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**Part One**  
**Report to Work and Income NZ**

On

*The best approach*  
*for the delivery*  
*of high quality Maori advice*  
*on improving Maori outcomes.*

Prepared by

Gardiner and Parata Limited

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## 1. INTRODUCTION

This document is the first of a three part report commissioned by Work and Income NZ (WINZ) to develop the best approach for the delivery of high quality Maori advice on improving Maori outcomes.

The particular advice sought from Gardiner and Parata Limited (GPL) is advice on the best structural option for providing ongoing high quality advice to the Chief Executive and senior managers on:

- *Improving outcomes* for Maori in respect of employment and income status, reflecting the range of client groups serviced by WINZ (including job seekers not on benefit, those on work-tested benefits, other beneficiaries, and superannuitants); and,
- *Ensuring and maintaining performance* in the Department's responsiveness to Maori issues, both in terms of medium to long-term strategy and short-term or emerging needs.

### Project Deliverables

GPL is required to produce an integrated report, developed in three parts, that together will form the basis for implementing the recommended advice function. The deliverables are:

**One** – a report presenting feedback from consultation and from a review of other models in the service delivery business; an analysis of the issues; and identification of the critical success factors, where the problems and opportunities lie, and the range of options that should be considered. This report fulfills this requirement.

**Two** – a detailed assessment of the options, using a robust set of criteria, with a recommendation on the favoured option. This report to be delivered by 1 June.

**Three** – a report detailing the key elements of an implementation plan for the recommended option. This report to be completed by 30 June.

### Project Objective

The objective for the project was refined and accepted as;

***To recommend the best approach for the  
delivery of high quality Maori advice on  
improving Maori outcomes.***

The statement of the project objective in this way allowed for clarity on a number of points. They were:

- The project is expected to result in a recommendation;
- The recommendation will be about an advice function;
- The advice function will be specifically directed at Maori outcomes;

- In order to improve Maori outcomes, the advice must complement advice already proffered, be tailored to its subject, and must therefore be Maori in nature; and,
- The Maori outcomes relate to both internal and external performance in respect of Maori.

### **Project Approach**

The approach to the project was to develop a question set (see Appendix 1) to inform discussions with internal and external stakeholders. Consultations using the question set, with some additional questions (see Appendix 2) for the different categories of stakeholders, were conducted throughout the country at eight of the thirteen regional offices, and National Office, involving just under 300 people, over a three week period from 12 - 30 April. A copy of a standard letter to participants is attached at Appendix 3. A list of the offices visited, and the external stakeholders who participated is attached at Appendix 4.

In addition, a matrix of potential comparative organisations in the service delivery business was developed, from which three organisations were selected for interview. A copy of the matrix used, and the list of organisations interviewed is at Appendix 6. Two additional organisations were added, and the summary table of findings is attached at Appendix 7.

A review was conducted of the documents provided by WINZ for the project, some 27 documents in number. A list of the documents, and a synopsis of each is attached at Appendix 5. Neither the list, nor the review, were exhaustive of the material that WINZ may hold on subjects relevant to the project.

Finally, an overview map of the current WINZ advice process was drawn from the documents, and interviews. This is attached at Appendix 8.

### **Terms of Reference**

The guiding objective of this exercise is the development of the best approach for providing ongoing high quality advice to the Chief Executive and senior managers on improving service delivery to Maori.

To achieve this, the Chief Executive and her management team need ongoing access to advice that is:

- Robust in terms of its factual accuracy and analytical rigour;
- Focused on results for clients, rather than structures;
- Grounded in an understanding of the obligations of the partners under the Treaty of Waitangi;
- Practical, in terms of taking into account the Department's operational strategy and organisational capabilities;
- Business-focussed, in terms of identifying costs, benefits, risks, and implications for management; and,
- Action-oriented and readily implementable.

The focus of the present assignment is to recommend the best option for providing this advice to the Chief Executive and senior management of WINZ.

It is expected that this may involve recommendations at a number of levels:

- How the Department manages its relationships with external stakeholders;
- How the Department draws upon Maori staff members as a resource, and enhances that resource;
- The design of the key business processes (for example, strategic planning, HR planning, communications);
- The roles and the accountabilities of Regional Commissioners and other senior managers; and,
- The organisational structure of the Department.

### **The Context**

WINZ has identified three key areas that need to be taken into account in developing options for advising on service delivery to Maori. These are:

- The impetus for the establishment of WINZ to bring together several complementary functions;
- The evolving relationship between the Crown and Maori; and,
- The medium-term economic outlook and its implications for employment.

### **WINZ**

WINZ was created for the specific task of exploiting synergies between income support and employment assistance (including vocational training under the former Training Opportunities Programme, and community initiatives funded by the Community Employment Group). Its mission requires (among other goals):

- A high degree of professionalism in service delivery;
- A focus on customer-service, ahead of organisational form;
- A clear and consistent focus on moving people from dependency to self-reliance;
- Active assistance in parallel to benefit payment;
- Innovative approaches to service delivery.

The key corporate statements of the Department are:

#### *Values*

WINZ are a team of people who are professional, high energy, passionate, performance-focussed operating with discipline and style.

#### *Vision*

People's potential unleashed = New Zealand's potential increased.

#### *Mission*

To put independence within reach of all New Zealanders.

The recommended approach for providing advice on service delivery for Maori must therefore be customised to the values and strategic direction of WINZ, and be consistent with the Department's culture and approach to its mission.

### ***Evolving relationship between the Crown and Maori***

The Department maintains a strong commitment to the principles of the Treaty of Waitangi, and the recommended approach to providing advice must reflect and reinforce this. This includes taking into account emerging trends such as the assertiveness of urban Maori organisations, and the desire of some to operate outside of traditional tribal structures. This is particularly important for WINZ, since urban Maori are a major client group, and one that is characterised by high levels of disadvantage and social risk.

### ***Medium-term economic outlook and its impact on employment***

The state of the economy has a major impact on the strategies WINZ pursues to achieve its mission. The present outlook is for slow economic growth overall, and instability in particular industries (such as those affected by the Asian economic slow-down and by the reductions in import tariffs). Hence advice on service delivery for Maori needs to be able to take account of how Maori will be affected by:

- Slow job growth over the next 2-3 years, and uncertainty beyond that;
- Changes in the types of employment available, and the skills required; and,
- Changes in the employment patterns from region to region.

## **THIS REPORT – PART ONE**

This document, Part One of the final report, focuses primarily on the feedback from the consultation, as the terms of reference required, but also in recognition of the time that participants gave to the consultation phase. The feedback ranges much wider than the focus of this project. However, it provides useful information on the context in which the advice function will operate, and, importantly, indicates the range of responses that will need to be put in place to support the successful development and implementation of advice.

The report also summarises the information gathered on comparative organisations as possible models in the service delivery business.

Finally, it identifies a full list of possible critical success factors, and the full range of options that could be developed for the advice function. These will be the subject of a detailed assessment in Part Two of the final report.

## The Questions

The question set and additional questions were used as the basis of all discussions. Most of the regional interactions were with groups of participants, while personal interviews were the main form of interaction at national office.

The question set was structured to elicit the answers, but also to raise consciousness amongst participants about the need for an advice function.

## THE ISSUES

The issues were consistent between regional offices and National Office, between managers and staff, between internal and external stakeholders, and between Maori and non-Maori participants. This high degree of coincidence provides a sound platform for engaging seriously with the issues, and for moving swiftly to put in place a substantive and comprehensive response.

### The GPL exercise

Participants held a wide range and much higher expectations of what GPL had been retained to do than what is in fact the case. It was clear that many participants felt that they had been misled as to the extent and nature of GPL's contract with WINZ. However, most were persuaded that an advice function was an essential and integral part of a comprehensive strategy that WINZ will need to implement to address Maori outcomes. On its own, whatever shape it might take, it would be doomed to failure.

### Comment

It is clear that WINZ needs to be serious about responding comprehensively to the issues driving the achievement of Maori outcomes, and not place exclusive weight on the advice function. Moreover, the corporate mindset needs to be about *And/And* approaches, and not an *Either/Or* trade-off mode. The nature of the Maori interface with WINZ requires an integrated, strategic, response that tackles the causes as well as the symptoms of dependence.

### Philosophical Base

There is a strong and commonly held view that the current structure and approach by WINZ will need to alter significantly if Maori outcomes are to be improved. Most participants considered that there was scant recognition of the Treaty, of the differences between Maori and non-Maori, of alternative perspectives to the purely western model that WINZ seems to reflect.

There is an untested acceptance amongst most senior staff that the concepts underpinning WINZ are appropriate, and that their definitions are relevant to both Maori and non-Maori. It is not apparent whether any consideration has been given to Maori definitions of dependence and independence, welfare and wellbeing, or indeed, work and employment. The cultural expectations by Maori and non-Maori of these key concepts is likely to be different, yet none of these ideas seem to have been have been tested or validated.



## 2. CONSULTATION

This section describes the consultation process, draws together the issues raised by participants, and analyses what these mean for the type of advice function that WINZ will require to meet its goal of improving Maori outcomes.

### The Process

Feedback from stakeholders, internal and external, was considered essential to inform the development of the recommended option. Accordingly, an intense period of consultation was conducted across the country over the last three weeks of April. A question set was prepared and appended to a standard letter setting out background to the exercise.

Regrettably, late distribution and inconsistent attachments of this information precluded attendance on the part of some, and frustrated and annoyed others. Notwithstanding these legitimate irritations, participants nevertheless shared views and insights honestly and forthrightly. The information was rich in practical experience and matured over long involvement in the field of Maori employment and welfare dependence.

GPL was consistently asked to reciprocate in the information exchange process by sharing the outcome of the exercise with participants. This is an appropriate expectation and GPL recommends that either each report, or a composite of all three is made available.

In addition, external stakeholders consistently requested involvement in the decision making as to the best option for delivering the advice function. This is a matter for WINZ management to consider.

### The Participants

GPL consulted with key people in National Office and in the regions. While the emphasis of the consultation was on internal stakeholders, Iwi and Maori stakeholders were invited to attend meetings in the regions visited. At each region, appointments were sought with the Regional Commissioner and regional management team, Maori staff, key Iwi and Maori stakeholders, and key government agencies. GPL relied on WINZ to organise the regional programme.

As noted above, nearly three hundred people participated in the consultation, notwithstanding the tight timeframe; evidence of the importance attached to the exercise. The majority of levels 1 and 2 managers were interviewed at national and regional offices; key third level managers (defined as those involved in the provision of advice now, or with the potential to do so) at national office; national office Maori managers and advisers; regional management teams, regional Maori staff; and regional Iwi and Maori stakeholders were also interviewed.

The invitation to attend the Maori staff hui in Ahipara was taken up, and although GPL was unable to be represented at the senior managers conference in Auckland, feedback on the question set was received from the 120 managers.

The WINZ value set that Maori staff experience, and Maori stakeholders and clients observe is at odds with their own. Examples of these differences included:

- Emphasis on the individual *versus* the collective
- Reliance on the contract *versus* trust the relationship
- Measurement of activity *versus* measurement of outcome
- Doing it differently is a risk *versus* take a risk, do it differently
- Do it our way *versus* do it the (Maori) client way
- Respond in writing *versus* kanohi ki te kanohi
- Focus on numbers *versus* focus on people.

This same kind of dissonance was cited in respect of the language of the Department versus the practice of the Department. While the language was of results, outcomes, performance characterised by courage; the practice was perceived as conformist, instructional, process oriented, numbers based and characterised as defensive.

The approach of the Department, while articulating a commitment to outcome achievement, was experienced as programmatic, process driven, input focussed, instructional, prescriptive, and inflexible.

Finally, the corporate culture was perceived as hostile to Maori. The "clear desk" policy and the removal of taonga were cited over and over again as practical examples of a work environment that actively devalues Maori. The pursuit of efficiency was translated as sterility, and the introduction of the corporate uniform while welcomed by some, was seen by others as a way of homogenising rather than professionalising staff. Prohibitions against the use of "Kia ora" as a formal departmental greeting was offered as another example of anti-Maori corporate instructions.

The lack of senior Maori managers, and the absence of Maori oriented competencies in job descriptions were interpreted by staff and stakeholders alike as clear signals that Maori decision-makers are not wanted in WINZ. The relatively significant proportion of Maori staff (nearly 20 percent) overall was seen as further support for the view that Maori are acceptable in the frontline but not in the command structure.

The value that WINZ places on Maori staff, Maori initiative, and Maori achievement was crystallised for many by their perception of what is happening to the Community Employment Group. It is widely anticipated that CEG will be disbanded or altered in all the ways that make a difference because it is seen as being too pro-Maori and because it has been successful amongst Maori. The message that has been received is that if it is Maori and if it is succeeding, it will be dismantled.

#### **Comment**

There is significant work to be done here to address and redress the disaffection that has been expressed. To underestimate the extent and depth of these concerns is to overlook a substantial dysfunction within the organisation, but more importantly, to miss the opportunity to make real and meaningful changes that will enhance WINZ capacity to achieve Maori outcomes.

## Strategic Framework

Responses to this area of enquiry were tentative and general. Few participants could articulate a precise, well defined set of outcomes for Maori, nor could a process for developing these outcome statements be identified. Nearly all national office, but surprisingly few regional staff, identified the *objective* of reducing by 2 percent the number of Maori on the unemployment register as the Department's principal Maori outcome.

Other responses included:

- The development of a better society;
- Contribution to the Government's strategic result areas in terms of strengthening the economy;
- The Treaty of Waitangi;
- Improving the employment and income status of Maori;
- Moving Maori from dependence to independence; and,
- Shifting the disparities between Maori and non-Maori.

While few were able to identify a robust strategic framework, all were agreed on the necessity for one to ensure that all contributors were moving in the same direction. In particular, external stakeholders considered it critical that any formulation of outcomes for Maori be based on a process that was inclusive of Maori both inside and outside of the Department.

### **Comment**

While there are clear governmental policy directions about the social and economic policy outcomes sought in respect of Maori and wider New Zealand, there is no developed statement set that WINZ has formulated for its own purposes. In the absence of this kind of high level driver, responses to Maori client need, and indeed Maori staff needs, are likely to be ad hoc, and fragmented.

The desire by Maori within and without the Department to participate in the definition of the high level outcomes is realistic and a potential source of real value creation. A carefully constructed and well managed process could lead to well formulated outcome statements that reflect the balance of WINZ requirements and Maori client needs, the development of meaningful relationships, and the appropriate level of ownership by all parties leading to their achievement.

This could in turn lay the foundation for contracting for the delivery of outcomes.

### **Business drivers**

While elements of a business case to support the achievement of Maori outcomes were canvassed, it was clear that the establishment of a business case was highly desirable, but did not currently exist.

The same range of imperatives outlined for the strategic framework was raised in this context, along with a focus on the cost to the Department of Maori dependence,

and the opportunities created by shifting that cost and reducing or eliminating disparities.

**Comment**

A robust business case will need to be built to establish a department wide understanding of why there should be a particular focus on achieving Maori outcomes, and why they are key priorities of the Department. In addition, this would establish the case for change in the Department across the full range of its systems, processes, and programmes.

**Organisational Capability**

Significant emphasis and expectation was placed on the numbers of Maori staff that make up the workforce in WINZ. However, this expectation was misplaced in our view and over emphasised given the location of most of these Maori staff in non-managerial or non-decision making positions. While these staff members have a contribution to make, the achievement of Maori outcomes is not and should not be their exclusive responsibility.

One of the clear confusions that this set of questions exposed amongst non-Maori managers was the misconception around valuing Maori staff and achieving Maori outcomes. The inference drawn was that to identify and define the value that Maori staff bring to the work place was somehow to suggest that they alone were to be responsible for the achievement of Maori outcomes.

This is patently not so. There is a link between Maori staff and the Department's performance in respect of effecting positive Maori outcomes, but it is by no means exclusive or always direct. The terms of reference for the exercise required that we look at how the advice function would contribute to maintaining and improving departmental performance. Part of that requirement is to look at the particular added value Maori staff bring by virtue of being Maori. Part of it is to identify the particular and general contributions Maori staff can make to achieving positive Maori outcomes. But part of it also, is clearly to ensure that all staff, Maori and non-Maori understand their responsibility to work professionally to achieve Maori outcome gain.

There is potential for Maori staff to contribute significantly simply on the basis of the proportion they are of staff numbers. However, it is equally obvious that 80 percent of the staff are not Maori and they have the same level of responsibility as Maori staff. It would be totally inappropriate for there to be an expectation that 20 percent of the staff undertake work on behalf of all Maori clients, while 80 percent of the staff do not.

**Comment**

The organisational capability of the Department will need to be developed. There are implications for the performance management system of the Department as well as the competency framework and the recruitment, retention, and promotion framework. Performance expectations for all staff will need to be spelt out and incorporated in performance agreements. This should have the effect of both ensuring that all staff are expected to work towards the achievement of Maori outcomes, and establish that such performance is an issue of competence and professionalism, and not of goodwill, moral obligation, or a liberal mindset.

While the focus of this section has been on the human resource capability for the Department, there will also be demands on the information management system, the information technology, the business planning processes, the budgeting and resource assignment processes, monitoring and evaluation, and, most particularly in terms of this assignment, the operational policy and service delivery support processes.

In respect of all of these, it will be essential that the Department develop an operational framework based on the Treaty of Waitangi both as a proactive management tool, and as a risk management device. This operational framework will provide the guidelines for the Department to discharge its Treaty obligations and work consistently towards achieving its Maori outcomes.

Finally, it is apparent that there needs to be a high level sponsor of the Maori outcomes to keep the focus on achievement, to drive initiatives and to demand performance across the range of departmental activities. There is a strong expectation that a senior Maori manager will be appointed in the National Office, however, more than that, it is apparent from the way WINZ functions in the development of its advice, and the pursuit of its general outcomes, that leadership in the Maori area is essential.

#### **Other issues**

A range of other issues was raised during the consultation. They were:

#### **WINZ a monopoly**

There was concern at the lack of contestability that WINZ is subject to. As a monopoly it does not have imposed upon it the same levels of accountability and performance that would happen in a more competitive environment. Consequently, WINZ is able to prescribe and dictate what is required rather than work with the needs of the client. Participants observed that WINZ might find it difficult to be successful in a contestable environment if it were to continue without the kinds of change identified above.

#### **Valuing of Maori clients**

The corollary of the monopoly criticism was that Maori clients are not valued by WINZ. In a competitive environment it was felt that the percentage of business created by Maori would effectively place Maori in a preferred customer category, rather than the least attractive category they appear to be in at present. Such positioning would in turn force the organisation to focus on how to meet their needs effectively, as a priority rather than as an add on to mainstream business.

#### **Risk**

WINZ is seen as, and experienced as a very risk averse organisation. Many criticisms were leveled at WINZ by its own staff as well as by external stakeholders at the unwillingness of WINZ to take risks on relationships and focus on outcomes rather than inputs. There was a strong sense that WINZ was committed to doing the

same ineffectual things while talking about taking brave steps and doing things differently. The latter course was believed by most participants to be the only realistic option to significantly moving Maori disparity but there was deep cynicism that WINZ would take more risk oriented approaches.

### **Invisibility of senior managers**

Staff and external stakeholders alike observed that the Chief Executive of WINZ was reluctant to meet directly with Maori stakeholders. They considered this disrespectful, unhelpful and unnecessary given that Maori stakeholders and WINZ have the same or similar outcomes in mind. It seemed sensible to meet and debate the issues, and look for ways forward. Stakeholders were very keen for this to occur.

The Maori Employment and Training Commission evinced particular frustration at not being able to secure any opportunity to discuss the issues of common concern and focus. As a Ministerial advisory board, with a dedicated focus to the area of Maori outcomes and their achievement, it would seem that WINZ and the Commission have significant potential to both collaborate and contest each others advice in a robust process directed at the same outcome of improving Maori employment and income status.

### **Development Aspirations**

Iwi and Maori aspirations were structured over a much longer timeframe than the one WINZ works to. Stakeholders and staff found this extremely frustrating that priorities and resourcing were driven by a WINZ one to three year timeframe, rather than the long term development continuum iwi and Maori work to. There was a sense that governments come and go, departments restructure and restructure again, and the only permanent fixture was iwi and Maori who have to keep adjusting to the changing faces, systems, and priorities.

### **SUMMARY**

In summary, there was a wide consensus that an advice function as part of an overall strategy was essential, but of itself and by itself, would be ineffectual.

The other key components included:

- the development of an overarching strategic framework;
- formulation of specific WINZ outcomes using a process inclusive of internal and external stakeholders;
- design of an operational framework based on the Treaty of Waitangi;
- realignment and reconfiguration of internal structures and systems to reflect the strategic framework and implement the operational framework;
- appointment of a senior Maori manager to sponsor and drive the achievement of the Maori outcomes; and,
- meaningful responses to the range of issues raised.

### 3. COMPARATIVE MODELS

The terms of reference required that the methodology in undertaking this exercise include an assessment of comparable approaches in a small sample of other service delivery organisations, including private businesses, if possible.

Seven comparable organisations were identified initially on the basis of the kind of services offered and the size of the customer base. Each organisation was marked against 17 factors, with no ranking or weighting:

- High face to face customer volume
- Inherited expectations
- Local offices
- Help people identify solutions
- Work to regulatory framework
- Large numbers of unhappy customers
- Client base with negative income issues
- Provides information in person
- Manages customer debt
- Reports to government/governance on outputs
- Large staff
- 0800 phone service
- Contracts out services
- Monopoly provider
- Processes high volume of applications
- Processes high volume of payments
- Has Maori/special client group

On the basis of the subjective marking, three organisations were selected to be interviewed. They were AMP insurance, the Wellington City Council and the Accident Compensation Corporation. The Health Funding Authority and Te Papa Tongarewa were subsequently added.

The assessment matrix is attached at Appendix 6.

In summary, we found that Chief Executive commitment was critical to organisational buy in, supported by respected Maori management leadership, defined accountabilities in performance agreements, identified Maori staff in units and throughout the organisation to support CE and senior Maori managers, quality control by Maori manager or unit of mainstream advice and performance in respect of Maori outcomes, and strong relationships with Iwi and Maori providers.

A comparative table of findings is attached as Appendix 7.

#### **4. WINZ Current Advice Process**

In order to make an informed recommendation about a Maori advice function we thought it necessary to understand how the ordinary advice processes of the Department operate. An overview process map, reflecting the understanding we were able to gain from documents and interviews of those involved in the process is attached as Appendix 8.

It appears that there are three main loci of operational policy advice. They are the Service Delivery Support Group, the Business Development Group, and the Office of the National Commissioner. It seems that there are no clear definitions of the boundaries between the three, and the processes for assigning or undertaking work on particular operational policy matters are informal and heavily reliant on good communication between individuals.

The implications of this approach for operational policy advice related to the achievement of Maori outcomes are that the informal process has to be known and understood by those who wish to access it, there needs to be a senior sponsor of initiatives or issues to gain access to this informal process, that in the absence of formalised procedures access is reliant on status and influence.

Given that there are few senior Maori managers, and only one each in two of the Groups involved, the current process is dependent upon current participants to identify and then pursue issues and policy initiatives responsive to Maori needs.

This is a high risk gap for the Department.



## 5. CRITICAL SUCCESS FACTORS

For the purposes of this report, a wide range of success factors have been identified, with the view that the criticality of the set will be refined and incorporated in the second report.

It has become apparent that four categories of critical success factors are required. The first would be the accepted standard set of critical success factors for any kind of advice. The second would be distinctively about high quality Maori advice. The third would be around the way the advice function operates. The fourth would be about the advice function itself.

In terms of the first set of success factors, it is expected that the ordinary advice function and advice processes of the Department are also capable of meeting these standards. This would ensure that both streams of advice, mainstream and Maori, complement and test each other, and contribute to the overall robustness of the Department's advice and performance.

### 1. CSFs: Quality Advice

The range of factors that were deemed to demonstrate the quality of an ordinary advice function were:

- Timeliness
- Targeted at national, regional, and local levels
- From internal and external sources
- Value set made explicit
- Cost effective
- Results oriented
- Capable of measurement
- From a respected source
- From a range of sources
- Factual
- Substantiated
- Accurate
- Works
- Analytically rigorous
- Results oriented
- Client driven
- Grounded in the obligations of the Treaty of Waitangi;
- Practical
- Cognisant of the Department's operational strategy
- Pushes organisational capabilities
- Action-oriented and readily implementable.
- Innovative
- Proactive
- Makes a difference

## 2. CSFs: Quality Treaty Advice

The following were identified as factors that distinguish ordinary and extraordinary Treaty advice, which aims to deal with both Iwi as partners, and Maori as citizens.

- Based on Treaty obligations
- Maori-centred
- Tikanga based
- Outcome oriented
- Responsive to collective and individual needs
- Uses Maori analytical frameworks

## 3. CSFs: Quality Operational Approach

The following set has been identified as appropriate factors for representing the effectiveness of the way the advice function would work.

- Captures client experience
- Captures front line staff experience
- Access to high quality data
- Early involvement
- Designs and refines
- Makes a measurable difference

## 4. CSFs: Quality Advice Function

Whatever form the advice function takes, it needs to have the following factors to support its success.

- Has power
- Properly resourced
- Priority weighting
- Internal and external networks and mana
- Accessible at required levels
- Role, status, and expectations within Department clear
- Protocol advice clearly separated from operational policy advice

### Performance Indicators

Finally, the senior managers conference in particular identified performance indicators that could usefully be employed.

- It is reflected in the purchase agreement
- It achieves prevention and early intervention
- It holds managers responsible and accountable
- Adds value
- Consistent, has departmental wide expectations
- It makes a measurable difference

As noted above, it is expected that the above sets will be tested and refined to arrive at a final recommended set against which options will be tested.

## 6. Range of options

During the course of consultations, and after reflection on models that have been used in the past, or are in current use, a wide range of possible components of an advice function were suggested. The key challenge is to arrive at the package of components that will best meet the needs that have been identified. Experience in the state sector has demonstrated the need to use a comprehensive approach and not focus inordinate weight on one mechanism, process, structure, or indeed, person. An *And/And* approach is likely to be the guiding principle for the final recommended approach.

In order to sensibly canvass the range of options for the advice function, a consideration of the kinds of advice the function might be expected to deliver is necessary. Again, the full range has been outlined for the purposes of this report. It is the operational dimension of the advice category that the WINZ advice function would be focused on.

### Kinds of Advice

Strategic	Overarching, long term, forward looking, trend identification, forecasting
Regional	Focusing on regionally specific characteristics and interests, with local differentiations identified
Relationship	Development of stakeholder maps and processes for the establishment and management of key stakeholders, nationally, regionally, locally
Outcome definition	Development of an inclusive process for the formulation of WINZ Maori outcomes
Experiential	How Maori clients, and Iwi stakeholders, their whanau and communities are experiencing the WINZ services and products
Continuous improvement	Monitoring and evaluation, refinement of existing programmes and products
Research and development	Design of new products, programmes, and services
Linkages	Capturing frontline information and processing it to add value

Macro policy feed	Managing the interface between macro policy providers and the WINZ operational experience
Professional development	Recruitment, retention, management development of Maori staff
Cultural safety	Responsive to Maori staff concerns about products and delivery
Protocol	Observing appropriate kawa and tikanga

The range of options on which further work needs to be done in Part Two of the final report could include elements of build, buy, lease, and joint venture in terms of people, processes, structures, and resources.

The range could include:

- Senior Maori appointments on part or fulltime basis in governance and management positions
- Development of a Maori critical mass in the advice function area, deployed nationally and regionally, with permanent or semi-permanent locations
- Outsourcing
- Retention of consultants on an adhoc basis
- Annual, bi-annual national / regional strategy sessions with Iwi and Maori stakeholders
- Issue-driven trouble shooter team
- Project methodology involving regional and national staff, structured for career development as well as operational policy improvement.
- Think tank
- Performance management system with specific Treaty competency framework for all staff, individual performance accountabilities cascading from senior managers, incentives and sanctions for performance in respect of Maori outcomes
- Reconfiguration and realignment of key business planning processes to monitor and measure achievement of Maori outcomes
- Development of Maori staff network for professional discourse on Maori business case
- External review process by Maori clients, providers, stakeholders

- Development and implementation of an operational framework based on the Treaty

The above list is not exhaustive, but indicative of the kinds of elements that could be put together to form an integrated strategy around a high quality Maori advice function. The detailed development and assessment of these elements will be the subject of Part Two of the final report.

**APPENDICES**

## APPENDIX 1

### Question Set for Consultation

#### *Strategic framework*

- ◆ What do you understand to be the Department's Maori outcomes?
- How were these developed?
- Where are they recorded?
- How are they measured?
- How would you expect to contribute (specifically)?

#### *Business drivers*

- ◆ What do you understand to be the business case for the Department's Maori outcomes?
- What are the key factors influencing the business case?
- How has the business case been developed?
- How has this been reflected in the business processes of the Department?
- Are there any departmental outputs directly targeted at Maori outcomes?
- How would you expect to contribute (specifically)?

#### *Organisational capability*

- ◆ How does the organisation support delivery of its Maori outcomes?
- What kinds of value do Maori staff bring to the organisation?
- What added value can Maori staff contribute to the Department in general and to its Maori outcomes in particular?
- How are Maori staff valued by the organisation?
- How do you value Maori staff?

#### *Critical success factors*

- ◆ What are the characteristics of high quality advice within the Department's operating environment?
- Is information about Maori collected appropriately? Defined accurately? Accessible and easily understood? Differentiated by iwi, gender, age?
- How is Maori information, processed, used, monitored?
- Are there Maori analytical frameworks to deal with Maori information?
- How results-focused is advice for Maori clients?
- What are the Department's obligations in terms of the Treaty of Waitangi? How are these operationalised?

#### *Options*

- ◆ What would your ideal form of advice on improving Maori outcomes be?

## APPENDIX 2

### Additional questions

For **National Office**, please add questions 1, 3, and 4 below to the Question Set.

For the **regional office** visits, you should use the question set for approximately half the interview, and use the following for the second half:

1. What are the critical success factors for effective provision of advice on service delivery to Maori?
2. What are the priorities for Maori in your region? Why?
3. How do you manage your relationships with external stakeholders?
4. How do you draw upon Maori staff members as a resource?
5. How could the Department improve its support of you to improve Maori outcomes in your area?

For **external stakeholders** you might focus on:

1. What are your priorities for Maori employment and income? Why? How could WINZ work with you to achieve these?
2. What sort of relationship do you have with WINZ? How could this be improved?
3. What do you consider to be the critical success factors for effective provision of advice on service delivery to Maori

**Critical Success Factors = the things that have to be present to make a success**



## APPENDIX 3

### Sample letter of invitation

6 April 1999

Regional Commissioner  
Region  
Address

Tena koe [name].

#### **Project: Improving advice on the achievement of Maori outcomes**

As you will know Gardiner & Parata Ltd (GPL) has been engaged to provide advice to the Chief Executive on the *best approach for the delivery of high quality Maori advice on improving Maori outcomes*. This advice function will have two purposes:

- Advice aimed at improving outcomes for Maori in respect of employment and income status (external focus); and
- Advice that deals with the internal dimensions of responsiveness to Maori and general organisational capability in respect of Maori outcomes (internal focus).

The first stage of this project will involve consultation with key groups and individuals in WINZ in the regions and with external stakeholders such as iwi runanga and Maori authorities and with government agencies with complementary roles. The purpose of the consultation is to:

- Establish to what level Maori outcomes are specified and understood;
- Identify how performance in respect of Maori outcomes is planned for, monitored, assessed, and continuously improved;
- Determine the WINZ characteristics of quality service delivery advice;
- Examine the points of difference of Maori advice;
- Canvass possible options for the provision of ongoing high quality advice.

It is not possible to visit all regions, however, a series of 8 regional meetings has been planned. We would like to visit your region, and hope that you will be able to accommodate us on the date proposed with the programme proposed. A copy of the proposed programme is attached.

You will see that we would like to have a series of targeted small group meetings beginning with yourself and your key managers, then separately with the senior Maori staff and then with all Maori staff. We will also be meeting with key external stakeholders in your region on that same day. Our project liaison at National Office, Angela Wallace, will be in touch about these and other logistical matters.

Angela will also discuss with you the possibility of staff in areas outside the 8 regions we are visiting, joining with a meeting in your office. Also, if you know of staff that we have not identified whom you believe should be included in one of the target group meetings, please feel free to include them. Angela will also be speaking with the regional Public Relations Advisors about the key messages for communication to senior Maori staff, Maori staff and others staff regarding the target group interviews for the morning programme.

DRAFT

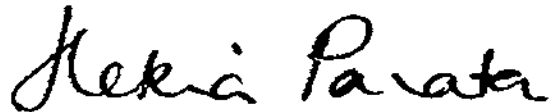
*Part One: 10 May 1999*

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We propose visiting your region on [date] April. At each of the meetings we will be seeking feedback from you on the range of questions attached to this letter.

In the meantime, if you have any questions or would like to discuss any matter with us, please feel free to contact the team at Gardiner and Parata on (04) 4726870.

Heoi ano



Hekia Parata  
Project Director

## APPENDIX 4

### List of consultation participants

Region	Name	Position/Organisation	
Auckland South (Manukau)	Denise Fink	Regional Commissioner	
	Amanda Eves	Public Relations	
	Leslie Thomson	Contracts	
	Brian Rawhiti	Service Centre Manager	
	Thelma Nikora	Service Centre Manager	
	Jenny Clark	Service Centre Manager	
	Miria James-Hohaia	CEG	
	Kath Murray		
	Sheryl Wiki		
	Martin Cooper	CEG	
	Hauptai Montgomery		
	Darryl Takitimu		
	Bruce Mataki		
	Patricia Mataki		
		Sonya Hawea	Regional Director TPK
		Diane Tuari	Waipareira (WINZ unit)
		Ronald Nepe	Waipareira Tech Ltd
		Matt Hakiaha	Waipareira Health
		John Tamihere	Waipareira
19	Brian Joyce	Papakura Marae	
Northland (Whangarei)	Sharon Brownie	Regional Commissioner	
	David Flaws	Contracts	
	Alison Lees	Public Relations	
	??	Service Centre Manager	
	Raewyn Tipene	CEG (Whangarei)	
	Pete Faauli	CEG (Mid-North)	
	Jean Beazley	CEG (Kaitaia)	
	James Mackenzie	Kaitaia	
	Simone Robinson	Kaitaia	
	Mere Paul	Whangarei	
	? Taingahue	Dargaville	
	Pat Nepia	Whangarei	
	Bill Coffee	Kawakawa	
	Hone Sadler	Northland Polytech	
	Fred Wilcox	Northland Polytech	
	Ray Thorburn	Northland Polytech	
	Nora Rameka	Ngatirehia/Northland Poly	
	Grant Berghan	Te Hau Ora o te Tai Tokerau	
	Pene Waitai	?	
	Rongo Bentson	Te Rarawa	
	Ritihia Paraone	Ngaitakoto	
	Ngaro Taylor	Ngaitakoto	
	Allan Pivac	Ngati Whaatua	
	Vonda Nepia	Ngati Whaatua	
	Danny Patuawa	Ngati Whaatua	
	Tepania Kingi	Ngati Whaatua	
	Raiha Matthews	Ngaitakoto	
	29	John Rivers	Police
	Bay of Plenty (Rotorua)	Carl Crafar	Regional Commissioner

	John Bishara	Operations
	Rose Savage	CEG
	Helen Aranui	CEG
	Mata Te-Hiini	
	Stephanie Irwin	
	Ngareta Lennon	
	Stephen Maniapoto	
	Pat Simpkins	Aotearoa Employment Trust
	Wallace Haumaha	Aotearoa Employment Trust
	Vince Low (+2)	Waimana Employment Grp
12	Katherine Bennett	Te Arawa MTB E&T Trust
Waikato (Hamilton)	Anne Stevenson	Operations
	Pip Oatham	Contracts
	Lyndon Hemi	Public Relations
	Tami Laird	Executive Assistant to RC
	Arihia Kingi	Service Centre Manager
	Tau Holden	Acting Service Centre Mnger
	Pat Goldsmith	Acting Call Centre Mnger
	Neville Williams	Acting Service Centre Mngr
	Dave Thompson	Regional CEG Manager
	Whare Randell	Case Manager
	Sonny Watene	Case Manager
	Huhana Grant	Case Manager
	Ara Tamatea-Adams	Telephone Service Op
	Lyall Wison	Case Manager
	Hinemoa Dixon	Work Broker
	Jessia Broadhurst	Student Loans
	Syrina Pene	Te Omeka Marae
	Bella Smith	Te Omeka Marae
	Bub Riki	Poihakena/Whaingaro Marae
	Miria James-Hohaia	CEG
	Peter Whetu	Gateway Opportunities
	Tere Vickeridge	Skill NZ
	Puka Moeau	Te Wananga of Aotearoa
	William Wetere	Te Wananga of Aotearoa
	Hemi Rau	TPK
	Gordan Duncan	Ngati Maru
	David Taipari	Ngati Maru
	Stephen Byles	Ngati Hei
	Joseph Davis	Ngati Hei
	Susan Wetere-Bryant	Lifeworks NZ
31	Ata Te Ao	Tuakau Homebuilders
Central (Palmerston North)	Te Rehia Komene	Regional Commissioner
	Te Hope Hakaraia	Contracts
	Penny Routhwaite	Operations
	Grayson Rouse	Public Relations
	20 Maori staff	
	Brendon Tukapua	Muaupoko
26	Denis Emery	Te Runanga o Raukawa
Auckland North (Henderson)	Mike ?	Contracts
	Sally ?	Public Relations
	7 Maori staff	
	By phone	CE Waipareira E&T
11	By phone	Chair of Waipareira Trust
East Coast (Napier)	Lyndsay Scott	Regional Commissioner
	Michael Bryant	Operations
	Tikirau Stevens	Te Puni Kokiri

DRAFT

Part One : 10 May 1999

7 Maori staff

3 Iwi stakeholders

Approx 13

Southern (Christchurch)	Bruce Ash John Henderson Na Katae Miringa Sheehan Sally Pitama ? 11 senior Maori staff 9 Maori staff	Regional Commissioner Operations Contracts Public Relations Cultural Advisor Cultural Advisor  Ngai Tahu Development Corp Nga Mata Waka Poutama Nga Hau e Wha Premier Promotions Aranui Academy
31		
Total Regional interviews 145 (ext = 41)		

100	Ahipara Staff hui	
6		Maori Policy Unit
Service Delivery Support	Pat Thomas Justine Auton Geraldine Woods Doug Craig Kate Mckegg Margaret Faulkner	Helpline Services Operational Policy Contracts Legal Services (acting) Operational Research & Eval War Pensions
6		
National Office	M Fell M France T Gavin G Lewis H Quilter A Wallace A Wineera M Whaitiri K Karauria J White C Rankin R Smith	GM Human Resources Manager CEG Strategic Advisor Employment GM Finance GM Business Development Account Manager Manager HR Development Snr Advisor CEG CEG GM Strategy and Capability CE National Commissioner
11		

272 interviewed

Plus 120

Feedback from senior  
managers conference

## **APPENDIX 5**

### **Review of Documents**

(Relating to the Advice on the best Structural Options for Effective Service Delivery To Maori)

For each document the title, date and number of pages is followed by a synopsis, and the key features relevant to the current task before GPL.

The key features are coded as follows:

- Maori Outcomes (explicit and implicit): [outcome]
- Processes for planning, monitoring and improving delivery of Maori outcomes: [delivery]
- Features of high quality service delivery advice identified by Work and Income New Zealand, the Department of Social Welfare and the Department of Labour [advice]
- Features specific to high quality service delivery advice for Maori [Maori advice]

A list of the documents reviewed follows.

**GENERAL DOCUMENTS FROM WORK AND INCOME NEW ZEALAND, THE  
DEPARTMENT OF SOCIAL WELFARE AND THE DEPARTMENT OF LABOUR**

33

Document: Relationship Protocol between the Department of Labour, the Department of Social Welfare and Work and Income New Zealand	33
Document: Employment and Income Support Sector Collective Stewardship Information Board; Memorandum of Understanding	33
Document: Memorandum from Brett Mudgway to John Chetwin on and 'Interim Information Access Agreement'	33
Document: Policy, Purchase Advice and Ministerial Servicing protocol between the Department of Labour, the Department of Social Welfare and Work and Income New Zealand.	33
Document: Memorandum of Understanding – Maori Perspective Unit	34
Document: Cabinet Paper : 'Strategic Priorities for the Public Sector'1992-2002	34
Document: Development of WINZ KRA's and Milestones	34
Document: Vote: Work and Income : Purchase Agreement 1 October 1998 – 30 June 1999 Between the Minister of Social Services, Work and Income and the Chief Executive of the Department of Work and Income	35
Document: Draft Chief Executive Performance Agreement between Roger Sowry and Christine Rankin for the period 1 October 1998 – 30 June 1999	35
Document: Strategic Plan for Integration: Work and Income New Zealand	36
Document: Business Case to Establish Work and Income New Zealand	36
Document: Work and Income New Zealand: Interim Business Plan October 1998 – June 1999	37
Documents: Departmental Forecast Reports 1998/99; One each for the Departments of Labour and Social Welfare	38
Document: Department of Labour : Consultation Feedback Kit	38
Document: WINZ HR People Matters	39
Document: Collection of Papers - Cover Page entitled 'Community Employment Review Initiated' (10 March 1999).	39
Documents: Community Employment – folder of public information (with lots of photographs) on the projects that CEG is involved with.	40

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<b>DOCUMENTS RELATING SPECIFICALLY TO PROVISION OF SERVICES TO MAORI</b>	<b>40</b>
<b>Documents: Te Wero [outcome] te Ara Hou: NZES Responsiveness to Maori Strategy</b>	<b>40</b>
<b>Documents: Maori and Employment Training Commission, Interim Report to the Minister of Maori Affairs, February 1999; response by Work and Income New Zealand to Roger Sowry, and from Roger Sowry to Tau Henare.</b>	<b>41</b>
<b>Document: Employment and Training Programmes; Maori Participation and Outcomes</b>	<b>41</b>
<b>Document: Review of the Employment Function of the Department of Labour [draft]</b>	<b>42</b>
<b>Documents: Te Kaupapa Maori mo te Tari Mahi : Maori Perspective Action Plans for 1997/98, 1994/95 and 1991/92.</b>	<b>42</b>
<b>Documents: Maori Labour Force : an information strategy</b>	<b>42</b>
<b>Maori Labour Force : trends and dynamics</b>	<b>42</b>
<b>Documents: Department of Conservation - Te Papa Atawhai; 'Review of Service Delivery to Maori', and 'Key Stakeholder Interviews'</b>	<b>42</b>
<b>Documents: Relating to use of Te Reo and Government's Maori Language Strategy</b>	<b>43</b>
<b>Documents: Folder of Information on Te Whanau o Waipareira Trust</b>	<b>43</b>



**General Documents from Work and Income New Zealand, the Department of Social Welfare and the Department of Labour**  
**Document: Relationship Protocol between the Department of Labour, the Department of Social Welfare and Work and Income New Zealand**

1 October 1998; pp5

High level relationship protocol between the Department of Labour, the Department of Social Welfare and Work and Income New Zealand.

Key features:

- High quality advice is *integrated*. This in turn requires good working relationships between the triad. [advice]
- High level statement of the role of each of Work and Income New Zealand, the Department of Labour and the Department of Social Welfare. These are respectively: case management, income support and employment programmes delivery to specified groups; labour and employment policy and purchase advice; policy and purchase advice on income support to provide relief from undue hardship and incentives to seek work and self reliance for specified groups; [outcome]

**Document: Employment and Income Support Sector Collective Stewardship Information Board; Memorandum of Understanding**

Undated; pp7

Memorandum establishing board comprising three chief executives 'to manage the collective stewardship of data and information within the employment and income support sector'.

- Three entities need ready access to information to deliver required outputs. [delivery]
- Data management has to be effectively integrated across triad. [delivery]
- It is not explicitly stated but presumably both the above features are important for advice delivery.[advice]

**Document: Memorandum from Brett Mudgway to John Chetwin on and 'Interim Information Access Agreement'**

24 September 1998; pp11

An agreement on transitional arrangements for information access. Issues are the same as those in the previous document.

**Document: Policy, Purchase Advice and Ministerial Servicing protocol between the Department of Labour, the Department of Social Welfare and Work and Income New Zealand.**

30 September 1998; pp9

Protocol setting out roles and responsibilities of three entities, consultation guidelines, agency contacts and dispute resolution mechanism.

- Sets out roles of the Department of Labour, the Department of Social Welfare and Work and Income New Zealand at a very general level. [outcome]
- Notes that both the Department of Social Welfare and the Department of Labour have a role in monitoring Work and Income New Zealand service delivery. [delivery]
- Notes that policy, purchase and operational advice requires 'research, evaluation and monitoring'. [advice]
- Reiterates consultation and information sharing between triad are important for good advice and delivery on outcomes. [delivery] [advice]

**Document: Memorandum of Understanding – Maori Perspective Unit**

September 1998, p1.

Agreement between the Department of Labour, and the Integration Transition Team on behalf of Work and Income New Zealand, that the Department of Labour's Maori Perspective Unit will continue at least for the remainder of the 1998/99 year.

- Provision for delivery of Maori advice under review. Options include discrete or integrated provision. [Maori advice]

**Document: Cabinet Paper : 'Strategic Priorities for the Public Sector'1992-2002**

Undated (reports on Cabinet meeting of 2 November 1998); pp4

Sets out a framework of overarching goals and values, and strategic priorities into which departmental KRA's are to fit.

- Overarching goals with relevance to Work and Income New Zealand include a commitment to a growing, innovative economy in which all New Zealanders can participate; social cohesion based on contribution of individuals, families, communities and the private sector; provision of social assistance to those most in need and breaking cycles of disadvantage; commitment to fair and affordable Treaty settlements. [outcome]
- Strategic priorities include contestable and targeted service provision; lifting educational services, strengthening families to break cycles of disadvantage; encouraging active participation in work. [outcome]

**Document: Development of WINZ KRA's and Milestones**

Collection of papers; front page dated 4 March 1999; pp15

Draft of Work and Income New Zealand KRA's, the Department of Social Welfare KRA's and SSC comment on Work and Income New Zealand KRA's.

- SSC comments that Work and Income New Zealand could look for better horizontal integration with other Departments. [delivery]

- Work and Income New Zealand KRA's relate to case management, changing attitudes to reduce dependency, 'account management' (brokering employment placement), regional responsiveness and Maori Outcomes. [outcome]
- The Department of Social Welfare KRA's relate to: strengthening families; child and family; improved outcomes for Maori; employment and self reliance incentives; positive ageing and retirement planning; housing; and strategic capability. [outcome]
- A separate Maori outcome in both Work and Income New Zealand and the Department of Social Welfare KRA's points to the need to deal with Maori delivery and advice separately. [delivery] [advice]

**Document: Vote: Work and Income : Purchase Agreement 1 October 1998 – 30 June 1999 Between the Minister of Social Services, Work and Income and the Chief Executive of the Department of Work and Income**

Work and Income New Zealand's first purchase agreement.

- Agreement sets out Governments strategic priorities (p4) that form the back drop for Work and Income New Zealand activities. The overarching priority is the enhancement of the ability of individuals, families and communities to actively participate in New Zealand's economic, social and cultural development. Priorities in employment (reduction in long term unemployment and increased training) and income maintenance (benefit reform, welfare to well being and strengthening families) sit below this. [outcome]
- Maori strategic outcomes are the closing of gaps and the reduction of unemployment. [outcome]

**Document: Draft Chief Executive Performance Agreement between Roger Sowry and Christine Rankin for the period 1 October 1998 – 30 June 1999**

Undated; 19 pages.

Agreement sets out the strategic result areas, key result areas and milestones that the Chief Executive of Work and Income New Zealand is accountable for.

- The service delivery integration strategy of Work and Income New Zealand includes three phases – providing a 'one-stop shop', an integrated service and service enhancements. [delivery]
- The external focus of Work and Income New Zealand is in on reducing the duration of unemployment, increasing training and community work among job seekers and reducing Maori – non-Maori labour market disparities (p2). [outcome]
- Strategic result areas where Work and Income New Zealand has a lead role relate to increasing economic and social participation and the Treaty of Waitangi (fair and affordable settlements and reducing gaps). In the latter area the stated emphasis is on improving the design, delivery and monitoring of policies and programmes impacting on Maori outcomes. [outcome] [delivery] [Maori advice]
- Strategic result areas where Work and Income New Zealand has a contributory role include economic growth, enterprise and innovation and education & training. [outcome]

- A milestone set out under Work and Income New Zealand first key result area is the development of an evaluation strategy dealing with employment and income support issues (p7-9). [advice] and/or [delivery]
- Key result area 2 concerns the need for interdepartmental co-operation for good policy design and service delivery (p9). [delivery] [advice]
- Key result area 4 relates to Maori and notes the objectives of reducing labour market disparities, moving Maori off benefits and encourage Maori training and community work providers. It includes as a milestone the development of a strategy for responding to labour market disparities. [outcome] [Maori advice]

**Document: Strategic Plan for Integration: Work and Income New Zealand**

Final version 30 September 1998; pp59+2

The plan provides the strategic direction and operational strategies to establish Work and Income New Zealand from its constituent bodies.

- The mission statement sets out the overall objective (create opportunities for people to achieve and maintain self-sufficiency through work, training, income support and community development) and chief characteristic of the delivery mechanism (an integrated service). [outcome] [delivery]
- Elaborating on the objective the plan outlines Government outcomes include reducing long term unemployment and increasing training. [outcome]
- Key features of delivery including: regional responsiveness; an integrated 'seamless' service; and the linking of clients with all opportunities for work and skill development; are stressed throughout the report. Both the need (e.g. p10; p12) and the difficulties of integration (p21-22) are set out. [delivery]
- Among the features of the policy and delivery approaches supporting the primary focus of Work and Income New Zealand (enhancing active participation) is the reduction of disparity between Maori and non-Maori (p12). The plan suggests that an outcome sought from integration is the 'targeted use of resources to individuals and communities with the greatest barriers to self-sufficiency' (p10). Another feature of delivery set out is the need to develop partnerships with Maori and to include them in decision making processes that impact on them (p19). [Maori advice] [delivery] [outcome]
- Outlining the organisational structure required to deliver an integrated, regionally responsive service the plan explains that Regional Commissioners will be responsible for regional plans and the National Commissioner will be responsible for strategic direction of service delivery and national consistency. CEG will remain separate but will need to co-operate with the regions and will report directly to the National Commissioner (p38). The organisational design is directed at service delivery rather than policy, and front-line rather than corporate functions. [delivery]
- The integration strategy includes provisions for looking after staff (p40-43), building a new corporate identity and managing the change process. [delivery]

**Document: Business Case to Establish Work and Income New Zealand**

Final version 30 September 1998; pp42+51

This purpose of this document is to determine the once-off capital required to fund integration and to set out the cost and benefits that will result over time. It notes that

there are three phases to integration (providing a one-stop shop; providing and integrated service; and service enhancements) and that the business case sets out an investment strategy for phases one and two. The business case notes that the original decision to integrate on 15/12/97 was based on a cost benefit exercise undertaken in late 1997. The document lists the delivery changes that it was anticipated would result from integration on 30/9/98 (p1, annexes) and simulates an ideal service delivery model (p6, annexes).

- The business case outlines, from the Strategic Plan for Integration (reviewed above), the connection of the Governments employment strategy with the business objectives and service delivery objectives (p7/8). [outcome]

**Document: Work and Income New Zealand: Interim Business Plan October 1998 - June 1999**

Undated; pp157.

The plan starts with the Work and Income New Zealand philosophy statement (including its purpose 'to enable people and communities to achieve self sufficiency, through; work, training, income support and community development). The plans states that its focus is on completing the integration process, outlining initiatives and demonstrating how it will carry on with 'business as usual'. The plan takes its strategic goals from the Strategic Plan for Integration (reviewed above), including setting out an integrated service delivery process (p13,14) and the strategic framework (p19).

The plan includes a customer profile and plans for each business unit (service delivery, CEG, service delivery support, information systems, business development, finance and property, audit risk, specialist services: benefit crime, debt, student services community services card & international affairs, and human resources).

- The plan sets out the Work and Income New Zealand contribution to the Treaty of Waitangi strategic result area which is concerned with closing the gap between Maori and non-Maori. It includes reducing the Maori unemployment rate, ensuring appropriate and effective employment assistance and supporting Maori communities in reducing unemployment and achieving self development. [outcome]
- The service delivery plan (p35-45) sets out the structure including regional commissioners (responsible for regional policy) and national office functions including 'the development of a service delivery strategy' and support for planning and monitoring in the regions. Key result areas relating to development and monitoring of a service delivery model, and training, are laid out. [advice] [delivery]
- The CEG plan (p49-58) sets out its community assistance approach, which is targeted towards the most disadvantaged, including Maori, women, Pacific peoples, urban groups and rural communities. (The Mahi-a-lwi Maori strategy works in conjunction with the Maori Perspective Unit of the Department of Labour.) Strategic analysis and development is a national office function but evaluation also takes place at a regional level and involves local communities to create an 'evaluation culture'. A number of key tasks are set out relating to evaluation and policy development (see especially p49&57). [advice] [Maori advice] [outcome]

- The Service Delivery Support plan sets out a structure with a unit responsible for operational policy and one responsible for information & evaluation. Some other units have specific policy functions e.g., Helpline is charged with identifying and notifying policy gaps (p62). [advice]
- The Business Development group also appears to have an advice role in its task of 'enhancement and development of existing capability, defining new areas for business growth'. [advice]

**Documents: Departmental Forecast Reports 1998/99; One each for the Departments of Labour and Social Welfare**

Both documents 6 April 1998; documents contain 83 and 45 pages respectively.

These forecasts open with a strategic framework and key result areas before presenting the detail of outputs and financial information.

The Government's strategic result areas that underpin the work of the Department of Social Welfare are 'economic and social participation', 'safer communities' and 'strengthening families'. Its work is reported as contributing to two other strategic result areas: 'strong economic growth', and 'education and training'.

Key result areas that link the Department of Social Welfare's vision, 'welfare to well-being', are: improving the capacity of families to meet their responsibilities; positive income support to move beneficiaries from dependency to self-reliance; the establishment of Work and Income New Zealand; strategies to prepare social welfare services for an ageing population, and the need to meet the Government's ownership interests. [outcome]

The Government's strategic result areas that underpin the work of the Department of Labour are 'strong economic growth', 'enterprise and innovation', 'external linkages', economic and social participation, 'health and disability services', the 'Treaty of Waitangi' and 'Protecting and Enhancing the Environment'.

Under the Treaty of Waitangi heading the forecast suggests that 'particular emphasis will be placed on enhancing and improving the design, access to, delivery and monitoring of policies and programmes which impact on Maori economic opportunity and social outcomes.'

The roles of the various units within the Department of Labour are set out. The NZES refers to the implementation of the individualised employment assistance model and the increase in local decision making. The CEG role is explained as assisting communities towards self-sufficiency, targeting disadvantaged groups. The future move into a 'new integrated employment service' is referred to for both NZES and CEG. [outcome]

**Document: Department of Labour : Consultation Feedback Kit**

5 August 1998; kit contains 4 letters, a booklet entitled 'The Organisation Structure' (pp56) and a booklet entitled 'Staff Transfer Protocols' (pp15+14+12)

These documents are the culmination of a process of consultation with staff about the new structure and the process of transferring staff to the new organisation. The

principles guiding the structure were a desire to keep it flat, focussed on the front line, focused on service delivery (not policy) and to consolidate functions.

Submissions on Maori perspectives (p8) suggested that the 'the prominence of Maori issues and values is not reflected in the draft organisational structure'. Particular concerns included those relating to: the adequacy of service delivery mechanisms; the need for strategic alliances with Maori as communities, employers, opportunity providers, key stakeholders and as hapu and iwi; the need for inter-agency co-ordination; the place of the Maori Perspectives Unit; the need for an internal monitoring capacity; Maori participation in key decision making roles; and the need to draw on Te Punga and Te Wero o Te Ara Hou. [Maori advice] [delivery]

The response from the Chief Executive Designate is that customer needs should be clarified before the structure and a note that she is 'not driven by the need to replicate the structures and processes of other organisations' (p9). She agrees that the range of issues for Maori is serious. She concludes with notification that Gardiner and Parata Ltd have been engaged to provide advice on the best structural options for effective service delivery to Maori and that the position of Manager, Maori perspectives will be held open until this advice is received (p10). [Maori advice] [delivery]

The section on Service Delivery Support (p29) outlines its role in translating 'government policy and strategies into operational policy and programmes'. It is reported that concerns about fragmentation were addressed through consolidation and rationalisation. A concern that policy and evaluation should be separated is responded to with the advice that 'research and evaluation functions have been consolidated and will report to the Manager Information and Evaluation'. [advice]

The Staff Transfer Protocols summarise and respond to staff concerns about their transfer to Work and Income New Zealand. They cover operational information related to the integration process.

**Document: WINZ HR People Matters**

27 January 1999; pp9.

This booklet outlines an interim performance management process that will operate for some staff (the most senior positions) during the period 1 October 1998 to 30 June 1999.

**Document: Collection of Papers - Cover Page entitled 'Community Employment Review Initiated' (10 March 1999).**

This collection of documents includes;

- An announcement a review of CEG management structure and national support functions;
- Guidelines for appointment for the service front line restructuring;
- Various staff policies including the Employee Assistance Programme, Contracts, Resolving Performance and Discipline Problems, EEO, Intellectual Property, Job Descriptions, Treaty Obligations and Training & Development.

- The policy on 'Treaty Obligations' notes that as a 'good employer' the Department has a commitment to recognising the aims and aspirations of Maori people, and that the Department will develop and implement a Maori Perspective Action Plan annually.
- Statistics on Maori employees – age, income and geographic distribution (47% of staff in Northland are Maori down to 8% in Canterbury);
- A list of tasks and associated contact people, in areas such as planning, advice and performance monitoring.

**Documents: Community Employment – folder of public information (with lots of photographs) on the projects that CEG is involved with.**

August 1998– January 1999; 17 one pagers and three booklets.

On the basis of the information, key features of the programmes would appear to be diversity close involvement with communities, and the use of good photographers.

**Documents relating specifically to Provision of Services to Maori**

**Documents: Te Wero [outcome] te Ara Hou: NZES Responsiveness to Maori Strategy**

8 separate documents from May and June 1998; 54 pages total

These documents set out a vision of 'getting Maori into employment, acknowledging and respecting Maori cultural values, taha wairua, taha hinengaro and taha tinana;' and a strategic goal that 'by 31 December 2001 the proportion of Maori on the national register will be reduced to 15% through participation in paid work'.

The documents outlines the position of Maori in the labour market (29% of national register at time of writing) and list in some detail the measures that need to be taken to achieve the strategic goal. (There is limited discussion of rationale for the goal or for the measures recommended.)

The challenge of transferring the intent of the Maori strategic goal to Work and Income New Zealand is referred to (paragraph 46 of the Ministerial paper). One set of overheads notes that a 'philosophical shift to raise the profile of Maori' is required to implement the strategy.

- The measures stretch across a wide range of NZES domains including human resources (increasing awareness of Maori issues for all staff, valuing staff with specialist Maori skills) and the need for the Maori perspective to be represented at all levels and in all policy advice. [Maori advice] [delivery]
- The documents stress repeatedly the need for communication, consultation and partnerships with Maori staff, clients, community groups, service providers, organisations and other Government agencies with related responsibilities. [Maori advice] [delivery]
- The need for specific programmes for Maori and for Maori needs to be catered for in all programmes is outlined. [delivery]
- The need for significant affirmative action and increased resources targeted to Maori is outlined. [delivery]
- The business plan sets out strategies for the Strategic Support Group to develop effective policy (including guidelines for analysts, a database for Maori



researchers and evaluation procedures). The overhead entitled Management of the Plan also refers to the need for monitor and evaluate the implementation of the plan in partnership with Maori. [Maori advice]

**Documents: Maori and Employment Training Commission, Interim Report to the Minister of Maori Affairs, February 1999; response by Work and Income New Zealand to Roger Sowry, and from Roger Sowry to Tau Henare.**

Date: 28/3/99 to 6/4/99; total pp24.

The METC report contains a number of recommendations including:

- The need for a National Maori Commissioner to sit alongside the existing Work and Income New Zealand National Commissioner.
- The establishment of a project team to further develop the Tane Atawhai programme;
- The establishment of a project team to develop and implement an effective monitoring model of Government Agency effectiveness for Maori;
- The establishment of a project team to improve seamless services between government agencies.
- The establishment of a New Zealand Council for Kaupapa Maori Standards.

[Maori advice] [delivery]

The report critique is in strong language suggesting, for example that "the current 'white-monoculture' staffing of WINZ is the antithesis of a commitment by Government to close the 'gap'" (p3).

There is some controversy over the lack of communication between Work and Income New Zealand and METC about the report (see Work and Income New Zealand response).

**Document: Employment and Training Programmes; Maori Participation and Outcomes**

February 1999; pp106.

This document was prepared by Michael Fletcher for Te Puni Kokiri. It is described as following Te Puni Kokiri's *Closing the Gaps* report and examines the adequacy of the services provided to Maori in the employment and training sector. It looked at 26 programmes provided by NZES, Income Support, the Ministry of Youth Affairs, CEG and ETSA. The study considered 34 evaluation reports.

A major concern of the report is that 'The ability to reach detailed conclusions about employment outcomes for Maori was severely constrained by a lack of separate information on Maori in the majority of the programme evaluation reports.' (p10) As a consequence, the majority of recommendations relate to improving evaluation (p13/14). In particular it suggests that 'Priority should be given to the evaluation of Work and Income New Zealand's service delivery strategies, including core placement activities, risk assessment procedures, decision making processes for placement onto programmes and post-placement support.' (p13) [Maori advice] [delivery]

**Document: Review of the Employment Function of the Department of Labour [draft]**

September 1998; pp79

This draft, prepared by the Monitoring and Evaluation Branch of Te Puni Kokiri was substantially incomplete and as such rather difficult to review. (It has no executive summary, no overview and no recommendations.)

The draft's detail expresses repeated concerns about the adequacy of attention given to Maori issues by the Department of Labour. For example it suggests that more attention be given to consistent data collection and evaluation on Maori outcomes (p30), an increased need to seek input from Maori clients and communities (p45) and notes the weak incentives for senior managers to implement the objectives of Te Wero o te Ara Hou (reviewed above) (p79). It also expresses concerns about the fate of projects with relevance to Maori in the transition to Work and Income New Zealand (p48). [Maori advice] [delivery]

**Documents: Te Kaupapa Maori mo te Tari Mahi : Maori Perspective Action Plans for 1997/98, 1994/95 and 1991/92.**

Documents contain 27, 23 and 10 pages respectively.

These documents set out specific Maori perspective objectives for each of the units of the Department of Labour. These are both internal (general staff awareness and support for Maori staff) and external (effective Maori policy and service delivery). The role of the Maori Perspective Monitoring Unit in working alongside the other units - assisting with and monitoring the implementation of the Maori perspective objectives of the other units is set out. [delivery] [Maori advice]

**Documents: Maori Labour Force : an information strategy  
Maori Labour Force : trends and dynamics**

Both documents from 1998; Documents contain 27 and 45+41 pages respectively.

These two reports were prepared for NZES by Lifeworks NZ Consultants. The information strategy report concerns the collection of Maori labour information at a local level. It notes that the Local Employment Committees instigated by NZES carry out scant analysis of Maori labour force trends. The strategy involves building up local Maori labour force profiles, local labour market key informant reporting, Maori development trends reporting, community wage evaluations and Maori register analysis. [Maori advice]

The report on Maori labour force trends and dynamics looks at the historical experience of Maori in the labour market, the contemporary situation, provides 'A Descriptive Model of Maori Labour Status Dynamics' and considers future trends.

**Documents: Department of Conservation - Te Papa Atawhai; 'Review of Service Delivery to Maori', and 'Key Stakeholder Interviews'**

November 1998; review - pp93; interviews - pp56.

These documents are the work of the Monitoring and Evaluation Branch of Te Puni Kokiri.

The 'Key Stakeholder Interviews' indicate a relationship that is 'poor but improving' (p12). The one positive note was support for the position of Kaupapa Atawhai Manager (although stakeholders felt these positions should be upgraded and better resourced); p14. [delivery]

The 'Review of Service Delivery to Maori' suggests that the poor (but improving) relationship with Maori is not a deficiency in the strategic objectives or in their translation into business plans, purchase agreements etc (p10). Rather they see a need for better implementation and monitoring of the strategy, and more active inclusion of iwi and hapu in decision making. The review suggests better use be made of the Departments Maori positions and that they be formally involved in the Departments core processes including planning, monitoring and reporting; provision of outputs; development of human resource and organisational capability; and the collection and use of information on Maori stakeholders (p12/13). [Maori advice] [delivery]

**Documents: Relating to use of Te Reo and Government's Maori Language Strategy**

Invitation from Te Puni Kokiri to Work and Income New Zealand to be part of a questionnaire on Maori language policies and copy of questionnaire - uncompleted (27/10/98); copy of the National Maori Language Survey (undated; 1997 or 1998) draft paper on 'Maori Language Policies, Plans and Practices: guidelines to assist Public Service Departments'.

The questionnaire asks for comments from departments on the Maori language policy guidelines as applied to each particular department e.g., their appropriateness or inappropriateness (with reasons); time frames for implementation of appropriate guidelines, and an estimate of the costs of going bi-lingual.

**Documents: Folder of Information on Te Whanau o Waipareira Trust**

1998 Annual Report and brochures on Waipareira services

The 1998 Annual Report outlines services that Te Whanau o Waipareira Trust delivers on contract for NZES including job preparation workshops and a Maori Youth Programme, and a partnership with NZES in an employment centre in Henderson (p11).

## APPENDIX 6: MATRIX OF COMPARATIVE ORGANISATIONS

Areas of commonality or comparison	Score	NZ Post	Contact Energy	Westpactrust	Wellington City Council	Courts	AMP	ACC
Organisation Type		Goods and services	Services	Services and advice	*Services and advice monopoly	*Services monopoly	Services and advice	*Services and advice
High face to face customer volume	2	✓✓		✓✓	✓	✓✓	✓	✓✓
Inherited expectations	1	✓	✓		✓	✓		✓
Local offices	1	✓	✓	✓		✓	✓	✓
Help people identify solutions	1	✓	✓	✓	✓	✓	✓	✓
Work to regulatory framework	1	✓		✓	✓	✓	✓	✓
Large numbers of unhappy customers	2				✓✓	✓✓		✓✓
Client base with -ve income issues	2				✓	✓		✓✓
Provides information in person	1	✓		✓	✓	✓		✓
Manages customer debt	2		✓✓	✓✓	✓✓	✓✓	✓	✓
Reports to gov/ constituency on outputs	1				✓	✓		✓
Large staff	1	✓	✓	✓	✓	✓	✓	✓
0800 phone service	1						✓	✓
Contracts out services	1		✓		✓	✓	✓	✓
Monopoly provider	2				✓✓	✓✓		
Processes high volume of applications	2	✓✓		✓✓	✓✓	✓✓	✓✓	✓✓
Processes high volume of payments	2			✓✓			✓✓	✓✓
* = Maori or special client group Score		10	7	13	17	19	12	20

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## APPENDIX 7

### Summary of comparative organisations

Organisation	ACC	AMP	WCC	HFA	Te Papa
<i>Access to front-line service delivery information</i>	Public Complaints Desk run by person respected for their knowledge. Person has capacity to analyse particular issues and feed policy implications to appropriate part of the organisation.	Tap-In Centre is a place for agents to call for detailed answers to issues for potential customers with the aim of meeting the customers need to secure a new customer for AMP.	No process for this as yet. May arise when projects being developed by the working party are rolled out.	Locality managers share information across the organisation. The Maori managers work internally and also directly with the Maori providers	
	GM have easy access to a number of levels of staff in the organisation to seek info from and/or test ideas with		Key Maori staff are identified as having a role sharing information about Maori needs across the Council.	Flat structure means it is easy to get information up and down in the HFA.	
<i>Access to Maori advice and intelligence on the needs of Maori clients</i>	Maori placed in units that have a key interface with Maori clients. The knowledge of those Maori is respected by the Policy Manager	Field officers are located in key areas across the organisation and are a conduit for information to keep AMP competitive	Founded on the partnerships agreements with iwi. These involve a retainer as recognition for iwi input into Council policy and protocol	Multi-sourced from Maori providers to Locality Managers in the six units and via the Maori unit	
	CE established MoU with various iwi that have been passed to managers for implementation. These have lead to contracts for services which contain operational detail		Working Party made up of Council and external reps developing projects which will be the Maori plan for Council (includes some internal focus as well as Council services).	Each unit as Services and Change management teams which also work together and share information. Called it matrix management.	
<i>Accountability for Maori outcomes</i>	Managers throughout the structure have defined accountabilities in their performance agreements for Maori responsiveness	All managers have performance targets in respect of the services and products offered by AMP.	Will be going into performance agreements (being rolled out now).	Maori Unit monitors other unit business plans and has the authority to reject those or alter them if they think they are inadequate in terms of the Maori Health Policy	
<i>Role of leadership</i>	CE 100% committed in word and deed. Drives second-tier to respond according to his	GM leadership is driven to get the best information to keep market share.	iwi are strong drivers rather than the Council leadership	CE drives each GM to delivery on the Maori Health Policy. CE is very supportive of the Health	

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	commitment not their own. This is in large part achieved			Policy and of other initiatives that might address the disparities.	
	One Maori manager has a direct report to the CE and also works across other units at GM level and with senior Maori staff			Maori GM, Maori unit with managers and Maori in management roles in other units of the HFA.	
<b>Success dependants</b>	Dependent on drive of CE and a number of personally motivated managers in the hierarchy.	Field Officers talking with each other.	Drivers are mainly external and mid-level not much at the top	Few weakness. Critical mass of Maori up and down the organisation all working to a plan.	

APPENDIX 8

ADVICE PROCESS IN WINZ AS DERIVED FROM THE ACCOUNTABILITY DOCUMENTS/INTERVIEWS

