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Prepared for Te Puni Kōkiri

Final Report

# Evaluation of the Governance Training Trial

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## About Sapere Research Group Limited

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Sapere Research Group is one of the largest expert consulting firms in Australasia and a leader in provision of independent economic, forensic accounting and public policy services. Sapere provides independent expert testimony, strategic advisory services, data analytics and other advice to Australasia's private sector corporate clients, major law firms, government agencies, and regulatory bodies.

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## Abstract

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The report outlines key findings and recommendations from the evaluation of the 2016 governance training trial. Te Puni Kōkiri funded the training which was undertaken by the Institute of Directors (IOD). The trial was aimed at pre- and post-settlement Iwi trustees, board members, management staff, and rangatahi. It was developed because governance skills, strategic planning, and financial literacy are becoming increasingly necessary for Iwi to undertake their responsibilities within a pre- and post-Treaty settlement environment.

Te Puni Kōkiri commissioned Sapere Research Group, in partnership with Māori and Pasifika Support Services, to undertake an independent evaluation of the first year of its governance training trial. The purpose of the evaluation is to assist with training improvement, and inform future investment decisions by Te Puni Kōkiri in governance skills and financial literacy training.

The evaluation involved interviews with participants who attended the 2016 training and other key informants, the 2016 IOD pre-course and post-training survey data, and relevant research literature identified by Te Puni Kōkiri and the evaluation team.

The evaluation examined the investment by Te Puni Kōkiri, the training trial reach, and early outcomes from the first year of the training. The evaluation focused on implementation, with the aim of providing learnings from what is working, and identifying areas for improving the project's design and performance.

## Executive Summary

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Governance skills, strategic planning, and financial literacy are becoming increasingly necessary for Iwi to undertake their responsibilities within a pre- and post-Treaty settlement environment. In 2016, Te Puni Kōkiri funded the Institute of Directors (IOD) to undertake a governance training trial for pre- and post-settlement Iwi trustees, board members, management staff, and rangatahi.

Te Puni Kōkiri commissioned Sapere Research Group, in partnership with Māori and Pasifika Support Services, to undertake an independent evaluation of the first year of its governance training trial. The purpose of this evaluation is to assist with training improvement, and inform future investment decisions by Te Puni Kōkiri in governance skills, strategic planning, and financial literacy training. The evaluation involved interviews with participants who attended the 2016 training, interviews with key informants from Te Puni Kōkiri, IOD, Office of Treaty Settlements and chairs from iwi and non-iwi boards, analysis of the 2016 IOD pre-course and post-training survey data, and relevant research literature identified by Te Puni Kōkiri and the evaluation team.

The evaluation examined the investment by Te Puni Kōkiri, the training trial reach, and early outcomes from the first year of the training. The evaluation focused on implementation, with the aim of providing learnings from what is working, and identifying areas for improving the project's design and performance.

## Key Findings

### **Overall, the governance training trial presented the start of a journey for both participants and for IOD**

This is because the governance training trial focused more on 'transactional' training. This reflected what facilitators identified would be most useful for the participants on the day, e.g. focus on meeting procedures or on how to read a budget report. Looking forward, there will need to be a long-term plan for governance training with more lofty outcomes, building on a more strategic focus for Iwi.

### **The major change has been attitudinal, in giving trustees confidence to participate well in board meetings**

The training offered an introduction to the core principles of good governance practice. It provided a refresher for more experienced trustees, and new-found confidence for new trustees. It enabled these new trustees to be more fully engaged in meetings, rather than being an 'observer' in meetings. Participants, especially those new to their trustee role, commented that the training has changed the way they now behave at meetings, such as providing them confidence to ask questions whereas prior to training they didn't feel they had the knowledge to actively participate in discussions.



### **The governance training trial meets known criteria for training Iwi trustees, and the content is consistent with good practice governance principles being applied in New Zealand and internationally**

The governance training trial design content is based on the principles of good governance practice. The design is underpinned by a framework based on recognised principles of successful corporate governance – accountability, fairness, transparency, assurance, leadership, and stakeholder management. These are critical in the successful running of a board and forming solid professional relationships with stakeholders.

### **The governance training trial provides comprehensive training in the fundamentals of governance**

We found that the three day governance training trial, as a non-assessed training programme, provides comprehensive training in the fundamentals of governance, along with the essentials of board finance and strategy. Key informants, who had a good understanding of the governance training trial, agreed that it was a comprehensive foundation programme which will have a ‘ripple effect’ beyond the immediate impacts for attendees. The ability to take the first steps towards applying western governance models to the way Māori work was seen as critical to participant engagement.

### **Pre-assessment to identify most suitable Iwi trustees is not necessary**

While it seems logical to identify the most suitable participants to attend the training, the pre-assessment did not always reflect the reality. In the IOD pre-course survey, participants were looking for development in strategic thinking and planning. Facilitators, however, found they often spent more time on the transactional components of good governance, as well as dealing with financial literacy. Also, participants preferred the course to be attended by participants from their Iwi (or neighbouring Iwi). Most key informants added that the training value is in helping Iwi transition between pre-settlement and post-settlement. It’s important to note that as many of those participants who did attend also hold numerous roles and responsibilities, knowledge gained through the governance training can be applied in various positions, especially the understanding of the difference between governance and management roles.

### **Differences between pre- and post-settlement environments**

Some facilitators were aware of the ‘different mind-sets’ between pre- and post-settlement Iwi. More of a focus on training to help Iwi transition between pre- and post-settlement was suggested by several of those we interviewed, such as help to address the tension that can occur for a newly settled Iwi with this transition.

### **Participants are looking for development in strategic thinking and planning**

Strategy development and planning was acknowledged by all we interviewed as a critical part of any governance training, and is key to good governance. Some commented that perhaps the governance strategy training module should be undertaken first, before the governance and finance modules. However, as already mentioned, some facilitators noted that much of the time had to be spent on the transactional aspects of governance, as it became apparent there was a big need for this during the sessions.

### **Facilitators were able to gain the confidence, and meet the needs, of participants**

The facilitators and resources played a contributing role in laying a foundation to grow and foster an environment for good governance behaviour. Most facilitators were able to engage and ensure all attendees felt included, and contextualise the training to ensure attendees could relate it back to their board, roles and responsibilities.

Although there were initial concerns as to whether IOD could deliver a suitable training programme for pre- and post-settlement Iwi boards, positive feedback in the IOD post-training survey from the early workshops helped with the recruitment for the later workshops. Because Te Puni Kōkiri had used a well-respected professional organisation to deliver the training, it sent a good message to participants.

Having the right skills and experience with a good understanding of Te Ao Māori and te reo Māori is important for Iwi governance training, and feedback from participants in the post-training survey and interviews acknowledged the experience and skills the facilitators brought to the workshops.

### **The training resources and post-training arrangements met participants' needs, and these could be usefully backed-up by on-line resources**

The workbook resources are not intended as stand-alone products and were developed as a framework for the training sessions. The value of the resources came from the facilitators' ability to contextualise the governance concepts and processes. Benefits realised from the workbook post-training are that they can be used as a reference resource.

To build on the training resources, online resources based on the training sessions would be useful, particularly for those who don't take up the IOD free membership for one year offer which includes access to online resources. While face-to-face sessions are important to be able to discuss complex issues as a group, online learning and webinars could be used to supplement the learning.

## **Recommendations**

A pilot programme such as the governance training trial provides an opportunity to identify learnings about what is working and what is not. We have identified nine recommendations for improvements to the training programme. The first six recommendations noted here focus on promotion of the training programme, delivery format, and content. The next three focus on the future role of Te Puni Kōkiri in governance training.

### **1. Explore a range of approaches to promote and recruit trustees for the governance training programme**

- (a) Promote the training as a team building exercise that will help Iwi deliver its vision for its people

Key informants from IOD and Crown agencies we talked with suggested that training could be marketed or promoted as a team building opportunity. It is critical that chairs and CEOs attend the governance training to send an important message that applying good governance practice is essential to help better understand the different roles and responsibilities of the board and management.

- (b) Provide more lead-in time for participants to register for training

There are multiple calls on trustees' and directors' time, and training needs to be promoted well in advance. Annual plans are usually confirmed by the end of March, which means the training needs to be advertised months earlier to ensure it is factored into the professional development planning round.

- (c) Only participants from Iwi should attend each session

Facilitators commented that it works better with having participants from one Iwi (or a neighbouring Iwi with close ties) at a time for the workshops, as they are more likely to share their financial statements and other documents with the facilitator for discussion. Sharing and discussing board documents helps put the learning into context.

## **2. Explore other ways to prepare and deliver the training programme**

- (a) Three days of training is a big commitment and may be putting some people off. There were mixed views with running the programme over three consecutive days, and suggestions included that the training be held either over a weekend, to avoid people having to take leave to attend, on a marae, or over three weekends, with the further weekend to allow for reflections and feedback.
- (b) Allow more time for facilitators to get to know participants and vice versa

Trust between facilitator and participant is important and participants commented that more time is needed before and at the start of training. Suggestions to build trust include more break-out sessions during the day, and time for reflection at the end of each workshop.

Pre-workshop engagement with facilitators may also encourage commitment by those who register to actually attend. Promoting the training at Rūnanga meetings may be a good approach to get 'buy-in' for governance training.

- (c) Consider re-ordering workshop sessions - Strategic session first and Finance last

It is important for those in governance to understand the role they play in strategy formulation and strategic decision-making. It is the role of management to implement these strategies and decisions, and for the board to monitor progress.

IOD may wish to consider whether it is feasible to start the three day training with the Strategy module. Regardless of order, the training needs to include help for Iwi to transition from pre-settlement to post-settlement.

## **3. Provide further access to training resources for the participants**

The governance training trial provides a foundation for Iwi trustees to build on, but on-going professional development is also important.

Te Puni Kōkiri should consider funding post-training support such as: follow-up sessions; an online training series of the key essentials based on the governance training; an Iwi boardroom portal for online workshops with interactive case studies; or an online community of practice. This would be useful particularly for those who don't take up the offer of the free IOD membership for one year offer which includes access to online resources. Follow-up and re-fresher sessions will help ensure learnings are embedded, and provide opportunity for participant to network, ask further questions and seek assurance that the training is applied appropriately.

#### **4. Consider additional content for the governance training programme**

- (a) More focus on ways to help Iwi transition from pre-settlement to post-settlement

More focus on ways to help Iwi transition from pre-settlement to post-settlement will also help address the tension that can occur for a newly settled Iwi with the transition. The change in membership in many cases impacts more on kaumātua than the younger members of the boards. This in itself presents a tension. In addition to attending the training to help with transitioning to a post-settlement environment, a kaumātua committee that feeds into the main board is one way to overcome this tension.

- (b) More case studies

The training programme will also benefit from additional case studies around Iwi governance successes and failures, particularly conflict of interest, intergenerational wealth management versus tribal development strategy, and the unique features of governing an Iwi organisation.

#### **5. Consider how the content can incorporate tikanga-based governance models**

Some participants talked about governance practice being tailored to fit the tikanga of each Iwi, as part of helping to support achievement of Iwi cultural ambitions.

Further developments of the governance training programme could see the framework more fully embedded in Māori values or tikanga. It would need to be informed by principles of good practice, and resolve any potential conflicts with gender roles and kaumātua expectations.

#### **6. Undertake on-going monitoring and evaluation**

Te Puni Kōkiri may use its upcoming survey of participants to monitor long-term aspects that we haven't been able to comment on, and other elements that would be good to monitor such as board turnover.

A longitudinal study would be able to explore Crown and stakeholder confidence more fully, and also assess impact of the training on Iwi governance.

## **Future investment decisions**

The following strategic recommendations aim to assist Te Puni Kōkiri with future plans for supporting quality governance at pre- and post-settlement Iwi boards.

#### **7. Grow the pool of Māori facilitators to eventually lead Iwi governance training**

The 2015 Ministry for Primary Industries (MPI) funded *Pilot Icehouse Māori Leaders Programme* evaluation noted the need for a deep understanding of training pedagogy, as well as mātauranga, kaupapa and tikanga Māori, gained from experience of working with and in Māori organisations.

We recommend that if IOD continues to offer Iwi governance training, it needs to actively grow its pool of Māori facilitators skilled in governance training. New facilitators could come from those participants who have previously undertaken its training programmes.

## 8. Provide mentoring by more experienced Iwi

- (a) One of the biggest challenges observed by key informants is Iwi grappling with 'objective setting', and how to manage commercial and cultural objectives. Providing the opportunity for pre-settlement Iwi or newly-settled Iwi to get mentoring from Iwi that have been settled for a while, to share experiences and lessons learned, could be especially useful for small or newly-settled Iwi. These learnings could also be made into case studies for training by IOD.

Te Puni Kōkiri / Office of Treaty Settlements /IOD could act as facilitators for a pool of leaders with mana who could share knowledge from their boardroom experience.

- (b) In addition, we recommend a tailored mentoring programme for women trustees and directors on Iwi boards. IOD could proactively invite women trustees into the IOD women's mentoring network.

A number of women participants spoke of their male counterparts dominating meetings, rather than working as equals. There were requests for mentoring from experienced female peers on how to deal with this behaviour, and for opportunities to network with their peers. Women trustees commented that they would benefit from a tailored mentoring programme for women trustees and directors on Iwi boards, as they felt they had particular issues that their male counterparts did not face if they wished to challenge or question a decision being made.

Te Puni Kōkiri or IOD could also facilitate an alumni arena or host a 'network' which links experienced trustees and directors willing to mentor trustees and board members new to their governance role.

## 9. Identify future priorities for governance training

This work should include considering whether it is the role of Te Puni Kōkiri to:

- (a) Ensure all post-settlement Iwi have access to good governance training, or whether support should focus on newly elected board trustees, regardless of how long their Iwi has been settled. There can be turnover of trustees following an election, and training targeting new trustees will help these trustees to quickly improve their knowledge of good governance practice.
- (b) Focus on other pilot Iwi governance training programmes for smaller entities, training specifically for chairs, executives and directors, and more advanced training using mentors from post-settlement governance entities (PSGEs) with more established post settlement governance experience.
- (c) Fully subsidise the training, leave it to the market to provide this training, or run a 'matched funding' approach to encourage boards to invest in professional development.

Given the participant feedback about the need for mentoring and coaching, and for on-going support, a review should also include:

- (d) Whether there is merit in examining the governance training trial more broadly against other methods of training/capacity development that involve mentoring

and coaching. There seems to be relevance to governance capacity development in the developing country context.<sup>1</sup>

- (e) Compare other (alternative or supplementary) models of delivery (particularly in light of the weak evidence base re effectiveness/impacts of the governance training trial).

We also recommend that a review:

- (f) Looks at whether the role of Te Puni Kōkiri in governance training should include looking for opportunities to help Iwi transition from pre-settlement to post-settlement.
- (g) Considers ways of incentivising (probably by subsidising) independent reviews of Iwi board performance. For example, Sport New Zealand's 'Governance Mark' subsidises independent reviews of boards. These look at good governance practice and board culture, leading to the award of a Governance Mark.
- (h) Investigates the potential for more advanced governance training that looks at wider governance successes and failures, e.g. from the commercial or State Owned Enterprise sectors.

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<sup>1</sup> For instance, Sapere evaluated the Samoa Institutional Linkage Programme, a large component of which was governance capacity building by Middlemore Hospital for the board of the hospital in Apia. It included a study tour where the Apia Board sat in on a board meeting in Auckland so they could see how meetings are supposed to operate and on-call/on-going support from a mentor in Auckland via email and visits.

# 1. Introduction and Background

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Te Puni Kōkiri commissioned Sapere Research Group, in partnership with Māori and Pasifika Support Services, to undertake an independent evaluation of the 2016 governance training trial.<sup>2</sup> The training was funded by Te Puni Kōkiri, co-designed by Te Puni Kōkiri and the Institute of Directors (IOD), and delivered by IOD.

Recipients of the training trial were pre- and post-settlement Iwi trustees, board members, management staff and rangatahi.

## 1.1 Te Puni Kōkiri

Te Puni Kōkiri is the public service department of New Zealand charged with advising the government on policies and issues affecting the Māori community. It provides leading advice on Māori Public Policy, Government-Māori relationships, and policy affecting Māori wellbeing. Te Puni Kōkiri also monitors policy and legislation.

Guided by Government priorities and the Māori Potential Approach, Te Puni Kōkiri has identified three core areas for strategic investment:

- Strengthening of leadership and decision-making (Whakamana);
- The building of knowledge and skills (Mātauranga); and
- The development and use of resources (Rawa).

### 1.1.1 Rationale for investment

Te Puni Kōkiri seeks to harness the collective talents of Māori to produce a stronger New Zealand. It recognises that Māori operate in a multiplicity of contexts, whether at a whānau, hapū level, or more widely as Iwi.<sup>3</sup> The rationale by Te Puni Kōkiri for investing in Iwi governance training was in response to the three core areas for strategic investment, based on the premise that by growing governance knowledge, Iwi may make better decisions in both pre- and post-Treaty of Waitangi settlement environments. This will also facilitate long-term relationships between Crown and Iwi post-Treaty settlement.

Governance skills, strategic planning, and financial literacy are becoming increasingly necessary for Iwi trustees to uphold their responsibilities and duty of service to the Iwi in a pre- and post-Treaty settlement environment. For this reason Te Puni Kōkiri

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<sup>2</sup> The evaluation was to include the 2017 governance training trial cohort but the training was re-scheduled to commence mid-July 2017, and outside of the fieldwork deadline of the end of June 2017. The fieldwork could not be extended due to the national election on the 23 September, which meant the evaluators had to be out of the field three months prior to the election.

<sup>3</sup> <https://www.tpk.govt.nz/en/a-matou-mohiotanga/corporate-documents/soi-2007/online/2>.

commissioned Iwi governance training from the Institute of Directors (IOD)<sup>4</sup> to:

- enable Māori entities to be strong institutions characterised by robust governance;
- strengthen and grow accountability requirements for the transfer of Treaty of Waitangi settlement assets;
- build accountable asset management structures to which Treaty of Waitangi settlement assets can be transferred; and
- facilitate the availability of emerging best practice models of governance to build good governance practice and principles amongst Iwi.<sup>5</sup>

## 1.2 The Governance Training Trial

In February 2016 Te Puni Kōkiri commissioned IOD to undertake a tailored pilot course for Iwi Trustees on pre- and post-settlement Iwi Boards, also commonly referred to by some Iwi as Rūnanga. The governance training trial is underpinned by a New Zealand Treasury working paper<sup>6</sup> that comments on the governance of Crown-Māori relationships including accountability requirements for the transfer of Treaty of Waitangi settlement assets. (See Appendix 1 for more background information on the trial).

Representatives from 14 Iwi (including Iwi trustees, board members, management staff and rangatahi) as well as representatives from Te Puni Kōkiri attended 12 three-day training workshops held in the North Island and the Chatham Islands through September-November 2016. A total of 169 people attended these training sessions. The governance training trial programme covered: Te Pai Hihiri (Governance), Strategy, and Finance essentials.

### 1.2.1 The governance training trial learning objectives

The course learning objectives for participants were to:

- understand the characteristics of effective leadership by the Chair;
- conduct meaningful engagement with Te Ao Māori in the context of Māori governance;
- weave Māori and western corporate governance practices together;
- apply governance concepts to increase knowledge of a participant's organisation;
- build resilience within the organisation;
- understand the importance of succession planning; and
- understand the economic drivers for Māori business.

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<sup>4</sup> The Institute of Directors is a New Zealand professional body with over 7,000 members. It has a code of practice for Directors to ensure duties and responsibilities as a director are carried out to the highest professional standard, and it also offers governance training to the general public.

<sup>5</sup> Te Puni Kōkiri and Institute of Directors Final Project Report, 30 November 2016.

<sup>6</sup> Petrie, M. (2002). Institutions, social norms and well-being; New Zealand Treasury Working Paper 02/12, pp.23.



## 2. Evaluation Purpose and Objectives

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### 2.1 Evaluation purpose

The purpose of the evaluation is to inform future investment decisions by Te Puni Kōkiri.

### 2.2 Objectives

The evaluation has the following two objectives:

- To provide robust and timely evaluation of the relevance, efficiency, effectiveness, benefits, and wider effects of the trial to inform decisions on continued funding.
- To identify possible improvements to the approach to training and the selection of participants, and other lessons learned.

#### 2.2.1 Evaluation scope

The evaluation scope is the 2016<sup>7</sup> Te Puni Kōkiri-funded IOD governance training trial for pre- and post-settlement Iwi trustees, board members, management staff and rangatahi.

#### 2.2.2 Key evaluation questions

The logic model (Appendix 2) for the evaluation was developed by Te Puni Kōkiri following the 2016 trial and is being used as a key document to inform the key evaluation questions.

The evaluation questions were designed to answer whether:

- the investment in the trial has been efficient;
- the objectives were relevant and met the needs of participants; and
- the trial has resulted in short or medium-term results.<sup>8</sup>

#### 2.2.3 Mixed-method analysis

We used a mixed-method approach to answer the evaluation questions, and provide validity and reliability to the analysis. More detail of the evaluation methodology is in Appendix 3.

The approach involved:

- interviews with 18 participants from the 2016 training cohort;

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<sup>7</sup> Scope originally was to include the 2017 cohort but delay in the training along with the upcoming election meant the evaluation had to exclude the 2017 training trial.

<sup>8</sup> Any likely long-term outcomes and impact to the wider society would be reported if identified in the evaluation.

- interviews with 12 key informants from Te Puni Kōkiri, IOD, Office of Treaty Settlements and chairs from Iwi and non-Iwi boards;
- the 2016 IOD pre-course and post-training survey data; and
- relevant research literature identified by Te Puni Kōkiri and the evaluation team.

## 3. Evaluation Findings: Investment

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In this section we present our findings based on the evaluation questions outlined in the logic model, which was developed by Te Puni Kōkiri for the governance training trial initiative. The evaluation examined the investment by Te Puni Kōkiri, the governance training trial reach, and initial outcomes from the first year of the trial. The evaluation focused on implementation, with the aim of providing learnings from what is working, and identifying areas for improving the project's design and performance.

### **Early indications are that the governance training trial has been a good investment**

It is too early to be able to fully answer whether the training trial is achieving more than other governance training options. For most participants, who were new to their trustee role, this was their first experience of professional development training, and so we could not ask them to compare with other governance training courses. In this Section we have provided some comparative costs and insights from interviewees; these give us some early indications that the governance training trial has in its first year been a good investment.

### 3.1 Efficiency of the trial format

We assessed whether the initial investment by Te Puni Kōkiri into the trial has been efficient. We examined whether the input into the training trial is achieving more, about the same, or less than other methods of training, by comparing it with similar training courses being offered in New Zealand.

Table 1 below lists examples of governance training courses, of which two are specifically aimed at Māori governance:

- Waikato University's Te Mata Hautū Taketake Māori & Indigenous Governance Centre *Fit For Purpose Māori Governance Training Programme*
- *Māori Leaders Programme (Governance: Empowering Indigenous Leaders To Create Better Outcomes For Our Whānau)* offered by private sector provider Te Whare Hukahuka.<sup>9,10</sup>

The other courses listed are not specifically aimed at Māori governance.

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<sup>9</sup> Victoria University of Wellington used to offer in-house public short courses on governance training looking at stewardship, transparency, financial training. However, due to similar courses offered by the private sector, VUW is focusing on either Masters degrees or executive short courses for professionals.

<sup>10</sup> University of Auckland Business School offers *Governance and Management: Te Whakamana Kōpū* (towards a Post-graduate Diploma in Business). The course covers the analysis of the nature of Māori enterprise and Māori governance and management and systems in relation to both traditional and modern governance and management theory and frameworks.  
<http://www.courses.business.auckland.ac.nz/CoursePdfs/MAORIDEV731.pdf>.

### 3.1.1 Other professional development training in governance

Table 1 Sample of six New Zealand-based governance training courses

Type of organisation	Name of organisation	Name of training offered	Type of training offered
1. (Academic institution)	Te Mata Hautū Taketake Māori & Indigenous Governance Centre, University of Waikato <a href="http://www.waikato.ac.nz/law/research/centre-for-maori-and-indigenous-governance/">http://www.waikato.ac.nz/law/research/centre-for-maori-and-indigenous-governance/</a>	<i>Fit For Purpose Māori Governance Training Programme</i> (Entry level course and work is non-assessed). <sup>11</sup> The Governance and Management Development Scheme runs throughout the year or until all available funds have been committed. The scheme provides representatives of Māori collectives an opportunity to attend training in governance, management, strategic planning and other business skills. The programme is designed for people new to governance, and as a refresher for those more	The training format is a 1-2 day course individual block course delivered at the University of Waikato Campus, or offsite at a Māori Collective Region if there is demand. The Ministry of Business, Innovation and Employment (MBIE) pays 75% of the training costs. The Māori Collective pays 25% of the training costs. Māori collectives apply directly to Te Mata Hautū Taketake-the Māori & Indigenous Governance Centre, who checks eligibility.

<sup>11</sup> Other training offered by Waikato University in 2016 include: *G<sub>3</sub>M Postgraduate Certificate in Management (Governance)* (Postgraduate tertiary level course). The programme is jointly run by staff of Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre, the School of Māori and Pacific Development and the University of Waikato Management School. The course is for board members, trustees, members of a committee of management, and executive directors. A three block course and a capstone project. Onsite Delivery – University of Waikato Campus or Offsite Delivery – Māori Collective Region available. *Postgraduate Certificate in Management (Māori Governance and Leadership)* (Postgraduate tertiary level course). A modified version of the Postgraduate Certificate in Management which is specifically tailored to suit Māori governance entities. All reading, teaching and case studies are tailored to suit the needs and priorities of Māori collectives. A three block course and a capstone project. Onsite Delivery – University of Waikato Campus or Offsite Delivery – Māori Collective Region available.

Type of organisation	Name of organisation	Name of training offered	Type of training offered
		experienced. It has been developed to meet the needs and priorities of Māori collectives. Covers the foundation elements of Māori governance, Director, Manager or Trustee.	
2. (Private sector)	Te Whare Hukahuka <a href="https://www.twh.co.nz/leadership/">https://www.twh.co.nz/leadership/</a>	<i>Māori Leaders Programme</i> (Governance: Empowering Indigenous Leaders To Create Better Outcomes For Our Whānau) Programme covers: board meetings; roles and responsibilities of board members; strategic thinking (including the distinction between governance and operational strategy); measuring and monitoring; progress towards strategic goals; risk management; and communication.	Two day workshop with personalised governance diagnostic; six hours of coaching via video conferencing; and access to Te Pataka Ipurangi (TWH tools, resources and videos).
3. (Crown entity)	Sport NZ <a href="http://www.sportnz.org.nz/managing-sport/search-for-a-resource/news/new-governance-101-online-training-now-live">http://www.sportnz.org.nz/managing-sport/search-for-a-resource/news/new-governance-101-online-training-now-live</a>	<i>Governance 101</i> Aimed at not for profit directors on governance boards in the sport & recreation sector. The course focuses on: clarity of purpose and setting outcomes; the board as genuine governors – acting as a layer of ownership rather than a layer of management; being accountable for the use of time and money. Interactive training covering the key principles of not for profit governance and connected to the governance framework for sport and	Online training (no charge – available to all) 2-3 hours to complete with six modules and a short assessment

Type of organisation	Name of organisation	Name of training offered	Type of training offered
		recreation.	
4. (Private sector)	Board Clarity <a href="http://boardclarity.co.nz">http://boardclarity.co.nz</a> (Private sector) Board Clarity is based in Christchurch and works across Australasia	<i>Governance Principles Workshop</i> An introductory workshop to improve board performance using the Policy Governance® approach developed by Dr John Carver. The workshop covers principles of Policy Governance®; which includes how to achieve clarity of purpose; ways to clarify the governance role through understanding who the board is accountable to; how to manage risk while empowering the CEO; how to be more effective as a board through implementing clear practices; steps to take in adopting this systematic approach to governance.	Length of workshop: 7 hours (over one day, but can be spread over two). Number of participants: 8-15. No prerequisites required but the website states “participants with previous governance training or study often gain the most from this programme”. Course materials include pre-course reading and policy templates. Location is by arrangement (incl. remote locations such as the Chatham Islands).
5. (Private sector)	Governance New Zealand <a href="https://www.governancenz.org/Category?Action=View&amp;Category_id=288">https://www.governancenz.org/Category?Action=View&amp;Category_id=288</a>	The Professional Education Programme consists of six modules: <ul style="list-style-type: none"> <li>• Corporate Accountability - Meetings and Disclosures</li> <li>• Corporate Financial Management</li> <li>• Corporate Governance</li> <li>• Corporate Law</li> <li>• Financial and Management Accounting</li> </ul>	Targeted at post-graduate level, each module is delivered by <b>distance learning</b> with study notes and tutor support. Students can elect to study individual modules as stand-alone papers without committing to complete all modules. Fees are \$1,250 (GST incl.) per module or \$1,087 (excl. GST) This programme offers a broader range of content, but has limited face-to-face engagement. The whole programme of six modules would cost more than \$6,000 to

Type of organisation	Name of organisation	Name of training offered	Type of training offered
		<ul style="list-style-type: none"> <li>Risk and Compliance</li> </ul>	complete.
6. (Private sector)	Institute of Directors (IOD)	<p><i>Governance Essentials (Fundamental course)</i>            Covers the role and fundamental responsibilities of a board. Drawn from the IoD's The Four Pillars of Governance Best Practice, the course covers the fundamental roles and responsibilities of a board and individual directors across a range of governance settings, including:</p> <ul style="list-style-type: none"> <li>board relationships</li> <li>robust processes (board charters, the role of the board, culture and ethics, board composition, Board protocols, meetings and papers, Board and management relationships and succession planning, good decision-making and key elements of the operations of a board)</li> <li>and governance, legal and regulatory framework essentials.</li> <li>Aimed at aspiring or new directors embarking on a governance career, and senior executives who want to interact with their board more effectively.</li> </ul>	<p>A one day course.            Cost for members: \$830 incl GST            Cost for non-members: \$1,055 (incl GST) or \$917 (excl GST)</p>

Although this is not a fully comprehensive list, these appear indicative of the types of governance training courses and programmes that are (or have been) offered in New Zealand. The private sector organisations offer the ability to tailor their courses to their clients' needs. Table 1 (above) includes a free online course from a Crown entity, and three generic corporate governance training courses, including one offered in modules for distance learning by the private sector.

We were unable to do a robust cost-comparison analysis due to intellectual property sensitivities of some providers, as they noted that certain courses were tailored to client needs (including working with Iwi) and so fees would be calculated on a case-by-case basis with the client. Where course fees were publicly available, we could make some assessment of whether the governance training trial was value for money. We were also able to examine whether the courses were based on 'good' governance principles and, where possible, we compared the different modes of delivery and material covered.

### **3.1.2 Standard setting for Māori Governance**

We first examined the New Zealand Qualification Authority (NZQA) standard setting for Māori Governance. Mātauranga Māori qualifications have been developed as a result of mandatory qualification reviews. These qualifications are predicated on a Māori World view and have been developed in consultation with whānau, hapū, and iwi, and with the guidance and expertise of governance and working groups.

#### **NZQA New Zealand Certificate in Māori Governance (Level 4)**

This qualification is intended for those who seek, or have some previous experience working in, a Te Ao Māori context and/or governance, and are seeking a formal 'entry-level' Māori governance qualification. Graduates of this qualification will benefit entities by having skills and knowledge, based on kotahitanga, whanaungatanga, kaitiakitanga, te pono me te tika and rangatiratanga (see Appendix 4 for more detail of these guiding principles), to participate in Māori governance activities and/or undertake governance roles to advance the cultural, educational and economic aspirations of their whānau, hapū, and iwi.

#### **NZQA Manu Taiko – Hoka Rangi (Kaupae 6) New Zealand Diploma in Māori Governance (Level 6)**

The purpose of this qualification is to build specialised governance knowledge and skills that can be applied in a range of strategic roles at management and leadership level. It is targeted at people who have previous experience working in governance or trustee roles and who seek to further their skills to progress the cultural, educational and economic aspirations of whānau, hapū, and Iwi.

Graduates of this qualification will benefit entities by leading and managing the matāpono: kotahitanga, whanaungatanga, kaitiakitanga, te pono me te tika and rangatiratanga (see Appendix 4 for more detail of these guiding principles) for the benefit of current and future generations of whānau, hapū, and Iwi. It is envisaged that graduates will be able to work independently at a management level.



**The Te Puni Kōkiri governance training programme undertaken by IOD provides comprehensive training in the fundamentals of governance**

We found that the three day governance training, as a non-assessed training programme, provides comprehensive training in the fundamentals of governance, along with the essentials in board finance and strategy (see Appendix 1 for more detail on the governance training trial three-day workshop).

Key informants with a good understanding of the governance training agreed it was a comprehensive foundation programme which will have a ‘ripple effect’ beyond the immediate impacts for attendees. The ability to apply a western governance framework in a cultural construct was seen as critical to participant engagement.

We were advised that the costs for the governance training trial programme in 2016 were:

- \$577,332 excl GST (less \$14,300 for budgeted BetterBoards evaluations that weren’t carried out), making a net cost of **\$563,000**.
- The 12 courses were expected to have an average audience of 12 people for each session in 2016, so the rough cost per participant was \$3,910 or **\$1,303 per person per day**. Note that this cost includes elements beyond the 3-day course.
- Each three-day course (excluding the extras) was priced at \$35,302.63 excl GST. Budgeted at 12 people per day, this equates to **\$980.61 per person per day**.

Table 2 compares these costs with two other training courses where cost was known.

**Table 2 Cost of governance training programmes**

Governance training programmes	Cost per person per day excl GST
IOD Governance Essentials (non-member cost for one day)	\$917
Te Puni Kōkiri Governance Training Trial (3-day course only, for 144 attendees)	\$980
Governance New Zealand 6 online modules for distance learning	\$1,087 per module <sup>12</sup>
Te Puni Kōkiri Governance Training Trial (including elements beyond the 3-day course) for 144 attendees	\$1,303

Because the governance training trial is a customised and new initiative IOD incurred some one-off costs for the initial investment in shaping the course and developing the support material.

<sup>12</sup> \$1,250 incl. GST per module.

There were also other costs included in the governance training trial which were additional to the cost for each 3-day course (e.g. cost of IOD membership, assistance with CVs, next steps reports, Learning Journey case studies).

Using the information available on provider websites, all courses appeared to be based on governance good practice. Although we can't compare cost and content in detail, we can say that the expected benefit of the governance training trial is in its mode of delivery, and relying on the skill and experience of the facilitator.<sup>13</sup> The results from the post-training survey overwhelmingly show that the facilitators were able to gain the confidence of and meet the needs of the participants. Although some participants did come away with 'information overload', other participants commented that there are benefits to a three day training session, as it can provide a good foundation in the key essentials of good governance, and provide an opportunity to discuss learnings from the previous session in the following sessions.

Unlike a public training programme, each governance training workshop was delivered to people from the same board, and same Iwi, which ensures that each participant takes back to their peers a common message when talking about governance. Also, the value is in the ability of each workshop being customised to each Iwi, and with facilitators the audience could relate to, delivery at times and places that suit many attendees,<sup>14</sup> plus the value of the other add-on elements e.g. CV assistance and free IOD membership.

Although other training programmes offered some aspects offered by the governance training trial (such as the fundamentals of good governance practice), the governance training appeared to provide a 'more complete package' for non-assessed training of the fundamentals of good governance, finance and strategy essentials.

### **Future Māori governance funding investments**

Not all those who registered attended, and it was suggested that perhaps if boards were made aware of the cost and value of the programme, they would ensure any late withdrawals could be replaced by other people from the Iwi. One key informant suggested that boards should put a business case forward to Te Puni Kōkiri justifying why they should receive fully subsidised training. *"Perhaps would be more valued if participants knew how much the training would cost on the open market."* (KI012)

A key comment from interviews with key informants was that if there is an imperative to reduce the budget for governance training this needs to be balanced against maintaining the quality of training that Iwi are seeking. It is important that the training has a focus on what is happening locally for Iwi receiving the training but there is a cost to this. While there has been some discussion of the need to develop a Māori governance training programme based on tikanga principles, there are also views that these two concepts are not opposed to each other. This suggests that if care is given to reinforcing the common principles of good

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<sup>13</sup> We were unable to assess facilitator skills from other training courses.

<sup>14</sup> Delivery times and places of training is still an issue for some participants, noting that advance notice is needed as many 'wear multiple hats' and multiple commitments.

governance, there shouldn't be a need to develop a different model. The current training 'though could benefit from more governance examples based on Tikanga Māori.

## 3.2 Suitability of governance training attendees

As part of assessing the efficiency of the trial format, we examined whether the pre-assessment of Iwi boards and trustees was sufficient to identify the most suitable Iwi participants to attend the training. We examined Te Puni Kōkiri and IOD documentation and responses from key informants.

Iwi, along with Te Puni Kōkiri regional offices, Office of Treaty Settlements and post-settlements Commitments Unit identified participants based on whether the governance training would meet their pre- or post-settlement governance training needs.<sup>15</sup> Intended recipients of the training trial were identified as pre- and post-settlement Iwi trustees, board members, management staff and rangatahi.

### **Pre-workshop engagement could have been better managed**

Some people who had enrolled in the training didn't turn up. A pre-workshop that involved facilitators might have seen a better turn out by those identified as suitable for the training. Also, earlier or more convincing promotion may have seen better commitment from those who were registered but did not attend.

### **Pre-assessment to identify most suitable Iwi is not necessary**

The training was targeted at Iwi transitioning from pre- to post-settlement and newly settled Iwi. While this seems a logical way to identify the most suitable participants, the pre-assessment did not always identify the real gaps in participants' knowledge. In the IOD pre-course survey, participants reported that were looking for development in strategic thinking and planning. Facilitators, however, found they often spent more time on the transactional components of good governance, as well as dealing with financial literacy. Also, participants preferred the course to be attended by participants from their Iwi (or neighbouring Iwi).

The training provided an opportunity for new trustees who are new to their governance role, and for more experienced trustees an opportunity for a professional development refresh, to better understand what is key to a well-functioning board, such as how a meeting operates, and how to chair a meeting.

*Basics don't change but the environment we operate in changes and there are always new things to learn. Continual improvement is important in any profession. (KI020)*

Many of those participants who did attend also hold numerous other roles, so knowledge gained through the governance training can be applied in various positions, especially the understanding of the difference between governance and management.

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<sup>15</sup> The 2009 Te Puni Kōkiri evaluation of investments in the strengthening management and governance programme identified that further work is required in governance to address issues.

### **Pre-settlement Iwi have different governance training needs to post-settlement Iwi**

Most key informants commented that facilitators need to be aware of the ‘different mind-sets’ between pre- and post-settlement Iwi. Training to help Iwi transition between pre- and post-settlement was suggested by several of those we interviewed. Pre-settlement Iwi may still be struggling to make well-informed decisions due to a lack of resources, whereas post-settlement Iwi are looking at how to use their newly acquired assets. Training can help to cover challenges with the transition from the pre- to post-phase.

Facilitators noted that there needed to be flexibility about what was covered in each session. There was diversity of skills and experiences; the programme sets a framework, and how it is applied depends on the participants in each session. For example, some boards may want to focus on improving their financial literacy or on why it is important to understand how a meeting operates. Another board may want to focus on how to operationalise its strategy. This type of learning cannot be a ‘one-off’ for a board, and there is a likelihood that there will be newly-elected members new to a governance role requiring training in good governance practice in the future.

### **Order of the sessions**

Facilitators commented that they needed to ‘*go with the mood in the room*’ and adapt the training to fit the particular needs of the attendees on the day. Although pre-assessment provided some generalised information for the facilitators, it was the face-to-face assessment on the first day that provided more relevant information so the facilitators could identify participant and Iwi aspirations, and then work on how they can operationalise these aspirations.

Key informants also stressed the value of a training programme that covered the three critical focus areas of good governance, with some saying that the session on strategy essentials should be first. Training needed to cover a range of participants, from new to experienced directors. It provides an opportunity for all trustees regardless of experience to hear the same message, be used as a refresher and an opportunity for the experienced trustees to mentor new trustees and directors.

The evaluation found that while the pre-training assessment may have identified suitable attendees, some originally identified as suitable could not attend and were replaced by other Iwi representatives including management staff rather than governors. In this regard, the pre-training assessment recommendations were unable to be fulfilled, in some cases.

*It's better to have a conversation with the chair rather than a pre-survey...it's a different model of working - a partnership trust model. (KI013)*

### **Valuable to get the chair and the whole board at the training**

According to some key informants, it was felt that sometimes board members are selected because of their involvement in Treaty negotiations and not necessarily selected based on relevant skills required to deal with post-settlement assets. Management also requires a degree of financial competence to be able to carry out the board’s vision for the Iwi.

In order to ensure a common skill set for collective decision making, it was suggested that the whole Iwi board attend (including the board chair), along with management (including the CEO). Informants stressed the importance of the chair attending as it is important to set the scene and tone from the top.

## 4. Evaluation Findings: Relevance

### 4.1 Training needs of Iwi trustees

To evaluate whether the objectives of the training were relevant to the needs of participants we examined responses from the 2016 IOD pre-course and post-training survey. We firstly looked at the stage of participants’ governance career, and then compared their pre- and post-training skills level responses.

One hundred and seventy eight prospective attendees were asked by IOD to complete its pre-course assessment survey online. This assessment received 103 responses. After the training, 169 attendees were asked to complete a further post-course survey assessment online. This survey received 92 responses. Sixty-seven respondents answered both pre- and post-training survey questions, of which 27 were classified as trustees or board members. The other respondents were Iwi management or Te Puni Kōkiri representatives.<sup>16</sup>

**The relevance of the training was somewhat dependent on the stage of governance career and the skill level before engaging in the training**

#### 4.1.1 Stage of governance career

The pre-course survey asked participants to describe (using options outlined in the table below) which most accurately describes the stage of their governance career. Two fifths of respondents said they were actively practicing and holding more than one governance position, and almost a third of respondents were aspiring directors, or new to their governance role.

**Table 3 Pre-training assessment of governance career (n=103)**

Pre-training assessment survey response options	Response rates
Aspiring - just starting out, not a lot of experience	31% (n=32)
Active - actively practising, 1-2 governance positions, seeking more	41% (n=42)
Mid-career - I hold a number of positions, am actively practising and looking to progress my career further	22 % (n=23)
Late-career - I have significant experience and am winding down practice as a director	6% (n=6)

<sup>16</sup> See Methodology and Limitations in Appendix 3 for more detail.

Respondents were also asked in the pre-course survey to identify their personal top three governance development priorities and from their perspective, their three governance development priorities for their board. The following themes (in order of priority) were extracted by IOD<sup>17</sup> from the responses.

### **Participants are looking for development in strategic thinking and planning for their board**

In the pre-course survey, participants reported that they were looking for training that covered development of strategies, strategic thinking, and planning. Some key informants questioned whether it may be more appropriate to start the governance training with strategy training.

Table 4 shows that participants were looking for ‘strategy’ (development of strategy, strategic thinking and planning) governance development as part of their training, followed by a need to understand the board’s role and what good governance looks like for their board. Personal governance development priorities were financial literacy and management and strategy and strategy development.

**Table 4 Governance development priorities for governance training trial participants**

What are your personal top three governance development priorities?	From your perspective, what are three governance development priorities for your board?
<ul style="list-style-type: none"> <li>• Financial literacy and management</li> <li>• Strategy</li> <li>• Development (of strategy, policy, capacity)</li> <li>• Understanding of the board’s role and governance</li> <li>• Governance</li> <li>• Succession planning</li> <li>• Communication (from board to management, vis a vis and to stakeholders/members)</li> <li>• Compliance</li> <li>• Leadership (influence of the board members, quality of leadership).</li> </ul>	<ul style="list-style-type: none"> <li>• Strategy (development, implementation, evaluation)</li> <li>• Communication (internal and external)</li> <li>• Governance (good/efficient governance, roles, difference between governance and management)</li> <li>• Strategic (thinking, planning)</li> <li>• Succession planning</li> <li>• Management</li> <li>• Finance</li> <li>• Board (understanding of roles and expectations)</li> <li>• Decision-making</li> <li>• Improving the business.</li> </ul>

<sup>17</sup> IOD ‘Global Themes Report’ (30 November 2016).

## 4.1.2 Pre- and post-training governance skill levels

The surveys sought to assess participants' self-reported skill levels before and after the training. They invited participants to rate their level of skill, knowledge and experience across the topics in each of the course modules (governance, strategy and finance), and provided the opportunity for free text comments.

Different numbers of participants responded to each individual question (total of 21 questions across the three modules), with the number of respondents varying between 89 and 94.

Unfortunately, the design of the survey limits the robustness of the results and the analysis that can be undertaken. There was a set of paired responses but it was very small (approximately 30%) and so insufficient for analysis. Most people completed either the pre- or post-survey but not both

- Because responses to the two surveys were not paired, it was not possible to compare the change in individuals' skill levels. This issue could be addressed in future surveys by assigning each respondent a unique identifier to be used in both surveys, so their individual responses can be paired. In this case, we can only compare the aggregate change across the whole cohort. We did this by calculating weighted averages.
- The two surveys used different rating scales. The first survey (pre-training) used a six-point scale (from 'nil' to 'high'); the second used a five-point scale (from 'low' to 'high'). This means it is not possible to directly compare results between the two surveys. It also means that scores in the second survey are likely to be positively skewed (towards higher ratings), meaning the increase in skill levels is likely to be over-estimated. There are a couple of ways of dealing with this, neither of which is perfect. We opted to exclude the 'nil' ratings from the first survey. An alternative would be to aggregate the 'nil' and 'low' scores but this would exacerbate the positive bias in the post-training scores.

We converted the rating scale into a numeric scale (1-5, with 1 being the lowest and 5 being the highest) in order to calculate weighted average scores. Given the limitations with the data, we did not calculate the statistical significance of results.

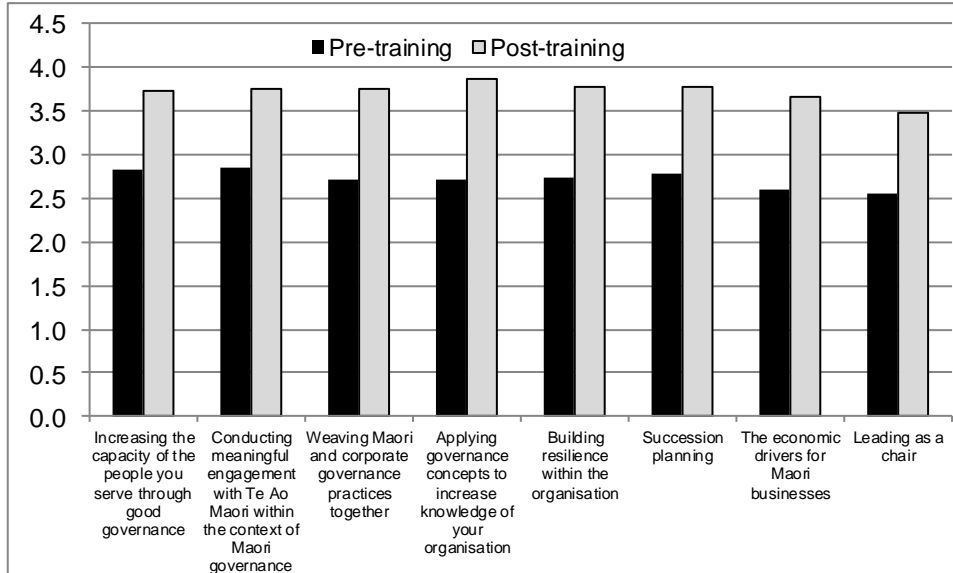
## 4.1.3 Increase in self-reported skill levels

The surveys show that, on average, participants' skill levels increased across every session and topic in the course (see Figures 1-3, below). The session with the lowest average pre-training score was governance (2.7 or 'moderately low') and the highest was strategy (3.8 or 'moderate'). The session with the highest post-training score was strategy (which increased to 4.0 or 'moderately high'). The greatest increase was in governance (average increase of 1.0).

Within the governance session, the topic that recorded the biggest increase in skill level was 'applying governance concepts to increase knowledge of your organisation'. In the strategy session, 'the development process and how strategy is communicated' saw the biggest change in skills. And in finance, participants experienced the largest increase in skills in the topics of 'solvency' and 'financial ratio analysis' – areas where pre-training skills were the lowest.

**Figure 1 Change in self-reported skill level: governance module**

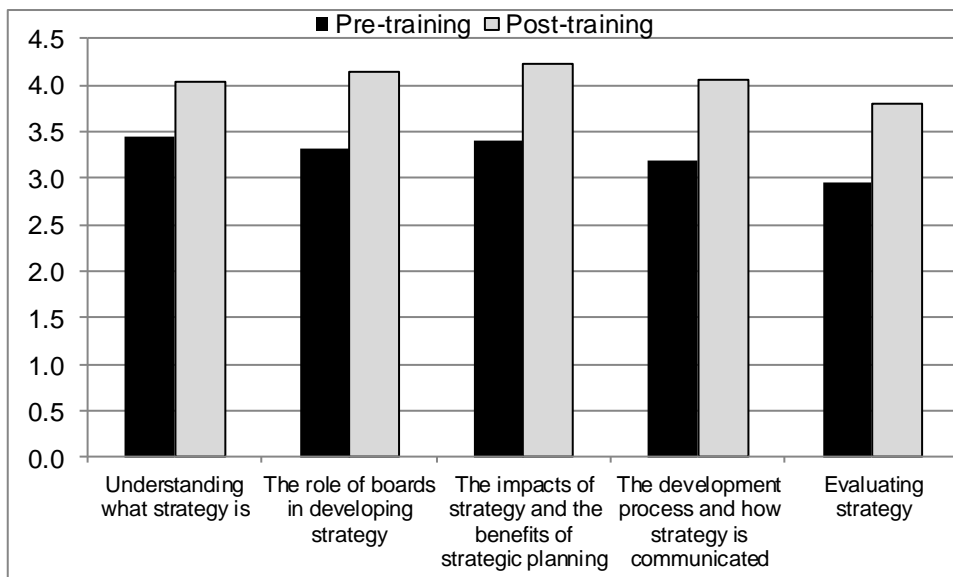
2016 cohort



Source: IOD surveys

**Figure 2 Change in self-reported skill level: strategy module**

2016 cohort

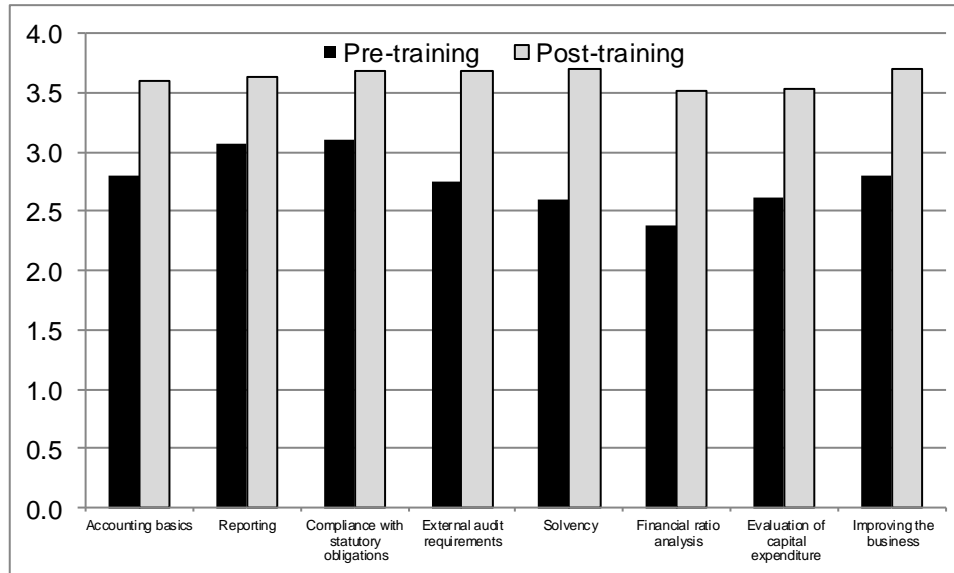


Source: IOD surveys



**Figure 3 Change in self-reported skill level: finance module**

2016 cohort



Source: IOD surveys

#### 4.1.4 Participant feedback

##### Increase in knowledge/understanding and confidence

Several respondents commented that the training increased their knowledge/understanding: or confidence in their ability:

*“I am so proud to have been given this chance to actually sit on this three day course. I have gone away with the best knowledge and understanding than ever. Thank you”.*

*“I actually have a better understanding of how governance works now”.*

*“[Facilitator] upskilled my financial literacy considerably higher than it was previous to this course... Thanks [facilitator] for your skilled delivery on this subject”.*

*“I now believe I can confidently ask questions regarding the accounts without feeling like an idiot”.*

A couple of those who had good pre-existing skill levels felt the training refreshed or enhanced their understanding:

*“Existing skills were rewired and the new information and ideas enhanced the existing skills”.*

##### A good opportunity and enjoyable experience

A number of respondents also commented on what a good experience it was, or how much they appreciated the opportunity. Respondents were particularly complimentary of the strategy module:

*“This part of the course is what I really enjoyed”.*

*"I was really looking forward to this session and I was not disappointed. I enjoyed the simple approach taken by the facilitator".*

*"I got so much out of this module that I am confident to share those skills I learnt on all my Trust boards."*

### **Very positive feedback about the facilitators**

The area that received the most feedback – all of which was very positive – was the quality of the course facilitators. Several respondents were effusive in their praise:

*"[Facilitator] communicated strategy aspects and concepts so effectively I can now confidently design organisational structures optimised to deliver specific strategic goals. Thank you"*

*"[Facilitator] was awesome 10 out of 10".*

*"Facilitator was very good and kept me engaged".*

*[Facilitator] was an excellent facilitator and really tailored the session to our organisation which was extremely valuable".*

*"[Facilitator] was a very clear presenter and able to explain concepts very well in a short space of time. I have been to a few courses on accounting basics and she is by far the best I have ever had. She also had a great sense of humour which I really enjoyed".*

### **Participants valued the group kōrero**

A couple of respondents identified the facilitated group kōrero as being particularly valuable:

*"Personally I found the kōrero amongst the group... strengthened the resource books and presentation".*

*"Interaction and participating in group exercises was excellent."*

### **Finance module the most challenging...**

A number of respondents indicated that finance was the area where they had least confidence going in to the training, and some appear to have struggled despite the high quality of facilitation:

*"I am new to finance so I learned a lot but some of it was a bit over my head".*

### **... and need to apply the skills in practice**

Several respondents commented that they will need to further study the course materials and/or apply the skills in practice in order to embed their learning, particularly in the finance module:

*"Bit behind the 8 ball here lot of homework required".*

*"I will revisit the booklet... to become more familiar with accounting basics".*

*"Still need more experience in governance".*

*"Overall a lot learnt in a short period of time, so the requirement for me now is to take some time to grasp the knowledge that has been given to me".*

### **Some areas for improvement or additional focus**

Some suggestions were made for additional topics that could be covered, or where course content did not quite meet expectations:

*“Did not quite hit the mark on introducing a Māori value system into a business concept”.*

*“Public speaking and chairing committees remains a skill gap”.*

*“Need training on chairing meetings properly”.*

## **4.2 Trial design**

We were asked to examine whether the trial design met the known criteria (from research literature) for training Iwi trustees. We looked at IOD reports and Te Puni Kōkiri background documents, and supplemented this with information from interviews with key informants and other relevant literature.

The governance training design has drawn on learnings from Te Puni Kōkiri capacity and capability building initiatives, recommendations from previous evaluations of government-funded Māori governance training programmes, and the content is consistent with New Zealand and international good governance practice principles.

### **The governance training meets known criteria for training Iwi trustees**

Te Puni Kōkiri has for several years invested in capacity and capability building of whānau, hapū, iwi, Māori communities and organisations to develop sound governance practices and implement robust processes and systems. Investments have been through Tāhūa Kaihoatu, the Capacity Building Programme, and the Māori Potential Fund.

Evaluations of these and other government-funded governance training programmes have identified some enhancements which are consistent with the governance training design. The text below outlines some of the recommended improvements.

The 2009 evaluation of the Strengthening Management and Governance (SMG) programme identified some enhancements, three<sup>18</sup> of which focus on the changing development needs of organisations:<sup>19</sup>

- Formalising training programmes.
- Providing access to governance resources.
- Increasing public knowledge of Māori governance.<sup>20</sup>

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<sup>18</sup> <https://www.tpk.govt.nz/en/a-matou-mohiotanga/governance/evaluation-of-investments-in-the-strengthening-man/online/5>.

<sup>19</sup> <https://www.tpk.govt.nz/en/a-matou-mohiotanga/governance/evaluation-of-investments-in-the-strengthening-man/online/3>.

<sup>20</sup> Te Puni Kōkiri undertook a scan of newspaper articles on governance for Māori boards and other entities. It noted that two types of articles dominated; those that report on bad governance (e.g. Te Kohanga Reo National Trust Board and Wellington Tenth's Trust and Sir Ngatata Love's trial), and brief mentions of conferences or training courses with a governance theme.

One of the key findings from the 2011 ERO evaluation of ‘Governance training for boards of trustees and whānau in kura’ was that **training for boards and whānau has a significant impact on their governance practices**, and that access to tailored, on-site governance training was required. Also, a questionnaire about the training undertaken and its impact on improving the quality of governance practices was also completed by the kura before the evaluation. ERO used this information as a basis for further discussion with key stakeholders.

The governance training trial facilitators tailor each session for each Iwi, and the training was delivered in the North Island and on the Chatham Islands. IOD’s online surveys were also used to inform the next round of training trials in 2017. These include facilitators allowing more time for handover/debrief between each day, encouraging FAQ sessions after each day; and not having Te Puni Kōkiri officials attend (either as participants or observers) the workshops.

The 2014 Dairy NZ and Ministry for Primary Industries (MPI) funded scoping study, ‘Māori Farming Trusts – A Preliminary Scoping Investigation into the Governance and management of Large Dairy Farm Businesses’ observed that **the performance of Māori agribusiness is not solely related to financial decisions but includes the social construct of social, environmental, cultural and spiritual objectives** which at times can be in competition.

Te Pae Hihiri: Māori Governance – Navigating the Future module is designed to weave Māori and corporate governance practices together. The facilitators discuss how tikanga principles can be put into practice in the board of a Māori organisation alongside governance principles. **Tikanga, kawa and values that meet the aspirations of Iwi, hapū and whānau often give direction to board work. Tikanga can easily fit alongside governance best practice** (p.86 The governance training trial Te Pae Hihiri: Māori Governance workbook).

A key finding from the 2015 MPI funded Pilot Icehouse Māori Leaders Programme final evaluation recommended adapting the programme into a series of learning modules delivered partly online and partly face-to-face, including using a mix of governance tools, quizzes, video case studies, workshops, face-to-face coaching and assessments to measure learning. It also recommended reducing the cost of making the programme available to Māori trustees. The evaluation noted the need for a deep understanding of training pedagogy, as well as mātauranga, Kaupapa and tikanga Māori gained from experience of working with and in Māori organisations.

**In conclusion**, much of the recommendations above have been considered, incorporated or adapted for the governance training trial. The design was based on the need to ensure pre- and post-settlement Iwi had the necessary skills to ensure the assets are managed efficiently and effectively for the wellbeing of its people. The governance training design provides a governance framework which enables the sessions to be tailored to each Iwi attending the training. The governance training includes using a series of three learning modules which are delivered face-to-face, and covers the fundamentals of governance and finance and strategy essentials, as well as using case studies. The cost of attending is fully subsidised, leaving attendees to cover travel and accommodation costs if required. The IOD facilitators that deliver the Māori governance module have the right level of experience, and some of the other/non-Māori facilitators who take the finance and strategy models have a good understanding of Te Ao Māori.

### **The governance training content is consistent with good practice governance principles being applied in New Zealand and internationally**

In addition to recommendations from previous evaluations of government-funded Māori governance training programmes, the design is also based on the principles of good governance practice. The design is underpinned by a framework based on recognised principles of successful corporate governance - accountability, fairness, transparency, assurance, leadership and stakeholder management.<sup>21</sup> These are critical in the successful running of a board and forming solid professional relationships among its stakeholders.

IOD's 'four pillars' aims to blend high level principles in governance good practice with practical guidance on day-to-day directorship and an interpretation of legislation affecting directors. The governance training covers the four pillars, which are:

1. Determination of purpose (the board knows its roles and responsibilities and what it wants to achieve for its Iwi – what success looks like)
2. An effective governance culture (the board works well as a team and adds value which improves Iwi performance and community wellbeing. It is committed to good practice, life-long learning, and can respond to changing environments)
3. Holding to account (the board is accountable to its Iwi stakeholders. It has transparent processes, robust systems, and holds management to account)
4. Effective compliance (the board understands compliance and risk in the regulatory environment).

### **A diverse environment means there's no 'one size fits all' model**

There are various models of governance, and training needs to be tailored to the local context. While a diverse environment means there's no standard model for all organisations,<sup>22</sup> including Iwi-controlled entities, key governance standards and good practice skills can be tailored to fit the tikanga of the Iwi.

*"Cultural values are influential in determining the types of legal regimes perceived and accepted as legitimate in any country... though protection of shareholder interest may be important, it may not be sufficient for sustainable development"*<sup>23</sup> e.g. taking wider stakeholder interests into account can be more important.

This is consistent with Petrie's (2002) paper where he refers to "successful and enduring self-organisation as associated with users of the resources designing their own rules, rather than having them externally imposed."<sup>24</sup> He also notes research shows that "Individuals are more

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<sup>21</sup> OECD (1999) OECD principles have become the international benchmark in corporate governance. Updated 2015. [http://www.keepeek.com/Digital-Asset-Management/oecd/governance/g20-oecd-principles-of-corporate-governance-2015\\_9789264236882-en#.WV8JMSGPIU#page11](http://www.keepeek.com/Digital-Asset-Management/oecd/governance/g20-oecd-principles-of-corporate-governance-2015_9789264236882-en#.WV8JMSGPIU#page11).

<sup>22</sup> Clarke, T. (2016) The continuing diversity of corporate governance: Theories of convergence and variety. *Ephemerajournal Vol. 16*(1): 19-52 <http://www.ephemerajournal.org/contribution/continuing-diversity-corporate-governance>.

<sup>23</sup> Ibid, p.36.

<sup>24</sup> Petrie, M. (2002) 'Institutions, social norms and wellbeing' for Treasury New Zealand, p.24.

willing to abide by rules where they have participated in their design, which means they are more likely to reflect shared concepts of fairness.”<sup>25</sup>

The IOD’s four pillar principles which are used in the governance training trial should be read with an understanding that local rules and cultural norms may lead to different approaches to governance practices. The governance training provides a framework but it is up to Iwi to ‘fine-tune’ those principles to fit their own tikanga and their way of doing things.

In Māori organisations, the objectives of governance take into account the way in which Māori relate to the assets, what they are used for, and the prosperity that these assets might bring to members of the iwi. In some instances, although the organisation operates commercially, short-term commercial objectives may need to be balanced with safeguarding assets for future generations.

Boards can tailor principles of good governance practice to fit their own tikanga. For example:

**Leadership** An effective board should head each entity. The Board should steer the entities to meet Iwi purpose in both the short and long term. A parent body provides the strategic and political context for the tribe and can require a broader set of leadership skills, compared to specific boards, e.g. commercial/cultural. A parent body also needs to ensure that the multiple entities are working coherently.

**Capability** A board should have an appropriate mix of skills, experience, and independence to enable its members to discharge their duties and responsibilities effectively. For example, a commercial board may have different people appointed to it (because of their financial skill-set) from those on a board with iwi cultural and social governance responsibilities. The trustees on this board would be skilled and experienced in the cultural aspirations of the tribe. The peak or parent body board that sits over the top of these boards should have a mix of both skill-sets.

People appointed on to the commercial arm of an Iwi need to have good financial, commercial and strategic skills, plus experience in driving organisational performance. Even in the purely commercial world, there’s more attention being paid to long-term sustainability rather than short-term profit maximisation, pay equity (for example between management and staff),<sup>26</sup> environmental concerns, and community support for the commercial enterprise. Recent approaches to “Integrated reporting” reflect an approach to stewardship for six ‘capitals’ (financial, manufactured, intellectual, human, social and relationship, and natural) and promote understanding of interdependencies in supporting the creation of value over the short, medium and long term.<sup>27</sup>

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<sup>25</sup> Ibid, p.5.

<sup>26</sup> New York Times (Dec 7, 2016) Portland Adopts Surcharge on C.E.O. Pay in Move vs. Income Inequality by Gretchen Morgenson. <https://www.nytimes.com/2016/12/07/business/economy/portland-oregon-tax-executive-pay.html>.

<sup>27</sup> <https://integratedreporting.org/wp-content/uploads/2013/12/13-12-08-THE-INTERNATIONAL-IR-FRAMEWORK-2-1.pdf>.

Recent thinking on skills matrices for boards is that a balanced board needs people who understand more than just how to manage money.<sup>28</sup> For Iwi boards, it also includes understanding Iwi aspirations. This type of skills matrix would include the type of experience kaumātua can bring to a board.

**Accountability** The parent body board should communicate to its Iwi stakeholders, at regular intervals, a fair, balanced and understandable assessment of how the Iwi is achieving its purpose and meeting its other responsibilities.

**Sustainability** The parent body board should guide the business-arm to create value and allocate it fairly and sustainably to reinvestment and distributions to Iwi stakeholders.

**Integrity** The parent body board should ensure each entity conduct its business in a fair and transparent manner that can withstand scrutiny by Iwi and crown stakeholders.<sup>29</sup>

Most key informants identified that an effective trustee or director needs to be able to:

- **Be strategic**, with the ability to lift sights from operational level to look at the horizon and set aspirations and design the future space. This is the common denominator for Iwi, regardless of trustees being part of a cultural or commercial entity.
- **Work collaboratively** for a common purpose. *“Can the board sit down as peers to design and align a collective vision for the tribe? Does the board understand everyone's roles at a governance level, and understand the purpose of the roles.”* (KI017)
- **Understand the purpose, strategy and goals of its board.** *“Do they know what works well and what doesn't work so well? What good (or bad) governance is and what good (or bad) management is? Know where you're going and how to get there.”* (KI017)
- **Understand the different roles, duties and responsibilities** between a governance board and management.
- **Be a good communicator.** Chairs need to know how to chair a meeting and ensure important topics are discussed. They need to be able to communicate through the intervening period (pre- and post-settlement), and understand machinery of government and the regulatory space. *“A chair is effective if they're leading the board to add value and help contribute to Iwi wellbeing and goals.”* (KI020)

Both course content and key informant feedback show that the governance training is delivering against good governance principles and is in tune with current thinking on governance. Future Māori governance investments may also wish to consider training in a Māori context with the different needs of pre- and post-settlement Iwi front and centre, and embedded at the beginning of the design process, e.g. based on tikanga Māori values such as Kaitiakitanga and Kotahitanga, and marae-based *“in their house and on their terms.”*<sup>30</sup>

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<sup>28</sup> [https://www.aacqa.gov.au/providers/promoting-quality/FinalSAHubGovernanceResearchReport\\_111115.pdf](https://www.aacqa.gov.au/providers/promoting-quality/FinalSAHubGovernanceResearchReport_111115.pdf).

<sup>29</sup> ICGN (2014) Global Governance Principles. International Corporate Governance Network 4th Ed [http://icgn.flpbks.com/icgn\\_global\\_governance\\_principles/ICGN\\_Global\\_Governance\\_Principles.pdf](http://icgn.flpbks.com/icgn_global_governance_principles/ICGN_Global_Governance_Principles.pdf).

<sup>30</sup> KI021.

## 5. Evaluation Findings: Effectiveness

In this section we examine the effectiveness of governance training in achieving early or short-term results. We looked at IOD survey responses to facilitator and training resources, and interviews with participants.

### 5.1 Facilitators and training resources

We reviewed the post-training survey results along with interview responses, and found that the facilitators and resources played a contributing role in laying a foundation to grow and enable an environment for good governance.

#### Facilitators were able to gain the confidence of and meet the needs of participants

Although there were initial concerns from participants as to whether IOD could deliver a suitable training programme for pre- and post-settlement Iwi boards, positive feedback in the post-training survey from the early workshops helped with the recruitment for the later workshops. Because Te Puni Kōkiri had used a well-respected professional organisation to deliver the training, it sent a good message to participants.

Having the right skills and experience with a good understanding of Te Ao Māori and te reo Māori is important for Iwi governance training, and feedback from participants in the post-training survey and interviews acknowledged the experience and skills the facilitators brought to the workshops.

The table below compares the post-training survey responses of the facilitators covering the three sessions. Of those who responded to the survey, the results overwhelmingly show that the facilitators were able to gain the confidence of and meet the needs of the participants.

**Table 5 IOD 2016 post-training survey responses: Assessment of the facilitators (n=83)**

Agree or strongly agree	Te Pae Hihiri facilitator	Strategy Essentials facilitator	Finance Essentials facilitator
The facilitator was knowledgeable <sup>31</sup> and well prepared.	95%	98%	94%
The facilitator linked theory to practice.	93%	95%	92%

<sup>31</sup> Questions about the Strategy and Finance facilitators only asked if they were knowledgeable.



Agree or strongly agree	Te Pae Hihiri facilitator	Strategy Essentials facilitator	Finance Essentials facilitator
The facilitator made participants feel welcome <sup>32</sup>	96%	n/a	n/a
The facilitator kept me engaged	n/a	96%	90%
The facilitator delivered in a coherent and timely manner	n/a	97%	93%

Responses from the participant interviews mainly mirror responses from the IOD post-training survey.

The main themes across responses were that all facilitators were able to:

- engage and ensure all attendees felt included;
- contextualise the training to ensure attendees could relate it back to their board, roles and responsibilities.

It is important for facilitators and participants to understand the different stages Iwi go through from newly settled where the board is mainly conservative with management of assets (asset preservation) to boards that are more established and need strategy skills for asset growth. Also there are different needs for different sized Iwi (large, mid-range, small).

Most Iwi are mid-range, requiring a course that provides a menu of options, starting with a basic toolkit.

There is a mixed view on whether to start the training with the strategy essentials, and for day one to work through the long-term objectives for the Iwi, followed by how to achieve these objectives. The rationale is to get board members and trustees to think about the long-term wellbeing of stakeholders, rather than the day to day processes, which is the role of its management team.

Despite the pre-course survey responses (see Section 4, Table 4) which show that participants were looking for ‘strategy’ (development of strategy, strategic thinking and planning) and governance development as part of their training, followed by a need to understand the board’s role and what good governance looks, facilitators acknowledge that the training was more foundational and transactional, e.g. how to read a budget report, how to run a meeting, why it’s important to understand financial processes, and why it’s important to understand the essentials of good governance.

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<sup>32</sup> This question was asked for the first day session which was undertaken by Te Pae Hihiri facilitators.

It is the role of the facilitator to show how the principles of good governance practice apply to an Iwi board, and how having a clear understanding of the principles and practices of good governance will enhance the performance of both the individual and the entity.

### **The training resources and post training arrangements met participants' needs**

All participants who attended the governance training trial programme received:

- three comprehensive take home workbooks covering Te Pae Hihiri, Strategy, and Finance content (in which the material was made relevant to each Iwi board during the training sessions);<sup>33</sup>
- one year's free IOD membership; and
- a CV template and preparation guide and offer of 1:1 advice if required.

The workbook resources are not intended as stand-alone products and were developed as a framework for the training sessions. Early feedback was that the draft workbooks were “too chunky” and the initial concern was that they could be too overwhelming for some participants. The value of the resources came from the facilitators' ability to contextualise the governance concepts and processes. The finance and strategy workbooks cover generic foundation governance essentials.<sup>34</sup>

Benefits realised from the workbook post-training are that they can be used as a reference resource. Interviewees suggested an online resource based on the training sessions would be useful as it could be used at meetings as a refresher, and accessed by those who did not attend the training. Other participants commented that while face to face sessions are important to be able to discuss as a group complex issues, online learning and webinars could be used to supplement the learning.

Just over half of participants<sup>35</sup> took up the offer of free IOD membership for one year. Those who were interviewed who took up the offer said access to further on-line resources were useful, as well as providing an opportunity to network with other directors.

Governance CV preparation work commenced post-delivery of the three day governance training trial programme with an emailed invitation to prepare a CV, with guidelines to support this. Each group of participants were given the opportunity to request a CV review. One respondent commented that although it was an important opportunity for their Iwi, it was a missed opportunity and they did not take up the offer as people were too drained by the training programme. *If sessions were staggered and there was a follow-up, it would have given space for the CV development opportunity. It was important and we missed the opportunity.*<sup>36</sup>

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<sup>33</sup> Responses from post-training survey, key informant and participant interviews.

<sup>34</sup> Based on early feedback, IOD updated the workbook covers for the 2017 sessions. These included a bilingual cover and new image for each cover.

<sup>35</sup> The 30 November 2016 IOD and Te Puni Kōkiri Final Project Report reported that 51% (80 participants) took up the offer at time of writing the report.

<sup>36</sup> KI018.

**In general, the session length and format were acceptable for most participants. Some participants would have liked longer sessions over two days rather than office hours sessions over three days**

Although most participants we talked with thought that in general the session length and format were acceptable, some participants would have liked longer sessions over two days rather than office hours sessions over three days. Iwi governance is not a full time job. According to most participants who were interviewed, the role of Iwi trustee is considered a duty to one's Iwi, more than viable means of full-time employment. The duties of an Iwi trustee are carried out on top of full-time employment. In most cases participants were required to take a day's leave from their employment to attend the three day Iwi governance training trial.

While the intention of a three day training course was to give participants one day to focus on one specific area of Iwi governance, the three day approach may also have prevented some Iwi trustees from attending the training. Some participants shared that carrying on longer into the evening not only would eliminate having to take a day off work, but it would also provide an opportunity for participants to possibly share accommodation, and network in the evenings.

One participant spoke of her disappointment during the training when the other Iwi, which was a neighbouring Iwi, went home after the training and they weren't able to network further after workshops ended for the day. While there may be benefits of holding the training over a weekend, this may also present a financial burden to participants, or their sponsoring Iwi, with accommodation costs.

An early pre-training survey or pre-assessment phone call during the recruitment may be able to identify whether a change to two day training may be beneficial or whether it may become a further barrier to attending the training.

## **5.2 Effectiveness of the governance training in achieving short-term results**

This section outlines early benefits of training that have been realised by Iwi. These are based on our interviews with participants.

### **5.2.1 Participant attitudes to governance practice**

**The major change, as a result of the training, has been attitudinal, in giving trustees confidence to participate well in board meetings**

The training offered an introduction to the core principles of good governance practice. It provided a refresher for more experienced trustees, and new-found confidence for new trustees. It enabled new trustees to be more fully engaged in meetings, rather than being an 'observer' in meetings. Participants, especially those new to their trustee role, commented that the training has changed the way they now behave at meetings, such as providing them confidence to ask questions whereas prior to training they didn't feel they had the knowledge to actively participate in discussions.

Participants new to Iwi governance roles said they felt much better equipped to understand their role as a result of the training provided. However, some of the participants who had been in governance roles previously questioned the message that was being shared about the role of governance, as they believed that there was a difference between directorship and trusteeship. What also arose from a number of participants was the willingness to work closely with management to co-create solutions for the Iwi.

Participants appreciated the clarity the training provided on the role of governance for Iwi trustees. For some, the training was a refresher of earlier IOD training they had undertaken, but for others the training was a totally new experience, and provided total new knowledge in all aspects of Governance, Strategy, and Finance. Overall, those new to Iwi governance roles said they felt much better equipped to understand their role as a result of the training provided.

However, some of the participants who had been in governance roles previously questioned the message that was being shared about the role of governance, as they believed that there was a difference between directorship and trusteeship. What also arose from a number of participants was the willingness to work closely with management to co-create solutions for the Iwi.

Also, more experienced participants questioned whether the message being shared by facilitators about governance practices was based too heavily on a western view of governance, which at times failed to incorporate the role of kaumātua (as patron), who were often heavily involved in the pre-settlement phase. Yet post-settlement, under a more westernised governance structure, there appeared to be no room for kaumātua. Some participants unfortunately spoke of kaumātua as not having the appropriate skill set to engage in the commercial aspects of Iwi governance, whereas the more experienced participants spoke of the need to find a space for kaumātua within the governance structure.

*"I want our board to look after those who looked after us. I want us to care for them [kaumātua] health wise and financially. I want us to go back to systems of looking after our own; provide them with a secure place to live so that they don't have to worry about day to day... as an Iwi we also need to teach the younger ones to behave better."*

*"We're in a new phase of Iwi development. It's aroha vs assets now."*

However, another participant commented that:

*"I've been advised previously by a highly regarded Treaty negotiation official to not make decisions in accordance with tikanga, but I also think that if we are to use tikanga, that the way we use it should be based on a process that is fair and transparent."*

What was commonly agreed across all participants was that the training provided participants with the opportunity to know what commonly accepted governance practices are. This enabled them to identify more clearly where their role begins and ends, and what accountabilities and responsibilities they are charged with in their governance roles. This ultimately helps them to avoid risky behaviour.

What was perhaps not so clearly articulated through the training was the difference between directorship and trusteeship or kaitiakitanga.

## 5.2.2 Changes in board, and Iwi knowledge and skills

Both experienced Iwi trustees and newly trained Iwi trustees spoke of the positive insights and learnings gained from participating in the three modules encountered during the training. Participants spoke highly of the workshops and believed that they had all come away from the workshops with new knowledge.

### **As a result of the training, new-found confidence enabled participants to be more fully engaged in meetings, rather than being an ‘observer’ in meetings**

When asked about how this knowledge was being applied back in Iwi trustee meetings, participants spoke of the new found confidence to ask questions about agenda items that they may not have had the confidence to ask questions about before. This confidence enabled participants to be more fully engaged in meetings, rather than being an ‘observer’.

Participants reported that Iwi trustees who did not attend the training now wanted to attend as they could see the benefits of the training through the behaviour of Iwi trustees who did attend the training.

Another noticeable change was more efficient use of time during meetings. Participants spoke of meetings that would have previously taken four hours now taking two hours. Processes, procedures and pre-meeting responsibilities were more clearly understood, and engaged with, and enabled a more efficient use of meeting time.

### **The training gave women confidence to participate more actively in meetings**

Some of the female participants shared that some men on their boards still needed to come to terms with the fact that women are equal as Iwi trustees. On a number of occasions women spoke of men using tikanga, the role of men within Māoridom, and age, as factors to sway an Iwi trustee decision, to the point (at times) of women having to endure unnecessarily threatening behaviour by male Iwi trustees, if they wished to challenge or question a decision being made.

Prior to the training these participants might have submitted to such behaviour, but now feel more comfortable in the knowledge of their role to continue to challenge or question, for the betterment of whānau, hapū and iwi, and to put personalities and emotion aside. The issue of dominance versus working as equals did not arise in conversations with men.

## 5.2.3 How participants and boards have applied good practice and succession plans

### **Knowledge gained from the training, particularly for newly appointed Iwi trustees, is still bedding down**

Participants referred to the training as a start to their professional development. Some participants spoke of their desire to have a coach available to them as individual trustees, or to whole trust boards or Rūnanga, who could be on call to mentor new trustees, or who could be available to support newly established trust boards.

Participants also spoke of wanting to learn from Iwi who settled some time ago, with a desire to learn from their mistakes, but also from their triumphs and positive experiences, so that

newly settled boards might avoid some mistakes and learn how to make good financial and commercial decisions that will bring greater prosperity to their Iwi.

### **Succession planning will help the transition from pre-settlement to post-settlement**

In terms of succession, there were two kinds of issues:

- The hand-over by kaumātua to the next generation Treaty negotiation is often seen as an onerous task, and there are many examples within Iwi where those who may have been at the forefront of negotiations step aside to allow the next generation to lead the next phase of Iwi development.
- The second kind of succession is within trust boards and Rūnanga. As the majority of the participants interviewed were from newly settled Iwi, there was not much discussion about Iwi trustees looking at standing down in the near future, so succession on Iwi boards was not widely discussed. What did arise through participant interviews was that on some boards (when the pressure was on to make big financial and commercial decisions) some trustees who felt that they didn't have the skill-set to make bold decisions would stand down, creating a high turnover of membership on the board. We expect that the training provided will help reduce this type of turnover.

## 6. Evaluation Findings: Wider effects at local and system levels

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In this section we look at the wider effects of the governance training on broader relationships with Iwi and hapū, and the Crown.

Investments are a risky business and part of good governance is to ensure good risk management processes are in place, and for trustees and board members to look at a wide range of angles on the pros and cons of options. Good governance processes complement the stewardship role Iwi trustees hold over these tribal assets.

### **The governance training contributes to governance beyond Iwi boards**

We found that although the training is aimed at pre- and post-settlement Iwi, it was acknowledged by most key informants and participants that the training will have a ‘ripple effect’, as many of the participants are on more than one board, have other governance-type roles within their tribe, or hold both governance and management roles. Skills gained from the training can be applied beyond the immediate entity and improve governance practice across wider areas.

*“It’s important to get governance to the grassroots. Downstream, this allows other entities in New Zealand to do better and make a difference.” (KI015)*

### **The governance training trial facilitators work sensitively with participants on the different skills required for pre-settlement, newly post-settlement, and established post-settlement**

Different drivers and different skills are required when starting and setting up something new, compared to managing investments on an on-going basis. The value of this training is the facilitators’ ability to tailor the workshops to the specific needs of an iwi.

Interviewees suggested that it would be useful for pre-settlement Iwi or newly settled Iwi to have access to mentors from Iwi who have been established for a while, to talk about lessons learned. These mentors could be part of the governance training trial, or part of post-governance training trial as part of an on-going Māori governance network.

### **Governance training was tailored to fit the tikanga of each Iwi**

There were some concerns that the governance training trial was an attempt to apply a western model to Iwi governance structures, which would conflict with the tikanga of Iwi. What may need to be made clearer, either during the recruitment phase or during the workshops, is that the governance training provides a framework of good governance principles, which can and should be tailored by Iwi to fit their own tikanga where necessary.

### **Providing subsidised governance training helped build trust between Iwi and Crown, which will build confidence that Iwi assets are managed sustainably**

It takes strong leadership to get a settlement mandate, work through historical issues, and work through the Waitangi Tribunal process. The process can be polarising and so to be able to get agreement from Iwi and strike a deal with Crown, the board and chair must have

leadership skills. Key informants noted that assessing Iwi governance and investment performance depends on:

- Where the tribe is at, the diaspora of its people, its economic development, and its relationship with the Crown. All have an impact on its people and its capabilities at both an operational level, and at the strategic level.
- The structure of the Iwi post-settlement. There are different entities within Iwi, and each requires different skill sets to govern and manage.
- Comfort with the management of assets. Trustees and management need to be on the same page regarding purpose, and what success looks like, for the tribe. Getting constituents to think about the aspirations of the Iwi or the strategic vision for its people can be a low priority when the focus is on finding work, putting food on the table, or heating homes.

On-going asset management will require different skills to those needed by an Iwi to secure a settlement. However, assessing success in managing settlement assets depends on what lens you use, and the context of where Iwi are at. The structure and aspirations of one Iwi may not be the same as another Iwi. The development of the entity will depend on where the Iwi has been, where it is at now, and its strategic vision and future aspirations for its whānau, hapū and iwi. To understand whether an Iwi is managing resources well, you have to know what they want to achieve for their people and what that success could look like.

Iwi can also take a broader and more holistic (or a quadruple bottom line<sup>37</sup>) approach to measure success that includes cultural and social, rather than a purely economic approach. This can cause some tension with the Crown, if the Crown only looks at how well investments are performing financially. Financial returns may be higher for investments made outside a region, but this may not be the best way to improve wellbeing for iwi members, e.g. if it doesn't increase work opportunities within the region.

To assess whether assets are being well-managed trustees need to understand how assets can be used for the growth and well-being of the community, development of opportunities, and development of outcomes. The governance training contributes to building capability to do this.

*As part of settlements, most tribal assets are 'locked up' long-term. ... Wherever in the world Iwi are, they will have an impact on how they want to see assets managed. Impoverished whānau are not interested in whether its Iwi has a diversified portfolio, and engaging on tribal matters is not a priority. (KI017)*

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<sup>37</sup> People, planet, profit and culture.



## 7. Conclusions and Learnings

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The governance training trial was aimed at trustees and directors who are responsible for the governance of the Iwi that they sit on the board of, whether it's a cultural or commercial entity. Governance is about setting objectives, overseeing progress, and making sure trustees and directors delegate responsibilities for the day-to-day operations of the business to the CEO and management team.

A well-composed and functioning board is able to provide support and overview to its leadership team. As well as its specific legal and regulatory responsibilities, a board is able to assist management to achieve the full potential of the organisation and grow long-term stakeholder value.

A board's role is more than just making sure the organisation is compliant but is part of strategy formation looking across the horizon what is happening with other Iwi and in the wider economic environment, championing the leadership team to do the best they can do.

### **The governance training is relevant and efficient in delivering the fundamentals of governance**

We were asked to assess the relevance, efficiency, effectiveness, benefits, and wider effects of the trial to inform decisions on continued funding.

Overall, we found that the governance training trial contributes to future governance capacity building. The investment by Te Puni Kōkiri in the training trial filled a gap in the market, and the training programme undertaken by IOD provides comprehensive training in the fundamentals of governance. While the Māori governance session weaves Māori and corporate governance practices together, a similar process could ensure the Finance and Strategy sessions are connected more closely to Māori governance practice.

Although pre-settlement Iwi have different governance training needs to post-settlement Iwi, pre-assessment to identify most suitable Iwi trustees to attend the training is not necessary. The skill lies with the facilitator to work through what training best helps Iwi to transition from the pre- to post-settlement environment.

The design meets known criteria for training Iwi trustees, directors and, to a certain extent, management staff, in the essentials of good governance practice. Its content is consistent with good governance principles being applied in New Zealand and internationally.

### **Facilitators were able to gain the confidence of and meet the needs of participants**

We assessed that having the right skills and experience with a good understanding of Te Ao Māori is critical to the future success of Iwi governance training. The facilitators worked with participants on the different skills required to help with the transition from pre-settlement to post-settlement. More time needs to be spent on this for future governance training. Overall, the training resources and post-training arrangements met participants' needs.

### **A diverse environment means there's no 'one size fits all' model**

Key informants noted that to be an effective chair, trustee, or director, a person needs to be able to be strategic, work collaboratively, understand their boards' purpose and different roles, and be a good communicator, particularly for a chair.

Recent thinking on skills matrices for boards is that a balanced board needs people who understand more than just how to manage money. For Iwi boards, it also includes understanding Iwi aspirations. This type of skills matrix would include the type of experience kaumātua can bring to a board.

The diversity of Iwi trustees is also not just in terms of skills, experience, age, gender, or cultural knowledge. Diversity is also reflected in terms of whether a trustee has been raised in an urban or rural setting, or whether they are ahi kā (lives locally), or mai i tawhiti (travels from afar to attend Iwi trustee meetings). Finding a common ground is important when attempting to navigate the diversities of Iwi trustees.

### **Governance training can be tailored to fit the tikanga of each Iwi**

While the governance training trial contributes to future governance capacity building, on-going governance training needs to reflect cultural ambition, and there are views from both key informants and participants that currently the commercial and the cultural are considered separately in the training.

Within the current model, suggestions such as access to mentors and learnings from others who have gone through the settlement process would be useful to those Iwi newly settled. (For example, there are different governance models: Ngai Tahu uses one approach and Waikato Tainui uses another). Both have gone through several evolutions (in particular Tainui).

Training and mentoring can also help those who have expectations from their whānau but don't necessarily have the right skill sets to meet those expectations. Also, that the training programme is facilitated by Māori or those with good understanding of Te Ao Māori and expertise in Iwi governance practice.

## **7.1 Challenges with some key governance practices**

1. One of the biggest challenges observed by key informants is Iwi grappling with 'objective setting', and how to meet commercial and cultural objectives.

*"[Iwi] need to find a framework that works, and this will take time. There can be many iterations of board membership to find a balance that works .... The commercial challenge is that people are selected based on their involvement in pre-settlement negotiations. [Iwi] need a board with a balance of skills to assess real commercial opportunities. Unsure how to address that and whether this training will help."*  
(KI022)

Governance training needs to include how to transition from pre-settlement to post-settlement.

2. A second challenge is reconciling who Iwi appoint, and how to get right skillsets to fit within the cultural framework – values and cultural connections. Areas of challenge observed by key informants include how to deal with a mixture of Iwi members and others (not necessarily from that Iwi) brought on board because of their specific skills. The training could include how to build a culture of decision-making that avoids factions being at odds with each other, but that can achieve the objectives of the Board.

Differing views are fine but it's how to build a way forward to make decisions that will benefit beneficiaries and non-beneficiaries. Governance training can help with this.

Boards also need 'wrap-around' support for trustees to better understand how different systems work. An understanding of western commercial models is important if boards are investing in enterprises from the wider commercial world, but tikanga-based governance also needs to be considered.

Pre-settlement skills and focus will not necessarily drive long-term commercial and cultural arrangements. Post-settlement support on how to manage challenging issues (such as the balance between the commercial and cultural imperatives) for their Iwi could come from governance training or through a mentoring scheme.

In essence, unless you have the right mix of people in the right positions, the board and management are going to struggle.

3. A third challenge for Iwi is how women trustees and directors are treated at board meetings. Some of the female participants shared that some men on their boards still needed to come to terms with the fact that women are equal as Iwi Trustees.

### 7.1.1 The role of the Crown

A key lesson from recent events in the Northern Hemisphere, and from post-colonial history, is that unless economic development is inclusive there is a risk of political instability. Inclusive economic development occurs when benefits of increased prosperity are felt by all cultural and social groups.

The Crown does not have an easy role to play in ensuring Iwi assets are governed well. Post-settlement there is substantial mana and desire for self-determination. However, providing governance training is an appropriate way to ensure boards have the right mix of people and skills to manage risks and investments.

Providing subsidised governance training can help build trust between Iwi and the Crown, which will build confidence that Iwi assets are managed sustainably.

Overall, we found that the governance training trial presented the start of a journey for both participants and for IOD. This is because the governance training trial focused more on 'transactional' training. This reflected what facilitators identified would be most useful for the participants on the day, e.g. focus on meeting procedures or on how to read a budget report. Looking forward, there will need to be a long-term plan for governance training with *"more lofty outcomes, building on a more strategic focus for ... Iwi."* (KI017)

## 8. Identifying Improvements

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A pilot programme such as the governance training trial provides an opportunity to identify learnings about what is working and what is not. We have identified nine recommendations for improvements to the training programme. The first six recommendations noted here focus on promotion of the training programme, delivery format, and content. The next three focus on the future role of Te Puni Kōkiri in governance training.

### 1. Explore a range of approaches to promote and recruit trustees for the governance training programme

- (a) Promote the training as a team building exercise that will help Iwi deliver its vision for its people

Key informants from IOD and Crown agencies we talked with suggested that training could be marketed or promoted as a team building opportunity. It is critical that chairs and CEOs attend the governance training to send an important message that applying good governance practice is essential to help better understand the different roles and responsibilities of the board and management.

- (b) Provide more lead-in time for participants to register for training

There are multiple calls on trustees' and directors' time, and training needs to be promoted well in advance. Annual plans are usually confirmed by the end of March, which means the training needs to be advertised months earlier to ensure it is factored into the professional development planning round.

- (c) Only participants from Iwi should attend each session

Facilitators commented that it works better with having participants from one Iwi (or a neighbouring Iwi with close ties) at a time for the workshops, as they are more likely to share their financial statements and other documents with the facilitator for discussion. Sharing and discussing board documents helps put the learning into context.

### 2. Explore other ways to prepare and deliver the training programme

- (a) Three days of training is a big commitment and may be putting some people off. There were mixed views with running the programme over three consecutive days, and suggestions included that the training be held either over a weekend, to avoid people having to take leave to attend, on a marae, or over three weekends, with the further weekend to allow for reflections and feedback.
- (b) Allow more time for facilitators to get to know participants and vice versa

Trust between facilitator and participant is important and participants commented that more time is needed before and at the start of training. Suggestions to build trust include more break-out sessions during the day, and time for reflection at the end of each workshop.

Pre-workshop engagement with facilitators may also encourage commitment by those who register to actually attend. Promoting the training at Rūnanga meetings may be a good approach to get 'buy-in' for governance training.

- (c) Consider re-ordering workshop sessions - Strategic session first and Finance last

It is important for those in governance to understand the role they play in strategy formulation and strategic decision-making. It is the role of management to implement these strategies and decisions, and for the board to monitor progress.

IOD may wish to consider whether it is feasible to start the three day training with the Strategy module. Regardless of order, the training needs to include help for Iwi to transition from pre-settlement to post-settlement.

### **3. Provide further access to training resources for the participants**

The governance training trial provides a foundation for Iwi trustees to build on, but on-going professional development is also important.

Te Puni Kōkiri should consider funding post-training support such as: follow-up sessions; an online training series of the key essentials based on the governance training; an Iwi boardroom portal for online workshops with interactive case studies; or an online community of practice. This would be useful particularly for those who don't take up the offer of the free IOD membership for one year offer which includes access to online resources. Follow-up and re-fresher sessions will help ensure learnings are embedded, and provide opportunity for participant to network, ask further questions and seek assurance that the training is applied appropriately.

### **4. Consider additional content for the governance training programme**

- (a) More focus on ways to help Iwi transition from pre-settlement to post-settlement

More focus on ways to help Iwi transition from pre-settlement to post-settlement will also help address the tension that can occur for a newly settled Iwi with the transition. The change in membership in many cases impacts more on kaumātua than the younger members of the boards. This in itself presents a tension. In addition to attending the training to help with transitioning to a post-settlement environment, a kaumātua committee that feeds into the main board is one way to overcome this tension.

- (b) More case studies

The training programme will also benefit from additional case studies around Iwi governance successes and failures, particularly conflict of interest, intergenerational wealth management versus tribal development strategy, and the unique features of governing an Iwi organisation.

### **5. Consider how the content can incorporate tikanga-based governance models**

Some participants talked about governance practice being tailored to fit the tikanga of each Iwi, as part of helping to support achievement of Iwi cultural ambitions.

Further developments of the training programme could see the framework more fully embedded in Māori values or tikanga. It would need to be informed by principles of good practice, and resolve any potential conflicts with gender roles and kaumātua expectations.

### **6. Undertake on-going monitoring and evaluation**

Te Puni Kōkiri may use its upcoming survey of participants to monitor long-term aspects that we haven't been able to comment on, and other elements that would be good to

monitor such as board turnover. A longitudinal study would be able to explore Crown and stakeholder confidence more fully, and also assess impact of the training on Iwi governance.

## 8.1 Future investment decisions

The following strategic recommendations aim to assist Te Puni Kōkiri with future plans for supporting quality governance at pre- and post-settlement Iwi boards.

### 7. Grow the pool of Māori facilitators to eventually lead Iwi governance training

The 2015 Ministry for Primary Industries (MPI) funded *Pilot Icehouse Māori Leaders Programme* evaluation noted the need for a deep understanding of training pedagogy, as well as mātauranga, kaupapa and tikanga Māori, gained from experience of working with and in Māori organisations.

We recommend that if IOD continues to offer Iwi governance training, it needs to actively grow its pool of Māori facilitators skilled in governance training. New facilitators could come from those participants who have previously undertaken its training programmes.

### 8. Provide mentoring by more experienced Iwi

- (a) One of the biggest challenges observed by key informants is Iwi grappling with ‘objective setting’, and how to manage commercial and cultural objectives. Providing the opportunity for pre-settlement Iwi or newly-settled Iwi to get mentoring from Iwi that have been settled for a while, to share experiences and lessons learned, could be especially useful for small or newly-settled Iwi. These learnings could also be made into case studies for training by IOD.

Te Puni Kōkiri / Office of Treaty Settlements /IOD could act as could act as facilitators for a pool of leaders with mana who could share knowledge from their boardroom experience.

- (b) In addition, we recommend a tailored mentoring programme for women trustees and directors on Iwi boards. IOD could proactively invite women trustees into the IOD women’s mentoring network.

A number of women participants spoke of their male counterparts dominating meetings, rather than working as equals. There were requests for mentoring from experienced female peers on how to deal with this behaviour, and for opportunities to network with their peers. Women trustees commented that they would benefit from a tailored mentoring programme for women trustees and directors on Iwi boards, as they felt they had particular issues that their male counterparts did not face if they wished to challenge or question a decision being made.

Te Puni Kōkiri or IOD could facilitate an alumni arena or host a ‘network’ which links experienced trustees and directors willing to mentor trustees and board members new to their governance role.

### 9. Identify future priorities for governance training

This work should include considering whether it is the role of Te Puni Kōkiri to:

- (a) Ensure all post-settlement Iwi have access to good governance training, or whether support should focus on newly elected board trustees, regardless of how long their

Iwi has been settled. There can be turnover of trustees following an election, and training targeting new trustees will help these trustees to quickly improve their knowledge of good governance practice.

- (b) Focus on other pilot Iwi governance training programmes for smaller entities, training specifically for chairs, executives and directors, and more advanced training using mentors from post-settlement governance entities (PSGEs) with more established post settlement governance experience.
- (c) Fully subsidise the training, leave it to the market to provide this training, or run a 'matched funding' approach to encourage boards to invest in professional development.

Given the participant feedback about the need for mentoring and coaching, and for on-going support, a review should also include:

- (d) Whether there is merit in examining the governance training trial more broadly against other methods of training/capacity development that involve mentoring and coaching. There seems to be relevance to governance capacity development in the developing country context.<sup>38</sup>
- (e) Compare other (alternative or supplementary) models of delivery (particularly in light of the weak evidence base re effectiveness/impacts of the governance training trial).

We also recommend that a review:

- (f) Looks at whether the role of Te Puni Kōkiri in governance training should include looking for opportunities to help Iwi transition from pre-settlement to post-settlement.
- (g) Considers ways of incentivising (probably by subsidising) independent reviews of Iwi board performance. For example, Sport New Zealand's 'Governance Mark' subsidises independent reviews of boards. These look at good governance practice and board culture, leading to the award of a Governance Mark.
- (h) Investigates the potential for more advanced governance training that looks at wider governance successes and failures, e.g. from the commercial or State Owned Enterprise sectors.

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<sup>38</sup> For instance, Sapere evaluated the Samoa Institutional Linkage Programme, a large component of which was governance capacity building by Middlemore Hospital for the board of the hospital in Apia. It included a study tour where the Apia Board sat in on a board meeting in Auckland so they could see how meetings are supposed to operate and on-call/on-going support from a mentor in Auckland via email and visits.

# Appendix 1. The Governance Training Trial

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In February 2016 Te Puni Kōkiri commissioned IOD to undertake a tailored pilot course for Iwi Trustees on pre- and post-settlement Iwi Boards, also commonly referred to by some Iwi as Rūnanga. The governance training trial is underpinned by a New Zealand Treasury working paper that comments on the governance of Crown-Māori relationships including accountability requirements for the transfer of Treaty of Waitangi settlement assets. The 2013 evaluation of Te Puni Kōkiri investment in governance training noted that further work was needed to address issues such as Iwi board member turnover, and enhancement of board members' skills and capabilities.

Māori governance training is seen to be a significant factor in the success of Māori organisations and the governance training trial initiative is part of an investment by Te Puni Kōkiri to build good governance amongst Iwi. This is based on the expectation that by having robust governance, accountability requirements, and asset management structures Iwi will require strong and stable boards.

Representatives from 14 Iwi (including Iwi trustees, board members, management staff and rangatahi) as well as representatives from Te Puni Kōkiri attended 12 three-day training workshops held in the North Island and the Chatham Islands throughout September to November 2016. A total of 169 people attended these training sessions. The governance training trial programme covered: Te Pai Hihiri (Governance), Strategy, and Finance essentials.

The following outlines what was covered in the three-day training course. Each day began with a mihimihi and concluded with a karakia – whakawātea.

- Day 1: Māori governance
  - Mana Whakahaere: Governance for Māori Boards
  - Kaupapa Māori<sup>39</sup>
  - Mōhiotanga: knowing your organisation
  - An effective governance culture
  - Board protocols, meetings, and papers
  - Growth and development: drivers, funding and risk
  - Leadership and succession
  - Engagement and group dynamics.
  
- Day 2: Finance essentials

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<sup>39</sup> This section discussed how tikanga principles can be put into practice along governance principles.



- Basic accounting terms and principles for directors
  - Directors' obligations around external reporting, and directors' requirements around solvency
  - Financial analysis tools for directors to interpret the organisation, and assessing initiatives for directors to build value
  - Investment appraisal – case study.
- Day 3: Strategy Course
    - What is strategy?
    - The role of the board
    - Strategic planning: tools and techniques
    - Evaluating strategy
    - Q&A and recap.

## Appendix 2. The governance training trial logic model

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The logic model (below) for the evaluation was developed by Te Puni Kōkiri following the 2016 trial and is being used as a key document to inform the key evaluation questions.

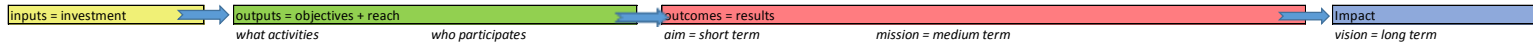
The logic model which was developed by Te Puni Kōkiri for the training outlines its investment in governance skills, strategic planning and financial literacy training to build good governance practice and principles with Iwi. This would be achieved by growing enabling environments for Māori organisations to be strong institutions with robust governance, accountability requirements and asset management structures.

The logic model was informed by research literature on how to deliver best practice governance training within a Kaupapa Māori construct, and the evaluation questions are outlined in the logic model.

<b>Programme</b>	<b>Governance skills and financial literacy training</b>	TPK Outcome: prosperity-whairawa	TPK strategic priorities: Te Ao Māori, Rangitiratanga, Te Tiriti o Waitangi
Appropriation	NDOE Māori Potential fund		

Proposal  
 Concept approval  
 Wider stakeholders

1744  
 Regional Offices, Office of Treaty Settlements and Post-Settlements Commitments Unit. Agencies are supportive of this initiative and are open to supporting TPK throughout the training programme.



inputs = investment	outputs = objectives + reach		outcomes = results			impact
	what activities	who participates	aim = short term attitude	mission = medium term knowledge and skills	behaviour changed	vision = long term
TPK funding IOD in order of \$600k through a partnered intervention	3-day workshop for individuals from boards	12 spaces for 12 iwi governance boards to attend tailored training programmes. Preferably, we are seeking 6 pre-settlement and 6 post-settlement iwi	Training will create strong and <b>confident</b> governance boards.	assistance that enables the development of new expertise to manage Māori collective assets through PSGEs	Governance training will create strong governance boards that will foster intergenerational growth and prosperity.	Māori are successfully exercising mana and kaitiakitanga over their resources and are seen as legitimately doing so by other stakeholders.
TPK & IOD identify trainers with specialist knowledge and sufficient credibility to work with iwi trustees	Pre and post evaluations of Iwi Boards and Individuals to identify training growth and opportunities aligning their aspirations with contestable governance fund opportunities available through agencies like MBIE and evidencing the need for investment for Iwi Boards into their own structures.	Iwi Boards (PSGEs) will be selected who have identified their need to undertake Governance skills and financial literacy training. Pre-assessment of Iwi Boards based on regional advice will assist in the selection of Iwi Boards to participate in the proposed training.	Training will build <b>strategic thinkers, strong decision makers.</b>		Helping Māori succeed Developing and sustaining Iwi, Whanau and hapū aspirations By growing governance knowledge Iwi will make better decisions in both pre and post settlement environments. This will also foster and facilitate relationships between the Crown and Iwi	Assistance to establish/manage PSGE entities for sustainable management of assets returned through Treaty settlements process.
IOD with TPK input develop collateral - workbook and pre and post questionnaire	membership of IOD	(4 IOD trainers)	Training will also encourage and support iwi, hapu, whanau and marae <b>aspirations.</b>	Make smart calculated decisions	Crown Māori Relationships - Helping Māori succeed Developing and sustaining Iwi, Whanau and hapū aspirations By growing governance knowledge Iwi will make better decisions in both pre and post settlement environments. This will	Training will encourage iwi to establish and maintain strong governance boards that allow Iwi, Hapu, Whanau and Marae strength and success. This will be an integral part of maintain cultural wellbeing
Iwi along with TPK regional offices, Office of Treaty Settlements and Post Settlements Commitments Unit identify participants on 'needs must' basis	individualised follow up with CV developed focussed on director skills	Iwi Boards (pre-and post-evaluations)		Manage and grow assets	Strong leadership will allow for strong decision making and iwi led initiatives which will support and grow treaty assets.	Governance boards will be better positioned to fund and maintain positive changes among Iwi, Hapu, Whanau and Marae
				Educate successors	Provide a stable and highly functioning governance board that allows for the growth and development of Iwi, Whanau, Hapu and Marae establish and maintain strong governance boards that allow Iwi, Hapu, Whanau and Marae strength and success. This will be an integral part of maintain cultural wellbeing	Strong Governance boards will be able to support strong social and cultural connectedness through Iwi led initiatives that create collective experiences for generations of Maori

## Appendix 3. Methodology

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### Theory of change

The literature identified by Te Puni Kōkiri suggests that Māori entities can thrive when their governance structures are effective and culturally appropriate. Poor governance structures and practices not only hinder innovation, but also actively discourage an environment of collaboration and development.

The driver is that governance and strategic planning skills, and financial literacy, are becoming increasingly necessary for Iwi to undertake their responsibilities within a pre- and post-Treaty settlement environment.

### Mixed-method analysis

We used a mixed-method approach to answer the evaluation questions, and provide validity and reliability to the analysis. The approach involved:

- interviews<sup>40</sup> with 18 participants from the 2016 training cohort;
- interviews<sup>41</sup> with 12 key informants from Te Puni Kōkiri, IOD, Office of Treaty Settlements and chairs from Iwi and non-Iwi boards;
- the 2016 IOD pre-course and post training survey data; and
- relevant research literature identified by Te Puni Kōkiri and the evaluation team.

Data was analysed using thematic analysis across the different data sources. This meant that findings were drawn from different data sets as a whole, rather than reported on separately.

Sample sizes for qualitative interviews are generally much smaller than those required for quantitative analysis as there is a point of diminishing return to a qualitative sample, i.e. more interviews do not necessarily generate more or different information. Qualitative research is concerned with meaning and not making generalised hypothesis statements. Qualitative samples must be large enough to ensure that most or all of the perceptions that might be important are uncovered from the different participant training workshops and Iwi groups, but if the sample is too large data becomes repetitive and, eventually, superfluous.

With regard to the principles of qualitative research, sample size in the majority of qualitative studies should generally follow the concept of saturation—when the collection of new data does not shed any further light on the issue under investigation.

The evaluation has drawn on Kaupapa Māori research principles.<sup>42</sup> Its approach to research is that it interacts with and impacts Māori knowledge, its processes and issues. In this regard,

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<sup>40</sup> The majority of participants who were contacted chose phone interviews for their engagement with the evaluator.

<sup>41</sup> Interviews with key informants were undertaken in person, via Skype and by phone.

the evaluation aims to be transformative and produce findings and recommendations that will inform positive change decision-making, instead of reproducing the status quo.

Participants were offered the opportunity to have interviews conducted in te reo Māori or in English.

### **Interviews with participants from the 2016 training workshops**

Six Iwi identified by Te Puni Kōkiri from the 2016 training trial cohort were invited to participate in the evaluation. The sample (n=69) provides a representative view of the cohort of training trial attendees.

Originally, focus group case studies were to be undertaken and participants were invited to attend one of six geographical cluster sessions, either in person or via Skype/phone. Providing these options would allow participants to choose to attend a session more convenient to them, as we anticipated that participants may prefer to be interviewed where they live and work, as opposed to where their Trust Board is located. However, most participants who were contacted requested phone interviews or to provide their responses by email. Sixty-nine participants were contacted and 21 replies were received. Not all respondents were available to participate in the evaluation (n = 10). Eventually 18 agreed to be interviewed and provided responses for evaluation purposes, either via phone interview or questionnaire.

### **Interviews with key informants**

In addition to the training trial participants, 12 key informants were also invited to participate in the evaluation. These were from Te Puni Kōkiri, IOD, the Office of Treaty Settlements, Iwi, and other boards. Most of these informants were identified by Te Puni Kōkiri for their in-depth understanding of Iwi governance training.

The primary purpose of these interviews is exploratory research, seeking to identify patterns or themes, rather than measure patterns or themes.<sup>43</sup> Therefore we did not quantify the key informant responses in this report. A survey may have elicited quantitative results, but not the rich context which we were able to gather from these interviews. Also, key informants were asked different questions depending on their role in the programme, and the report includes the most common issues/responses raised in these interviews.

### **2016 pre-course and post-training online surveys**

Two online surveys (pre-course and post-training) of the 2016 training cohort were run by IOD via SurveyMonkey. The data was used to assess the participant's stage of governance career, and skill levels before and after the training. Prior to attending the training, 178 prospective attendees were asked to complete a pre-course assessment online. This pre-course assessment received 103 responses. After the training, 169 attendees were asked to complete a further post-course assessment online. This survey received 92 responses. Sixty-

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<sup>42</sup> Cram, F. & Pipi, K. (2000). Māori Research Development, Vol. 1. Māori Provider Success. Research Report to Te Puni Kōkiri, Wellington. June 2000. 51pp.); <http://www.rangahau.co.nz/research-idea/27/>

<sup>43</sup> Denzin, N. K., and Y. S. Lincoln, eds. 1994. Handbook of qualitative research. Thousand Oaks, CA: Sage.

seven respondents answered both pre- and post-training survey questions, of which 27 were classified as trustees or board members. The other respondents were identified as Iwi management or Te Puni Kōkiri representatives.

## Review of relevant literature

The evaluation report does not include a literature review as this had already been undertaken by Te Puni Kōkiri.<sup>44</sup> The primary policy document for the governance training trial is M. Petrie's (2002) 'Institutions, social norms and wellbeing' for Treasury New Zealand, and the most recent evaluation of governance training for Māori organisations is the 2009 evaluation of investments in the 'Strengthening, Management and Governance Programme.' Other information sources have been provided by Te Puni Kōkiri and are used, along with other relevant literature identified by the evaluation team, to provide context and rationale for the trial design.

## Limitations

As previously mentioned in Section 1, the evaluation was to include the 2017 governance training trial cohort but the training was re-scheduled to commence mid-July 2017, and outside of the fieldwork deadline of the end of June 2017. The fieldwork could not be extended due to the national election on 23 September, which meant the evaluators had to be out of the field three months prior to the election.

The evaluation was also going to draw on surveys that were to be undertaken by Te Puni Kōkiri in 2017; one re-surveying all of those participants from the 2016 governance training trial, and pre-course and post-training surveys of the 2017 cohort. However, Te Puni Kōkiri has delayed these surveys,<sup>45</sup> which means some evaluation questions could not be answered as fully and in as much detail as anticipated. With regard to questions around Crown and stakeholder confidence, we could only briefly comment on some of the issues.

As the governance training trial only started last year, we are unable to fully assess efficiency or effectiveness, and so this limits the extent to which we can recommend continuing with this particular form of training vis a vis potential alternatives. The evidence base for some aspects (such as implementation of good practice and succession plans) was very limited and it is too soon to see the impacts of other aspects (such as asset management). But over time we would expect to measure impact. This would require further monitoring and follow-up surveys to measure change over time.

The governance training trial was undertaken between September and November 2016. Some participants who were interviewed in June 2017 found it hard to recall their insights and learnings from the training, and commented that the interviews should have been undertaken shortly after the training.

As noted in Section 3, we were unable to make robust cost comparisons with other governance training programmes. While we were able to look at course content, without

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<sup>44</sup> Te Puni Kōkiri (November 2016). Māori Governance Resources: Māori governance training – Literature search on Māori and indigenous governance. Internal document

<sup>45</sup> The delay of the Te Puni Kōkiri 2017 surveys were due to the delay in the start of the 2017 governance training trial workshops

attending the other training programmes, we were unable to assess facilitator skills from the different courses.

As noted in Section 4, different numbers of participants responded to each individual question (total of 21 questions across the three modules), with the number of respondents varying between 89 and 94. The IOD survey limits the robustness of the results for a baseline, and the type of analysis that can be undertaken. There was a set of paired responses but it was very small (approximately 30%) and so insufficient for analysis, 27 were classified as trustees or board members. Most people completed either the pre- or post-survey but not both.

We were not able to compare change in individual skill levels before and after the training as there were no unique identifiers for participants who completed the IOD online surveys.

Given the limitations with the survey data, we did not calculate the statistical significance of results.

## Appendix 4. NZQA guiding principles for Māori governance training

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### **Kotahitanga**

Kotahitanga refers to the key concept of interconnectedness from an holistic Māori world view and its relevance and importance in governance contexts. This may include: strategic thinking and planning, which enables a person to consider the economic, cultural, social, environmental and local implications of governance decisions for current and future generations. It also recognises the increasing participation of Māori in high-risk business ventures and investment activities, and reflects the need for an approach, which explicitly recognises those things most valued by Māori, while ensuring the standard requirements of governance are also met/exceeded.

### **Whanaungatanga**

Whanaungatanga refers to skills and strategies relating to communications and relationships. This may include: identifying and prioritising stakeholders; tailoring effective relationship, engagement and communication strategies for different stakeholder groups; identifying, and developing options and actions which enhance relationship opportunities and/or reduce risks, both internally and externally; practice and manage politically or commercially sensitive relationships; and identify and manage high-risk and crisis situations.

### **Kaitiakitanga**

Kaitiakitanga refers to the skills and knowledge needed to protect and enhance taonga and other resources. This may include: an understanding and knowledge of relevant statutory, legislative, commercial and financial obligations and requirements, as well as opportunity/risk identification, mitigation and management.

### **Te Pono me te Tika**

Te Pono me te Tika relates to personal behaviours and actions, which are recognised expressions or demonstrations of the principle of rangatiratanga. This may include: management, mediation and settlement of disputes to up-hold kotahitanga; lead the entity forward in a way that enhances the mana of the people economically, culturally and socially; values manaakitanga; leads and successfully completes important large-scale projects; and knows and values the traditions and cultures of the people and wider community.

### **Rangatiratanga**

Rangatiratanga refers to the knowledge and skills required to create, support and realise the strategic vision of an entity. This may include: different governance roles and responsibilities (such as trustees, directors and members of management committees); the respective legislative and statutory requirements; different types of governance structures; and aspects that distinguish Māori governance from established notions of governance/governance practice.

The outcome for graduates of the level 6 qualification is that they will be able to:



- Analyse, evaluate and recommend strategies for Māori governance to reflect kotahitanga across an entity.
- Develop, apply and evaluate a range of communication strategies to foster and manage whanaungatanga with key stakeholders.
- Apply kaitiakitanga to governance processes, systems and controls that include financial and risk management and in accordance with the principles and values of an entity.
- Demonstrate the values of te tika me te pono through professional, ethical, and socially and culturally responsible behaviours both individually and collectively.
- Demonstrate and implement the principles of rangatiratanga as it relates to Māori leadership in a Māori governance role for a specific entity.

## Appendix 5. Evaluation information sheet and interview questions

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### Information sheet

Te Puni Kōkiri has commissioned Sapere Research Group to undertake an independent evaluation of the governance training provided by the Institute of Directors (IOD) and funded by Te Puni Kōkiri.

Te Puni Kōkiri wants to know what parts of the training is working effectively and if there are any improvements they can make to the future training programme.

The training was delivered in 2016 by IOD and a second training trial is being delivered by IOD in April to July 2017. The participants of the training are pre- and post-settlement Iwi trustees, board members, management staff and rangatahi.

The purpose of the training is to enable pre- and post-settlement Iwi organisations to become strong institutions with robust governance, accountability requirements and asset management structures, to achieve maximum economic, social, and cultural benefits for their people.

The main objectives for the evaluation are to see whether the training:

- has been a good investment of your time;
- was relevant to you and met your needs; and
- resulted in short or medium-term positive results.

The time period for the evaluation fieldwork is April - June 2017, with the report due in August 2017.

Michelle Hippolite, Chief Executive of Te Puni Kōkiri, has written to each Iwi chair acknowledging your attendance in the training, and seeking your participation in the evaluation. A key part of the evaluation is a set of case studies and for these we are keen to speak with you to hear your insights on the training you received.

We will ask to take notes during the interview. These notes will be kept confidential to the evaluation team. Information used in the report will summarise overall findings by role but not identify individuals by name. Comments will not be attributed to you in the evaluation report.

The interviewers may ask for your contact details (e.g. email address and telephone numbers) so that they can follow-up with any questions of clarification after the interview; they will not share these details with anyone.

Participating in the evaluation discussion is voluntary. You do not have to answer any questions you do not wish to. You are also welcome to speak confidentially with the evaluation team afterwards. If you agree to participate in the evaluation discussion and sign the consent form, you are consenting to the use of the information you provide in the evaluation report.

There will be a community evaluation report of these case studies which will be shared with Iwi participants. With your permission, your role and/or name may be included in the evaluation report.

The evaluation team members are:

Rachael Tuwhangai (Tainui), Managing Director of Māori and Pasifika Support Services. Rachael is partnering with Sapere for this evaluation. Rachael is a fluent speaker of Te Reo Māori and holds a number of Directorship roles across a wide range of Governance Boards. Rachael will lead the case study interviews.

Elisabeth Poppelwell, Principal Consultant at Sapere. Elisabeth is an experienced researcher who has previously evaluated training programmes.

David Moore (Ngai Tahu), Managing Director at Sapere. David has widespread senior leadership experience and understanding of Iwi governance. He was on the Investment Sub-Committee of Te Rūnanga O Ngai Tahu, from 2009 to 2013, and assisted with the development of an intergenerational asset management framework.

More information on Sapere is available on [www.srgexpert.com](http://www.srgexpert.com). For any questions relating to this evaluation, please email Elisabeth on [epoppelwell@srgexpert.com](mailto:epoppelwell@srgexpert.com) or telephone her on 027 4655 192.

For information about the case study interviews, please contact Rachael Tuwhangai on [rachael@mapss.org.nz](mailto:rachael@mapss.org.nz) or telephone her on 0210488599.

### Consent

Your signature below indicates that you have decided to participate in the Evaluation of Te Puni Kōkiri Governance Training Trial for pre- and post-settlement Iwi, and that you have understood the information provided above.

Participant's Name (print):

Participant's Signature:

Date:

Evaluator's Signature:

Date:

THANK YOU FOR YOUR PARTICIPATION.

## Interview guides

### Focus Group interview guide for Iwi participants

*Introductions, ask if read info sheet, if not explain purpose of interview/focus group, and ask if they have any queries. Facilitator to ensure participants sign consent form before focus group session starts.*

Participating in this discussion is voluntary. You do not have to answer any questions you do not wish to. You are also welcome to speak confidentially with the evaluation team afterwards.

[NB. Different questions may be asked depending on the stakeholder being interviewed].

Explain purpose of the evaluation.

What you say will be kept confidential (refer to info sheet and consent section).

It is an independent evaluation.

Te Puni Kōkiri wants to know what parts of the training is working effectively and if there are any improvements they can make to the future training programme.

Focus group interviews will focus on the training objectives:

### Relevancy of training and meeting the needs of participants

*How relevant was the training to your needs as an Iwi trustee?*

*For 2017 participants, what have you been doing in the past year before the training?*

*For 2016 participants, what are you doing now since completing the training?*

### Effectiveness of the trial in achieving short or medium-term results from the training

*What parts of the training is helping you in your role as a trustee? The Iwi?*

*Overall, how is the training helping you / or Iwi in achieving its planned outcomes?*

*For 2017, participants, how do you think it will help you in your role as a Trustee? The Iwi?*

Benefits realized from the training by Iwi boards over the longer term.

*What benefits from the training do you (or Iwi) expect to gain in the longer term?*

### Wider effects. Positive or negative spill-overs of the trial at local and system levels.

*Have there been any unintended (positive or negative) outcomes from participating in the training?*

Comparison with other training or study.

*How has this governance training compared with other training or study you have previously undertaken, or since undertaken?*

### Identifying possible improvements to the training programme.

*How might IOD/ Te Puni Kōkiri improve future governance training programmes?*

*Any other comments you would like to add in regards to the Governance Training Trial?*

Thank participants, ask if they would like to see their focus group summary, and explain dissemination process with the community report.

## **Interview questions for IOD facilitators and Te Puni Kōkiri key informants**

*Introductions, ask if read info sheet, if not explain purpose of interview/focus group, and ask if they have any queries. Interviewer to ensure participant signs consent form before interview starts.*

Participating in this discussion is voluntary. You do not have to answer any questions you do not wish to. You are also welcome to speak confidentially with the evaluation team afterwards.

**[NB. Different questions may be asked depending on the stakeholder being interviewed].**

Explain purpose of the evaluation.

What you say will be kept confidential (refer to info sheet and consent section).

It is an independent evaluation.

### Efficiency of the trial format compared to other training models

1. What do you see have been the major wins from the training?
2. Considering the method used for the training trial, is it achieving i) more? ii) about the same, or iii) less than other methods of training?
  - i) Please provide me examples to show how it is achieving more. ii) What do you think the trial is achieving? iii) Why do you think the trial is achieving less than other methods of training?
3. Was the pre-assessment of Iwi boards and trustees sufficient to identify the most suitable Iwi trustees? i) Yes, sufficient ii) No, insufficient
  - i) Please describe why you think the pre-assessment of Iwi boards and trustees was sufficient to identify the most suitable Iwi trustees?
  - ii) Why do you think the pre-assessment of Iwi boards and trustees was insufficient to identify the most suitable Iwi trustees?
4. What areas do you think can be improved to identify the most suitable Iwi trustees?

### Relevance of the trial with respect to the training needs of iwi trustees

5. To what extent were the objectives of the training trial relevant to the needs of the intended participants?

*Probe, can you provide me with some examples to show how the objectives of the trial were relevant to the needs of the intended participants?*

6. How familiar are you with the research criteria on Iwi good governance training?
  - i) *If familiar, do you think the trial design met known criteria (from the research literature) for training Iwi trustees? Probe – In what way? Can you provide an example?*

ii) *If unfamiliar*, what do you think the key criteria should be for training iwi trustees?

Effectiveness of the trial in achieving the envisaged short/mid-term outcomes

7. As a facilitator, to what extent were you able to gain the confidence of and meet the needs of the participants?

*Probe, how did you go about gaining the confidence of and meet the needs of the participants?*

8. How well did you think the training resources and arrangements met the participants' needs?

Identifying possible improvements to the training programme

9. What improvements (if any) do you think could help the training programme to be more effective?

*Probe, In delivery? Change in behaviour? Improved outcomes?*

10. What approach could help improve the selection of participants?

11. Any other comments you would like to add in regards to the Governance Training Trial?

*Thank participant, ask if they would like to see their interview summary, and explain dissemination process.*

## **Interview questions for other stakeholders**

*Introductions, ask if read info sheet, if not explain purpose of interview/focus group, and ask if they have any queries. Interviewer to ensure participant signs consent form before interview starts.*

Participating in this discussion is voluntary. You do not have to answer any questions you do not wish to. You are also welcome to speak confidentially with the evaluation team afterwards.

**[NB. Different questions may be asked depending on the stakeholder being interviewed].**

Explain purpose of the evaluation.

What you say will be kept confidential (refer to info sheet and consent section).

It is an independent evaluation.

1. Please tell me about your understanding of Te Puni Kōkiri governance training trial?
2. To what extent do you think the training is making a positive difference to those who attended and their Iwi?

*Probe, Can you provide me with some examples of how changes in board and Iwi knowledge and skills followed on from the training for the participant? NB. The driver for the training is that governance skills and financial literacy are becoming increasingly necessary for Iwi to undertake their responsibilities within pre- and post-environment.*

3. What do you see are the benefits of the training long-term?

4. What improvements (if any) do you think could help the training programme to be more effective?

*Probe, What do you think is important to know?*

5. What approach could help improve the selection of participants?
6. Any other comments you would like to add in regards to the Governance Training Trial?

***.Additional question to ask stakeholders from the Crown and Iwi and hapū***

- What do you think are the standards needed for Iwi assets to be managed sustainably, especially by post-settlement entities? *Probe, what do these standards look like?*
- To what extent do you think Iwi assets are managed sustainably to a recognised standard, especially by post-settlement entities?

*Thank participant, ask if they would like to see their interview summary, and explain dissemination process.*