internal Audit Plan for 2011/12.

The overall objective of the audit was to provide assurance on the adequacy and effectiveness of the Māori Potential Fund and WIIE contract administration processes.

This report covers the observations made in the 1 Office.

1 Regional

1.1 Conclusion

We have concluded that the Māori Potential Fund and WIIE contract administration processes in the 1 Regional Office to be robust but a number of quality control issues arose with the administration on WIIE contracts originating from National Office.

1.2 Key Strengths

- A well embedded process exists for the administration of the Māori Potential Fund contracts as a consequence of staff continuity in the Contract Advisor role.
- A structured financial management capability assessment and explicit conflict of interest declarations now exist.

1.3 Key Recommendations/Improvement Opportunities

- Establish a consistent basis for allocating funds for the preparation of Whānau Ora plans for National and Regional Office practice.
- Provide a conclusive documented decision on the fairness and reasonableness of budgeted costs in the WIIE funding proposal quality assessment performed at National Office.
- A disclosure of the project risks is provided with a transfer of management responsibility of contracts from National Office to Regional Offices.

Risk & Assurance

**Whānau Ora Provider Development
Review**

20 April 2012

Conducted by:

Puni Kōkiri

Reviewed by:

-- ----

Sponsor:

Deputy Security Whānau Ora and Social Policy

RELEASED UNDER THE
OFFICIAL INFORMATION ACT

1 Executive Summary

This Whānau Ora Provider Development review was scheduled as part of the Internal Audit Plan for 2011/12 as approved by the Executive Leadership Team on 20 June 2011.

The overall objective of this review was to determine the appropriateness of the contracting processes and associated business practice for Provider development funding.

1.1 Conclusion

The contracting processes and practices applied to date are appropriate and have been well designed for effective risk mitigation. However, improvements are considered necessary to the audit trail of key documentation and aligning to other non-departmental contracting policies.

The Provider development activities are about to enter a new phase that requires Te Puni Kōkiri to shift its monitoring to the successful progress of implementing the programmes of action. In addition there is an ongoing need to monitor the strength/risks of governance, management, and financial viability of Provider Collectives.

1.2 Key Strengths

- The use of external consultants to perform technical organisational and proposal assessments has contributed to effective risk mitigation.
- The use of interagency groups and community representation has added robustness to the decision making process in relation to contracting with the Provider Collectives, particularly with the understanding of existing service delivery arrangements and service to the community.

1.3 Key Recommendations/Improvement Opportunities

- Design and implement a contract/document management system for the Provider development activities that assists in maintaining a sufficient audit trail of key decisions and issue resolution.
- Apply the existing non-departmental contracting policies to the Provider development contracting processes.
- Develop procedures for monitoring the ongoing strength/risks of governance, management, and financial viability of Provider Collectives.
- Develop formal interagency protocols to promptly share information on contract performance issues and proposed remedies.

AUDIT NEW ZEALAND

Mana Aotahi Aotearoa

RELEASED UNDER THE
OFFICIAL INFORMATION ACT

Management report on the audit of

Te Puni Kōkiri

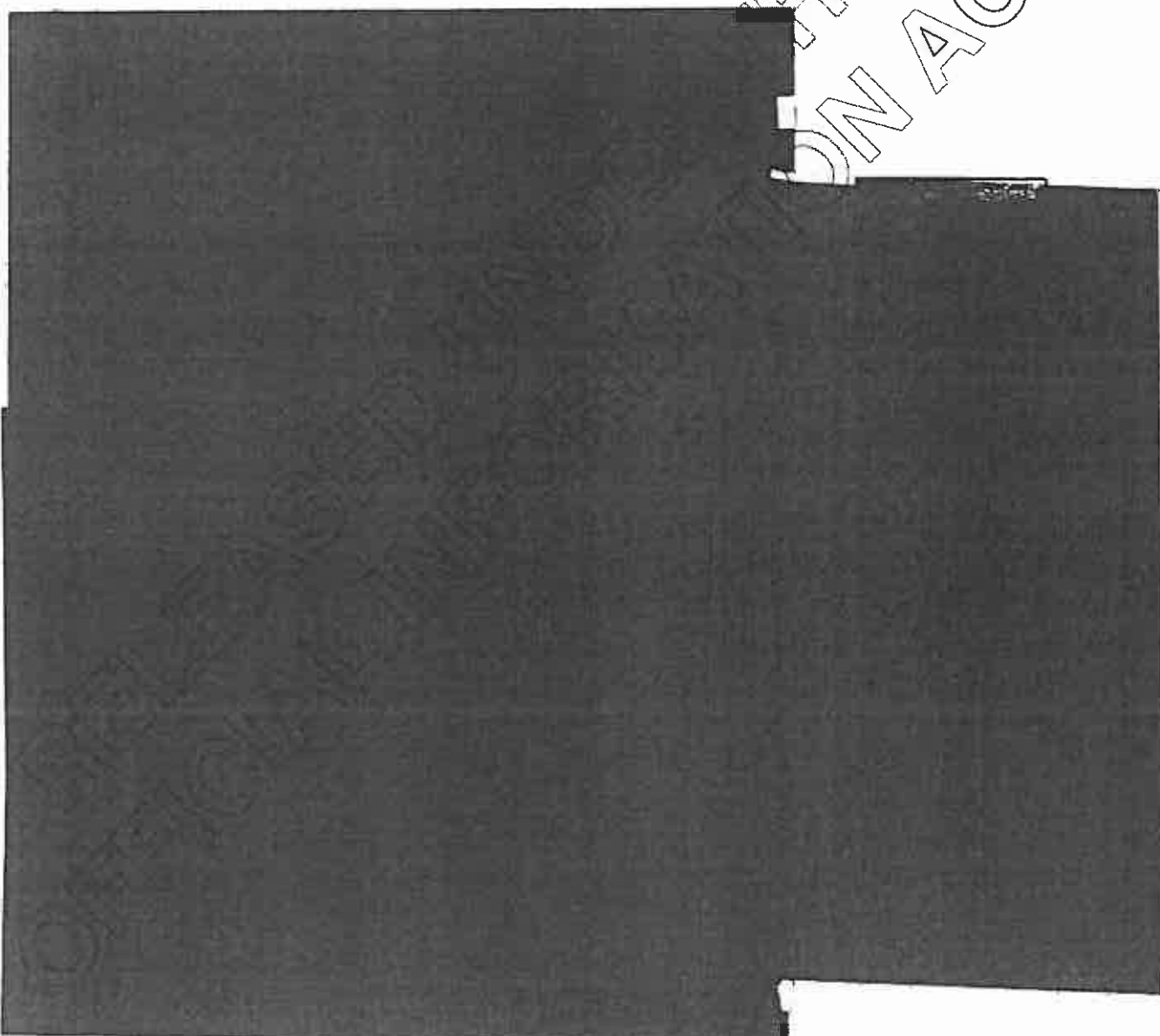
for the year ended 30 June 2011

Management report

Key messages

Audit opinion

We issued an unmodified audit opinion on 30 September 2011. The financial statements and statement of service performance fairly reflected Te Puni Kōkiri's activities for the year ended 30 June 2011, and its financial position as at that date.



Whānau Ora

Overall we found that the Whānau Ora programme is progressing well and that appropriate assessment mechanisms are being developed as the programme is rolled out.

No significant issues were noted that we wish to bring to your attention.

RELEASED UNDER THE
OFFICIAL INFORMATION ACT

Interim management report on the audit of

Te Puni Kōkiri

for the year ended 30 June 2012

Key messages

We have completed our interim audit of Te Puni Kōkiri (TPK) for the year ending 30 June 2012 in line with our Audit Arrangements Letter dated 14 December 2011.

This report details our findings and makes specific recommendations where improvement is required. We have reviewed the systems and controls that Te Puni Kōkiri operates to ensure its financial and non-financial information is fairly stated and transactions are valid. This included reviewing the controls over expenditure, payroll, fixed assets, bank accounts and the systems for reporting service performance. We also visited the regional offices to review contact management processes.

We acknowledge that Te Puni Kōkiri is currently subject to two external reviews, the Refocus of Te Puni Kōkiri and the Whānau Ora review.

Control environment and financial information, systems and controls

Contract management

We selected a sample of Māori Potential Fund contracts and Whānau Integration, Information and Enterprises (WIE) Fund contracts during our Head Office and regional visits. We identified some areas for improvement for management to consider.

Service performance information and associated systems and controls

We reviewed the 2012/15 Statement of Intent (SOI) and the 2012 Information Supporting the Estimates (ISE) and we were pleased to note the improvements made by Te Puni Kōkiri, particularly in the addition of new impact measures relating to the Whānau Ora programme.