

# Te Pai Tawhiti: Exploring the Horizons of Māori Economic Performance through Effective Collaboration



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## Prepared for

Ngā Pae o Te Māramatanga

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## Research Partners



**Te Arawa Tangata**  
Na te whanaungatanga ka puawai ko te tautoko

Ngāti Pikiao  
iwi and hapū

## Above Illustration

The above illustration is a view of Lake Rotoehu, looking at the Ngāti Pikiao maunga Matawhaura. Most Ngāti Pikiao people view Matawhaura from Lake Rotoiti. Viewing Matawhaura from a different perspective to what Ngāti Pikiao are used to offers a valuable analogy of viewing what Ngāti Pikiao have from a different perspective which aligns with the theses of this report.

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## HE MIHI

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Ko te wehi ki te Atua te tīmatanga o te whakaaro nui. Nō reira, he hōnore, he kororia kia a ia, he maungārongo ki runga ki te mata o te whenua, he whakaaro pai kia tātau katoa.

Ka rua, ka rere tonu ngā mihi ki te wāhi ngaro. Ka mihi ki ngā mate huhua o te wā, o tēnā o tēnā iwi o Te Arawa, tae noa ki te motu whānui. Ka tangi mōteatea tonu a Ngāti Pikiao ki te wehenga atu o Iharaira Hohepa rāua ko Te Toka Kīngi, rāua tahi ngā poupou o ngā paepae ki te Hikuwai, e ngā rangatira haere, haere, okioki atu. Otirā ka mihi ki a rātau katoa kua whetūrangitia, ka mahara tonu tātau ki a rātau, me te whakaaro kia kōkiri ngā ohaaki o rātau mā. Nō reira e te hunga wairua, haere, haere, moe mai rā i roto i ngā manaakitanga.

Ka toru, ka mihi atu ki ā tātau te hunga ora, Tihei Wā Mauriora!

Ka mihi ake ki a Ngāti Pikiao whānui, ngā karangatanga hapū o te whare tapu o Kawatapuārangi, tēnei ka mihi ake i runga i te kaupapa o ngā mahi nei. Ko Ngāti Pikiao te tauira o ngā mahi nei, ko tōnā take, kia whai hua hei akiaki i te tupu ōhanga o Ngāti Pikiao. Ko tōna tūmanako, ma ēnei mahi rangahau ka whai huarahi, ka whai mahere ā Ngāti Pikiao ki te whakakaha o rātau mahi ōhanga hei aha, kia tutuki ai ngā wawata whānui o te iwi. Nō reira Ngāti Pikiao whānui, kia kaha rā te pānui mai me te nohopuku mō ngā rangi kei mua i te aroaro.

Ka mihi hoki ki ngā iwi o te rohe o Toi Moana, otirā ki nga Māori huri noa i te motu. Ahakoa ko Ngāti Pikiao te tauira o ēnei mahi rangahau, he mahi tēnei hei tautoko ake i ngā mahi Ōhanga Māori huri noa te motu. Heoi anō, e te iwi whānui, pānui mai i ēnei rangahau hei whakaarotanga ake mō tōu iwi.

Hei whakakapi ngā mihi, ka mihi atu ki Ngā Pae o Te Māramatanga, nā rātau te pūtea tautoko mo ēnei mahi. E kī ana mā te huruhuru, te manu ka rere, heoi anō, nā Ngā Pae tēnei kaupapa i huruhurutia, ka mihi kau ake. Otirā ka mihi ki te hunga mahi, nā rātau i kōkiritia i ēnei mahi. Ko te Mata Hautū Taketake o te Whare Wānanga o Waikato, ko GHA, ko Pare Consulting, tēnā rā koutou katoa ngā ringa raupā i wānangahia, i rangahaua, i tuhia te rīpoata nei hei whakaarotanga mō te iwi. Ka mihi kau ake ki a koutou katoa.

Nō reira e te iwi, kia kaha rā te pānui mai i te rīpoata nei. Engari rā, kaua ka pānui noiho, ko tōnā tūmanako ka wānangahia tātau, kia pēhea ēnei māramatanga te kōkiri i ngā ohaaki a ōhanga mō te iwi Māori. Ko te kupu whakakapi, he koretake noa te mātauranga, inā e kore ai koe e whakamahia te mātauranga. Heoi anō e te iwi, hikitia te mānuka ki kōkiritia tōu iwi ki ngā pae tawhiti o te ao ōhanga. Tēnā koutou, tēnā koutou, tēnā rā tātau katoa.

# 1. EXECUTIVE SUMMARY

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Effective collaboration, good governance and active management provide a potential platform for enhanced economic performance for Ngāti Pikiao, in line with its self-determination aspirations to work better as a collective of entities on behalf of iwi members.

Literature and case study data analyses show a pathway forward for Ngāti Pikiao in the form of 9 key principles for working towards a foundation for effective collaborative action that enhances economic performance:

1. He take whakarerekē - Collaboration is assisted by a catalyst for change usually in the form of a crisis or an opportunity;
2. Pātata - Geographic and ideological proximity provide a foundation for building relationships and trust for collaboration;
3. He rautaki whakawhiti kōrero - Strategic communication is important to manage collaboration expectations and to emphasise long term views, intergenerational vision and balanced development;
4. Te mana whakahaere tōtika me te pakari o te arataki - Good governance and robust leadership are critical to develop and sustain collaborative action;
5. Ngā tūranga mahi e mārāma ana ngā kawenga - Clear roles and responsibilities are essential to monitor collaborative action performance;
6. Te whakahaere mahi me te whakarahi ake i te tokomaha e uru ana ki ngā mahi - Active management and increased participation in the value chain are critical for effective collaborative action;
7. Te whakapakari pūkenga - Increased capacity building - professional, sector specific, cultural and adaptable - are significant for effective Ngāti Pikiao collaborative action;
8. He ratonga ture - A fit for purpose legal form (or forms) is important to perform the intended functions of the collaboration; and
9. Ngā tikanga whakatau raruraru - Appropriate dispute resolution processes are essential to mitigate relationship tensions and to maintain trust in the collaboration investment.

In addition, a few further considerations are important for Ngāti Pikiao to collaborate successfully such as:

- i) Data to understand the collective picture;
- ii) Shared strategy and buy-in for working together as a collective of Ngāti Pikiao entities; and
- iii) Providing for intergenerational leadership as part of collaborative governance.



Data is important to understanding the current state of the tribe and potential opportunities. Ngāti Pikiao is fortunate in that there is sufficient census data for baseline demographics. This research project has also been able to source annual reporting information from major Māori land trusts within the Ngāti Pikiao collective, and was able to access Māori Land Online data. These pockets of data provide some information for at least facilitating the conversation about collaboration and for considering potential for good governance and more active management with some Ngāti Pikiao entities.

While there appears to be a general willingness to collaborate among those who have participated in the research project, participants are also cautious that they have discussed collaboration before with little action taking place. Consequently, there has been some buy-in but little development of a cohesive collaboration strategy. However, the principles suggested above enable Ngāti Pikiao to consider how to build and utilise good governance and strong leadership, forthcoming opportunities and adaptive management processes to build a virtuous cycle of success to build a platform that Ngāti Pikiao entities can progressively buy into, rather than creating a lofty expectation of a collaborative entity that should be delivering extensive benefits to the people from day one.

## **2. INTRODUCTION**

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### **2.1 Purpose**

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This report presents the findings of *Te Pae Tawhiti: Exploring the Horizons of Māori Economic Performance through Effective Collaboration* (Te Pae Tawhiti), which in this instance, focuses on the extent to which effective collaboration, good governance and the active management of collective assets within Māori enterprises improves economic performance.

### **2.2 Project Formation**

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In 2014, Te Pūmāutanga o Te Arawa Charitable Trust (Te Arawa Tangata) and Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre (MIGC) at the University of Waikato - initiated a research project that was initially titled Te Tētere Kōkiri o te Ata. Subsequently, Te Arawa Tangata withdrew from the project and was replaced by Glenn Hawkins Accountants (GHA) and Pare Consultants in Rotorua. The idea behind the project was to explore how collaboration between Māori organisations, good governance and more active management of Māori interests or functions could improve economic performance. The Bay of Connections supported the idea through ‘He Mauri Ohohoho, the Bay of Connections’ Māori economic development strategy.’ Ngā Pae o Te Māramatanga funded the research as part of its economic development research stream.

### **2.3 Research Partners**

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1. Ngā Pae o Te Māramatanga, New Zealand’s Māori Centre of Research Excellence hosted by the University of Auckland;
2. Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre (MIGC), University of Waikato, Hamilton;
3. Ngāti Pīkiao Iwi and Hapū;
4. Glenn Hawkins Accountants (GHA), Rotorua;
5. Te Pūmāutanga o Te Arawa, Rotorua, and
6. Pare Consultants, Rotorua.

## 2.4 Project Management

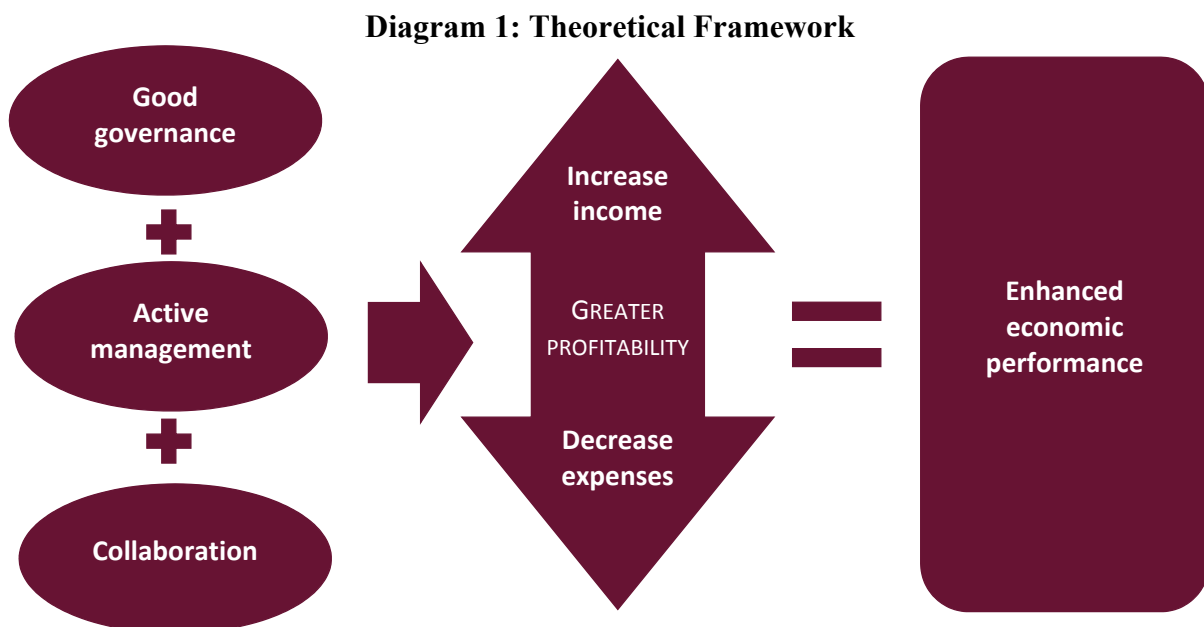
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The Te Pae Tawhiti project was a collaborative enterprise from the outset with collaborative co-management (and co-production) shared between Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre (MIGC) at the University of Waikato with Dr Robert Joseph and Ms Mylene Rakena, and initially, Te Pūmautanga o Te Arawa but subsequently with GHA under the competent leadership of Arapeta Tahana, Dr Jason Mika and Te Puritanga Jeffries; and Jonathan Kilgour from Pare Consultants in Rotorua. Given that Arapeta Tahana is a trustee of a number of Ngāti Pikiao trusts as well as holding other governance and management positions within the region, the kaupapa and spirit of the project was also manifested in the co-production and co-management of the project along with the combined efforts of all of our colleagues.

## 2.5 Thesis

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The thesis of the Te Pae Tawhiti project is that effective collaboration, good governance and active management lead to greater profitability and enhanced economic performance of Māori enterprises. This thesis is expressed in the conceptual model in Diagram 1.



## **2.6 Collaboration**

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Collaboration has been defined as working with others towards a shared goal or ways of managing differences (Gray, 1989; Kania & Kramer, 2011). Collaboration is typically seen as a way to do something that would not otherwise be possible on one's own (Wood & Gray, 1991).

Collaboration is an important element in Māori development because it is set against a background of self-determination and contemporary self-governance, and more practically, set within a complex mosaic of multiple entities that represent a variety of different interests (refer to section 5 on Ngāti Pikiao). The implication is that to effect good governance across multiple entities, complex methods of governance and management should be considered to more significantly benefit the Māori communities that these organisations represent. Therefore, the research project explored the key question - can collaboration lead to enhanced economic performance across Māori communities and their associated entities rather than as benefits delivered from individual organisations that may operate largely independently. This broader aspect however, is beyond the scope of the current project but it is a key area to further research. The focus of this report is on how effective collaboration, good governance and active management can enhance economic performance of Māori entities generally and specifically, for Ngāti Pikiao entities.

## **2.7 Good Governance**

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While this project is specifically focused on effective collaboration and active management, good governance provides another important foundation for the research. Every form of social organisation may be said to exhibit attributes of governance from whānau and iwi communities to national and even global groupings. The central component of governance has to do with making decisions about direction and the art of steering societies and organisations (Plumtre & Graham, 1999). Governance occurs through interactions between structures, processes and traditions, which in turn determine how power is exercised, how decisions are taken, and how citizens and other stakeholders have their say (ATSIC, 2002). Governance is about power, relationships and accountability – who has influence, who decides, and how decision-makers are held accountable. Governance includes formal institutions and regimes empowered to enforce compliance, as well as informal arrangements that people and institutions either have agreed to, or perceive to be in their interest such as the inclusion of kaumātua committees to advise Māori organisations (Joseph, 2010).

The principle of good governance is that Māori governance entities must adhere to certain core governance obligations and management standards (Law Commission, 2006). Good governance is necessary to maintain the mandate entrusted to the entity by the affected Māori community and to ensure the credibility of the entity in political and commercial communities. It is also necessary for successful operations in both commercial and social enterprises. Good governance could be described as a model of governance that leads to the social, political, cultural and economic outcomes sought by Māori citizens and it involves four main attributes: legitimacy, power, resources and accountability. Good governance must also include transparency, appropriate board size, board accountability, neutral and dispersed ownership, independent audits and oversight, at least 25% independent directors, accountability and shareholder equality (Newell & Wilson, 2002). Dr Dalee Dorrough referred to specific universal good governance principles that apply to Indigenous organisations (refer to Appendix 2) that include, inter alia, transparency, responsiveness, consensus, equity and inclusiveness, effectiveness and efficiency, accountability, participation, consultation and consent, human rights and the rule of law (Dorough, 2014).

The international literature on universal good governance best practice also asserts that outcomes are best achieved, inter alia, when governance and management are separate. In the context of small and medium sized Māori land trusts, limited resources and capacity often provide the rationale for establishing executive director positions where governance and management roles are conflated. In the context of this research, how can Māori land trusts improve economic performance when limited capacity suggests conflating the two? If this is the current state of small and medium land trusts, what pathways can Māori land trusts tease out to activate good governance as well as move towards the active management of their assets that enhance economic performance?

In the broader context of this research, people need to co-operate with each other in order to optimise output production, and good governance (along with active management) is the process for giving effect to that co-operative effort (Ricketts, 1999).

## **2.8 Active Management**

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We define active management as the exercise of managerial control by owners. In other words, Māori are owner-operators of their collectively held assets. The focus in this project is on improving managerial capacity for active management of Māori assets. While there is uncertainty about whether or not active management improves profitability and wealth, evidence from large-well established post-Treaty of Waitangi settlement iwi like Ngāi Tahu and Waikato-Tainui and economically

successful Te Ture Whenua land trusts and incorporations such as the Tuaropaki Trust and Wairarapa Moana Incorporation suggest that when professional managers and management systems are installed, improved economic performance ensues.

What we find however, is that many iwi and Māori enterprises have limited governance and management capacity, which raises questions about outsourcing functions by Māori enterprises, which may be corporate (e.g. financial management) or operations in nature (e.g. farming contracts). As part of this project, we are interested in the interplay between collaborative approaches and changes in governance and management capacity through strategic outsourcing (or in sourcing) and their effect on economic performance of Māori enterprises.

### **3. METHODOLOGY**

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#### **3.1 Research Purpose**

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The aims of the Te Pae Tawhiti research were to identify sustainable models of effective collaboration, good governance and active management that could enhance the economic performance of Māori organisations. Given the analysis above (and below), some Ngāti Pikiao organisations are already contributing much to the local economy and they have further resources and opportunities to significantly contribute. For these and other cultural and pragmatic reasons noted below, the research project specifically focused on Ngāti Pikiao and the willingness of Ngāti Pikiao entities to collaborate for increased capacity and enhanced economic performance.

#### **3.2 Research Philosophy and Methodology**

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The research utilised a kaupapa Māori, or more specifically, a kaupapa iwi design. Kaupapa Māori asserts subjectivity of methodology and theory, and how Māori contexts and realities are important to interpreting theory (Smith, 1999). Therefore, the theory of development, collaboration, good governance and active management should be considered from a Māori and in the context of our main case study, a Ngāti Pikiao perspective (Smith, 1999; Moreton-Robinson, 2000).

To this end, our research approach was in partnership with the entities involved – Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre at Waikato University, GHA, Pare Consultants and Ngāti Pikiao people and entities - and we are committed to transformative Ngāti Pikiao development and wellbeing. This partnering up framework for research is known internationally as the “co-production of knowledge” which is designed to improve greater participation in and integration of knowledge, for accelerating the pace for take-up of results, and for leading to synergies that transform policies, practices and the flow of benefits (Jasanoff, 2004, Ostrom, 1996).

From a kaupapa Māori or kaupapa iwi view then, research is participatory and participants are not subjects but partners in research (Nepe, 1991; Smith, 1999; Dunbar & Scrimgeour, 2006). Ngāti Pikiao were partners in the research and participants in the project, with Arapeta Tahana of GHA managing the relationship between the research team and Ngāti Pikiao entities. It was important to us

that Ngāti Pikiao had a significant role in the research as this empowers Ngāti Pikiao to determine its own development needs (see Irwin, 1992), which aligns with a human development approach (Sen, 1999) and the co-production of knowledge.

The research is moreover, part of an enduring process of Ngāti Pikiao considering collaboration, good governance and active management in their development strategies. The research therefore, plays a facilitative role in that process. As this research concludes, we expect that Ngāti Pikiao will draw on the findings to inform an ongoing conversation about collaboration, good governance and active management within the iwi.

The research was also participatory, formative and exploratory. The research was conducted with Ngāti Pikiao as research participants cognisant of their development aspirations and priorities. The research was formative in that it contributes to Ngāti Pikiao entities' collaborative efforts, which are ongoing. The research was exploratory in that it co-produced and gathered data on the journey that Ngāti Pikiao is undertaking to explore collaborative solutions for their development and for improved outcomes.

### **3.3 Research Need**

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The research project responds to broader calls to realise the potential of the Māori economy and its challenges, specifically addressing the utilisation of Māori land, building Māori governance and management capability and Māori labour force skill gaps (*He Kai Kei Aku Ringa*<sup>i</sup> and *He Mauri Ohooho Reports*<sup>ii</sup>). Evidence suggests the Māori economy has the capacity to contribute more to regional and national economies through Māori land productivity gains, and sector and industry collaboration.

An evaluation of projects funded by the Te Puni Kokiri Growing Māori Assets fund highlighted that good governance and active management of assets achieved multiple outcomes including an increase in economic performance and a mechanism for inter-generational support of Māori as a potential labour force. Other research projects concluded that approximately 40% of Māori land entities are currently developed for productive use but are under-performing which covers approximately 600,000 hectares.<sup>iii</sup> Of the 8,269 Te Ture Whenua Māori land trusts in existence in 2013; 2,158 (or approximately 22%) are located within the Waiāriki region with 5,200 titles covering 313,964



hectares in 5,074 Māori land blocks which places Ngāti Pikiao in a broader context. This research project moreover, aligns with the recommendations of the 2011 Māori Agribusiness Report<sup>iv</sup>, the 2012 *He Kai Kei Aku Ringa* Reports<sup>v</sup>, the 2013-2014 MIGC Trusts Survey and the 2014 MIGC Literature Review on good Māori governance.<sup>vi</sup>

### **3.4 Research Design**

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The research methods consisted of three concurrent stages:

- i) A literature review (refer to section 4);
- ii) Case studies of successful Māori entity collaborations based on interviews and the collation of secondary data (refer to section 7); and
- iii) Hui with Ngāti Pikiao entities (refer to section 6).

The literature review identified relevant theory in terms of Māori economic development, collaboration, good governance and active management. Nine examples of successful collaboration models (including 2 non-Māori entities) that had been in operation for at least five years were identified for informing the research. The research team completed the nine case studies, which are discussed in section 7 of this report.

Hui with Ngāti Pikiao were used to co-produce the research, gather data and discuss research findings in a manner that was participatory, formative and exploratory which involved four workshops with representatives of Ngāti Pikiao entities:

**Table 1: Project Hui Schedule**

<b>Date</b>	<b>Kaupapa</b>	<b>Iwi attendees</b>
11 April 2015	Opportunities, challenges, success factors	20
19 November 2015	Project update and collective opportunities for Ngāti Pikiao	5
17 December 2015	Follow up meeting with project team members to discuss outcomes and agree future priorities and actions	6
21 April 2016	Final workshop to discuss key research project outcomes and to negotiate future priorities and actions	20

The first workshop gathered participants’ views on the opportunities, challenges and key success factors for collaboration, good governance and active management within Ngāti Pikiao. The second hui reported findings from the first hui, identified further research on Ngāti Pikiao assets and resources, and identified potential opportunities for collaboration. The third hui presented a summary of the findings of the research to Ngāti Pikiao entities. A fourth hui in April 2016 focused on the key research findings and future collaboration models for Ngāti Pikiao.

Data on Ngāti Pikiao from the hui was supplemented by other sources including official statistics and Māori land records. This data provided participants with a statistical profile of Ngāti Pikiao, notwithstanding data limitations which were acknowledged throughout the project.

### **3.5 Research Ethics**

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The Te Pae Tawhiti project interview forms, processes and collation of information were approved by the Te Piringa-Faculty of Law Human Ethics Research Committee at the University of Waikato which is a robust academic process (Refer to Appendix 3 for Ethics Review and broader interview information). The project required some qualitative interviews from key informants working for Māori organisations that have collaborated successfully with other organisations, and have also adopted good governance and active management practices, principles and processes that have directly contributed to enhanced economic performance.

## 4. LITERATURE REVIEW

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### 4.1 Approach to the Review of Literature

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This report draws only on core elements of the literature in conjunction with other material that relates to the research thesis in this project. This section will briefly review the literature on a number of key areas critical to the research project:

- i) Development;
- ii) Collaboration;
- iii) Good governance; and
- iv) Active management.

### 4.2 Development

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Development is a disputed concept (Klein, 2015) but may commonly be defined as “the act or process of developing, growth and progress.”<sup>vii</sup> The United Nations is concerned with development as *human development* and the ability to realise wellbeing (quality of life) through capabilities (providing opportunities or freedoms) rather than through functionings (a state or action of value).

<b>Element</b>	<b>Meaning</b>	<b>Examples</b>
Capability	Opportunity or freedom	Affordable food, equal job opportunities
Functioning	A state or action of value	Being well nourished, having employment

Theory acknowledges the role of behaviour in people, individually and collectively, in choosing the types of lives that they want to live and to live the way that they aspire to live, and the freedoms that enable (or barriers that prohibit) people to achieve their aspirations (Sen, 1984, 1999; Alkire, 2005). For instance, when faced with a choice, people may not necessarily choose something that betters their wellbeing (Sen, 1985; and Banerjee et al, 2011). The human development approach advocates that people, individually or collectively, determine what their aspirations are, and that development should not be dictated by experts or leaders. In this sense, development is considered a freedom (Sen, 1999; Deneulin & Shahani, 2009).

### ***Key notes on Māori development***

Māori development:

- should be from a Māori, iwi or hapū-centred perspective
- fits within efforts for self-determination and self-governance
- is multidimensional and should promote improvement in economic *and* overall wellbeing
- should not focus solely on economic return, but on facilitation of achieving greater wellbeing for iwi and the people
- Key success factors of Māori economic include capability, capacity, relationships, collaboration and leadership

From a Māori perspective, development is self-determined (Durie, 1998; Loomis, 2000). Development occurs within a nation-building narrative, which is the building of Māori capabilities to govern themselves. This approach is about building sustainable economic prosperity. In nation-building terms, self-governance requires five key elements (Cornell & Kalt, 2003):

- i) Stable institutions and policies;
- ii) Fair and effective dispute resolution;
- iii) Separation of politics from business management;
- iv) A competent bureaucracy; and
- v) Alignment with cultural values ('cultural match').

Having sustainable infrastructure is important to sustainable governance and performance (Cornell & Kalt, 1998). Sustainable practice creates a virtuous cycle that builds trust within communities and with third parties that seek to invest in those communities. Alternatively, unsustainable and disruptive practice creates a vicious cycle that leads to distrust and lack of interest from investors into communities (Hunt, 2005; Lopes & Theisohn, 2003).

The human development approach considers wellbeing as multidimensional (Spence, 2009). Similarly, Māori development is seen as multidimensional and an integrative process, rather than sectoral and separated (Smith et al, 2015; Durie, 2006; Harmsworth et al, 2002). For Māori, overall wellbeing is seen as important, but there are concerns that current Māori economic growth is not matched by improvements in Māori wellbeing (Smith et al, 2015). International literature agrees that economic growth is important, but that it is a ‘means to an end,’ and should not be an end in itself (e.g. Spence, 2009; Smith et al, 2015).

Literature also cautions the use of Western and modernising approaches to economic development wherein economic growth is typically underpinned by individualism, the rise of an entrepreneurial class (Clark, 2006), exploitation and capitalist development (Escobar, 2007). The neoclassical approach to economic growth is criticised because of the focus on productivity (Stiglitz et al., 2009, 2010), which is considered a poor measure of wellbeing because it masks inequity in income distribution and material consumption (Spence, 2009), manifesting in outcomes such as income inequality (Bernstein & Raman, 2015).

Smith et al. (2015: 126) highlight the importance of economic development as the engine for growing the capacity of iwi to manage their own development and business interests. Their research identifies six key success factors for Māori economic development:

- i) Capability and capacity building;
- ii) Relationships and collaboration;
- iii) Decision-making and knowledge systems;
- iv) Business and asset development;
- v) Employment; and
- vi) Wealth creation.

### ***Key notes on economic development***

Māori contribution is important for national and regional economic development.

Education and increasing utilisation of Māori land & resources are key to economic development.

PWC (2013) estimates that increased land utilisation could contribute an additional \$8 Billion to the national economy.

Opportunities may exist in education and skill; geothermal; water; agriculture; aquaculture; horticulture; forestry; and the visitor economy.

At a national level, *He Kai Kei Aku Ringa*, the Crown-Māori statement on Māori economic growth sets the tone for Māori economic development policy and practice (MEDP, 2012, Nana, 2013). At a regional level, strategies like *He Mauri Ohooho* and the *Bay of Plenty Regional Growth Study* give impetus to local Māori economic development. Utilisation of Māori land and education opportunities are key themes in all three policy documents. Price Waterhouse Coopers (PwC) estimated that lifting the productivity of Māori land could result in an additional \$8 billion in gross output nationwide (PwC, 2013).

In the Bay of Plenty, the Māori contribution to GDP has been estimated at 11 % (Bay of Connections, 2013). Māori economic development is considered integral to economic development in the Bay of Plenty (Ministry of Primary Industries, 2015). The Regional Growth Study identifies growth opportunities which draw on Māori and iwi assets and capabilities, particularly in terms of education and skill development, geothermal energy, water, agriculture, aquaculture, horticulture, forestry, and the visitor economy. Being a regional document, the report does not identify specific opportunities for Ngāti Pikiao but there may be opportunities for Ngāti Pikiao in most if not all of these areas with good governance, active management and effective collaboration.

### **4.3 Collaboration**

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There is no single definition of what collaboration is (Morris & Miller-Stevens, 2015; Wood & Gray, 1991), but may generally be defined as working with others toward a shared goal or managing differences (Gray, 1989; Kania & Kramer, 2011). Collaboration is often seen as a way to do something that would not otherwise be possible on one's own (Wood & Gray, 1991). Collaboration and relationships are identified as a key element of success in Māori economic development (see for example, Smith et al., 2015). While Smith et al. (2015) do not explore collaboration in-depth, they do note that collaboration is project and time bound and that relationships are guided by tikanga Māori or Māori values. In particular, it stated how collaborations were project-specific, compared to relationships that were more enduring. Smith et al advocated that relationships were more paramount, and that collaboration should not be considered if a relationship was placed under strain. While theory suggests that relationships in collaboration should be emergent (referred to below), this contrast between what collaboration and relationships mean in the context of Māori economic development is useful because it indicates a deeper sense of tikanga that underpins inter-hapū and inter-iwi relationships.

Collaboration is highly flexible, adaptable and fluid, depending on the nature of interaction between parties. Therefore not all collaborations are the same. Some theorists have attempted to create an ordinal scale of collaboration e.g. cooperation, coordination and collaboration (see McNamara, 2012, Alberts & Hays, 2007); or typologies, e.g. competitive or symbiotic (see McNamara, 2012, Astley & Fombrun, 1983). However, collaboration appears to be more dynamic than one-dimensional; and it tends to be more adaptive than static (Morris & Miller-Stevens, 2015).

Collaboration however, is highly dependent on effective relationships. Organisations that work together must (re)negotiate how they work together to deliver a collective outcome, which might include reorganisation of the environment that they operate in as well as the structure of the collaboration (Astley & Fombrun, 1983; Cyert & March, 1963). Collaboration is underpinned by power-sharing (Morris & Miller-Stevens, 2015; Ansel & Gash, 2007), trust (Martinez-Moyano, 2006) and communication (Kania & Kramer, 2011).

Collaboration involves managing power asymmetries in ways that share power between organisations (Wollenberg et al, 2007; Bene & Neiland, 2004). For instance, collaboration should not dilute the objectives that each organisation seeks (Dolask & Prakash, 2015; Cornell & Kalt, 1998). Instead, collaboration should empower groups (Berkes, 2015), and should involve sharing power at the start of the process rather than the end (Carlsson & Berkes, 2005). Furthermore, relationships should be paramount to collaboration. If collaboration strains a relationship, then the collaboration as a project should be reconsidered (Smith et al., 2015).

How the collaboration is structured and the form it takes though can depend on the reason for collaborating and the nature of the collaboration. According to Wood & Gray (1991), there are six broad reasons for collaboration:

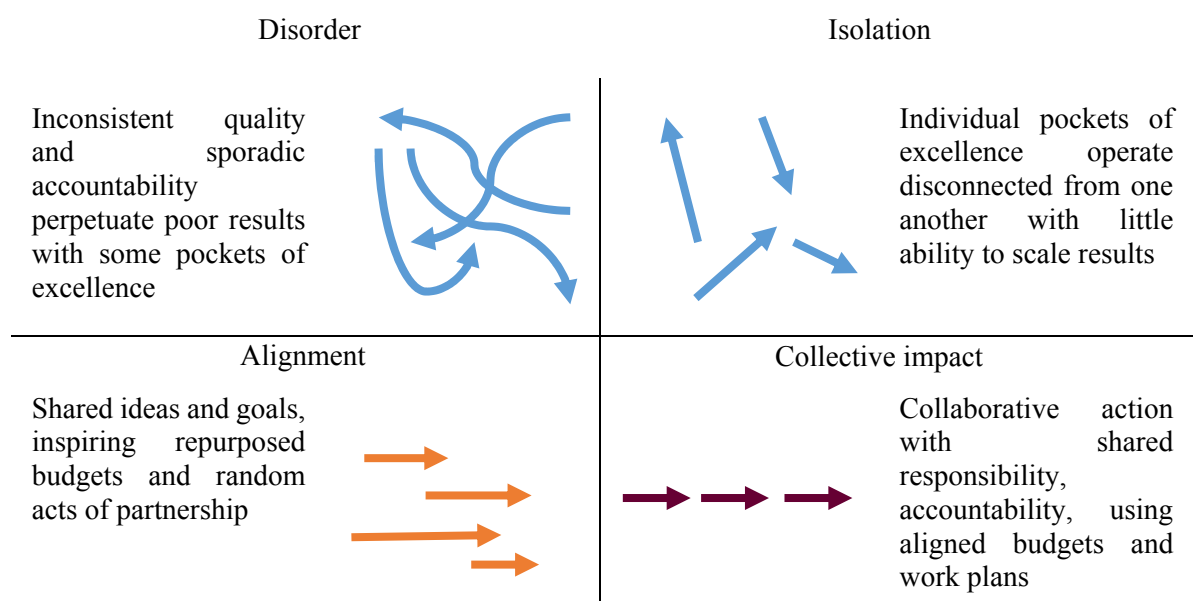
- i) sharing resources or intelligence;
- ii) improving performance;
- iii) reducing strategic threats;
- iv) improving efficiency;
- v) creating structures or institutions; or
- vi) increasing access to power and resources.



The nature of the collaboration can be determined by how the collaborating organisations interact with one another (Astley & Fombrun, 1983; Wood & Gray, 1991). For example, where organisations perform the same activity, then the relationship may be commensal (where one party benefits from a relationship without harming the other). Alternatively, where organisations perform different activities, but derive mutual benefit from working together, they may be regarded as symbiotic in their relations (Hawley, 1950; Astley & Fombrun, 1983).

Whether collaborating parties have a direct or indirect relationship can also determine whether they are confederate or agglomerate (commensal relationships); or conjugate or organic (symbiotic relationships). More direct and transactional arrangements tend to be conjugate in nature (e.g., contracts, shared services and joint ventures). More direct and commensal relationships tend to be confederate in nature (e.g., collusory). Understanding both the purpose of collaboration (e.g., efficiency) and the nature of collaboration (e.g., conjugate) can determine the structure and form of the collaboration (e.g., shared services to improve efficiency).

**Diagram 2: Common Agenda**



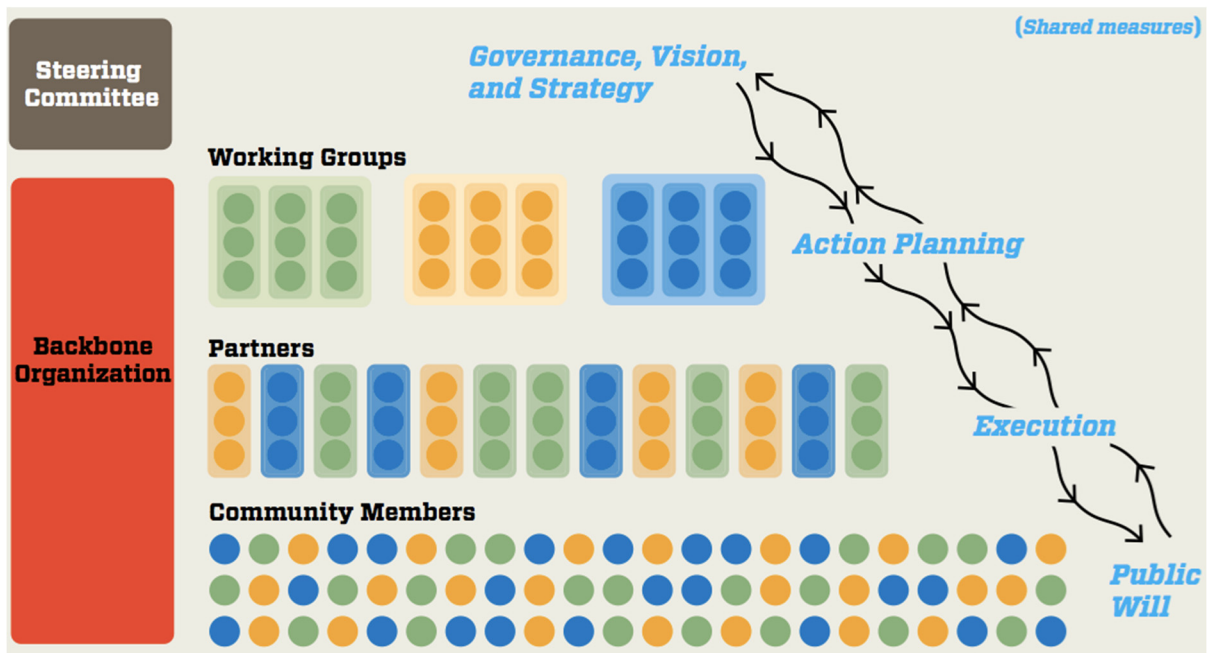
(Source: adapted from <http://www.collaborationforimpact.com/the-how-to-guide/>)

According to Collective Impact theory, collaboration comprises five key elements:

- i) a common agenda or purpose;
- ii) a series of mutually reinforcing activities;
- iii) continuous and open communication;
- iv) backbone infrastructure; and
- v) a shared framework for measuring results (Kania & Kramer, 2011; Wood & Gray, 1991).

The five elements provide a process model for collaboration with others with examples provided below (Collective Impact approach):

**Diagram 3: Collective Impact Approach to Collaboration**



(Source: Kania and Kramer, 2013: 5)

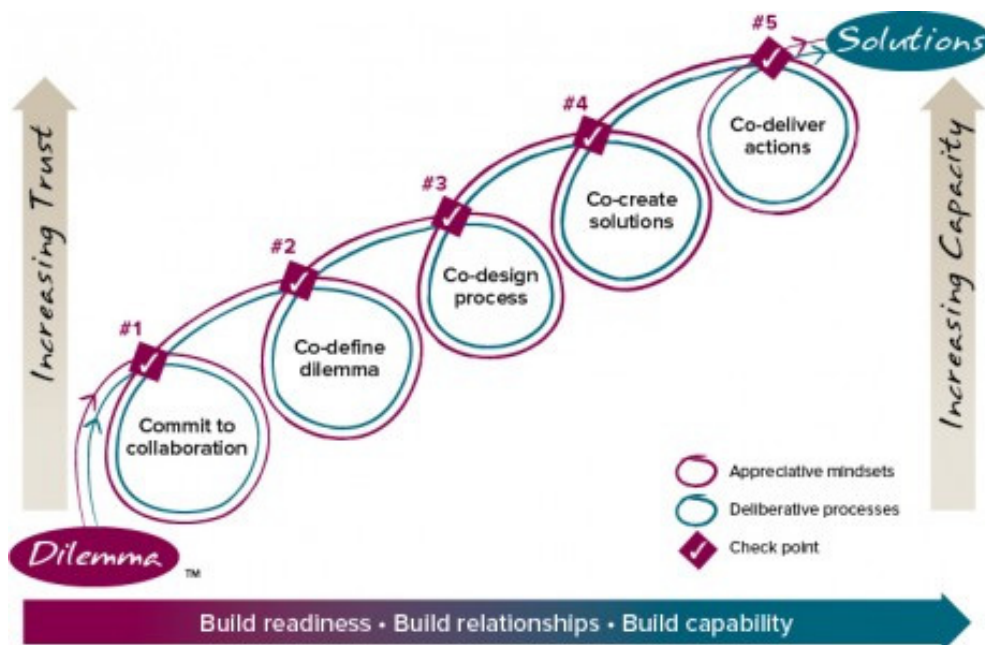
In essence, the two most important elements of collaboration are:

- (i) clarifying a common agenda, strategy setting and success measures; and
- (ii) structuring delivery through a backbone organisation and mutually reinforcing activity to achieve the measures of success (see Diagram 4).

These mirror the simple organisation theory of strategy and structure (form follows function) in a single organisation vis-à-vis the complex organisation with collaboration across multiple organisations (Mintzberg, 1990; Amburgey & Dacin, 1994). As a complex organisation, both examples draw on emergence and adaptive management practice, or creating a cycle of iterative opportunities for organisational learning over time (Argyris & Shon, 1978). In practice, this can initially mean frequent meetings so that all collaborating parties reach a common understanding of what the issue or purpose is based on available evidence; what the group collectively aspires to achieve based on the aggregate and common purposes of those involved (i.e., the common agenda); and design of activity and organisation (the action plan and the backbone infrastructure). The iterative complex organisation as an ‘experimental’ process requires frequent communication and frequent reflection on opportunities and adaptability, while also building trust and engaging public will (Kania & Kramer, 2011; Turner, 2012).

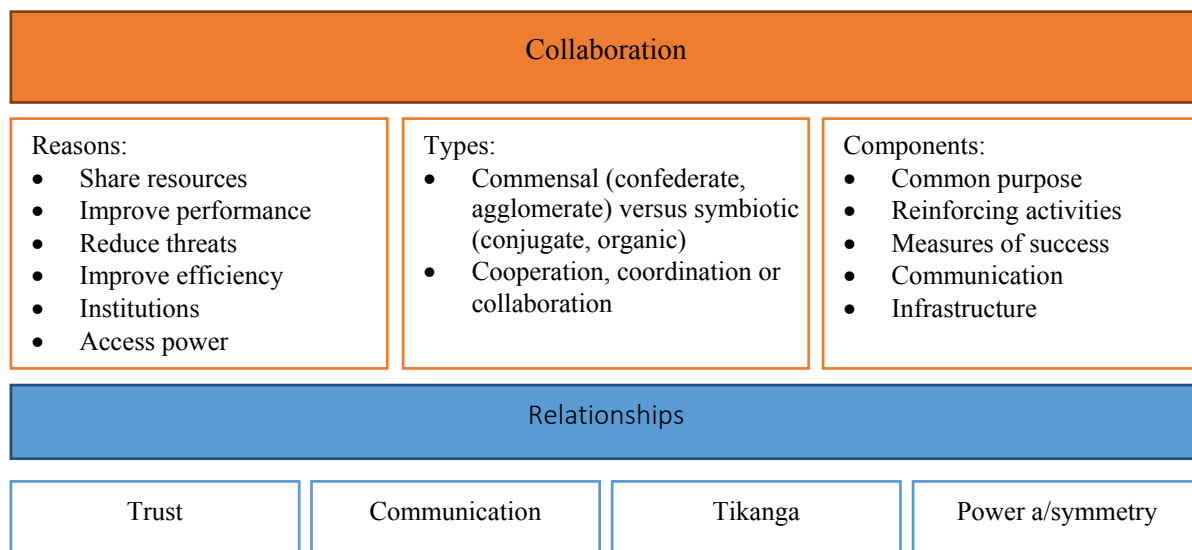
Diagram 4 shows an example of a collaborative approach using the ideas of emergence and adaptability in a complex environment. Along the bottom, the figure demonstrates that partners need to build readiness, its relationships and capability as the collaboration grows. On the left, it draws elements of collaboration theory regarding building trust between the partners. Starting at the bottom left is the “dilemma” or the reasons for which partners come together to collaborate. The steps are then formed in loops (or learning loops) that create an iterative cycle that builds commitment, an agreed commitment to move forward, an agreed design, agreed solutions, and agreed plan of action. As these cycles progress, the learning loops create opportunities for revisiting and recommitting to the purpose for which the collaboration came together. Furthermore, as the iterative cycle builds, so too does the capacity of the collaboration to undertake the solution.

**Diagram 4: Building Trust and Capacity through Collaborative Relationships**



(Source: Twyfords, 2015)

**Table 2: Summary Framework of Collaboration and Relationships**



(Source: Pare Consulting, 2016)

Table 2 synthesises some of the key aspects highlighted in the literature on collaboration theory noting that collaboration theory has not agreed on a single definition. However, it provides a starting point for a conversation about elements of the theory, particularly as they relate to the findings in *He Mangopare Amohia* (2015)<sup>1</sup> regarding relationships and collaboration in the context of Māori economic development.

#### 4.4 Good Governance

The effective exercise of governance impacts at all levels of society and plays an essential part in peoples' lives and communities. Indeed, governance structures and processes:

- i) Represent constituent's welfare and basic human rights;
- ii) Create and enforce policies and laws;
- iii) Administer essential programmes and deliver services;
- iv) Manage human, land and cultural resources; and
- v) Negotiate with governments and organisations (Dean, 2002).

<sup>1</sup> Smith, G, Tinirau, R, Gillies, A & Warriner, V, *He Mangopare Amohia: Strategies for Maori economic Development* (Te Whare Wānanga o Awanuiārangi, Whakatāne, 2015).

How well such general structures and processes perform these functions has a direct impact on the strength and wellbeing of the community. In a similar manner, effective and stable Māori governance organisations reflective of, and accountable to their community's needs and values, form the foundations for regional and Māori community socio-economic development.

The complexity of governance however, is difficult to capture in a simple definition. The literature suggests that the central component of governance has to do with making decisions about direction and the art of steering societies and organisations (Plumtre and Graham, 1999). Governance occurs through interactions between structures, processes and traditions, which in turn determine how power is exercised, how decisions are taken, and how citizens and other stakeholders have their say (ATSIC, 2002). Fundamentally, governance is about power, relationships and accountability – who has influence, who decides, and how decision-makers are held accountable. The literature adds that governance includes the many channels through which 'commands' flow in the form of goals framed, directives are issued, and policies are pursued (Rosenau & Czempich, 1995).

Governance methods include structures, processes, norms, traditions and institutions and their application by group members and other interested parties (World Bank, 1992). Governance has also been defined as the process through which institutions, businesses and citizens articulate their interests, exercise their rights and obligations, and mediate their differences (La Frechette, 1999).

A literature has developed over the past 2 decades around the concept of 'good governance' (Minogue, 1999, World Bank, 1990) that could be described as a model of governance that leads to the social, political, cultural and economic development sought by citizens and it involves four main attributes:

- i) legitimacy,
- ii) power,
- iii) resources and
- iv) accountability (Dean, 2002).

Others opine that good governance must also include:

- i) transparency,
- ii) appropriate board size,
- iii) board accountability,
- iv) neutral and dispersed ownership,

- v) independent audits and oversight,
- vi) at least 25% independent directors,
- vii) accountability, and
- viii) shareholder equality (Newell & Wilson, 2002).

Specific universal good governance principles that apply to Indigenous organisations were espoused by Dr Dalee Dorrough and include, inter alia:

- i) transparency;
- ii) responsiveness;
- iii) consensus;
- iv) equity and inclusiveness;
- v) effectiveness and efficiency;
- vi) accountability;
- vii) participation;
- viii) consultation and consent;
- ix) human rights; and
- x) the rule of law (Dorrough, 2014).

The international literature on universal good governance best practice also asserts that outcomes are best achieved, inter alia, when governance and management are separate. In the context of small and medium sized Māori land trusts, limited resources and capacity often provide the rationale for establishing executive director positions where governance and management roles are conflated. In the context of this research, how can Māori land trusts improve economic performance when limited capacity suggests conflating the two? If this is the current state of small and medium land trusts, what pathways can Māori land trusts tease out to activate good governance as well as move towards the active management and collaboration of their assets to enhance economic performance?

In the broader context of this research, people need to co-operate with each other in order to optimise output production, and good governance is the process for giving effect to that co-operative effort (Ricketts, 1999) hence natural alignments could and should emerge among Māori and Ngāti Pīkiao organisations with whakapapa, tikanga and whenua connections as well as the obvious corporate and social enterprise opportunities.

## 4.5 Active Management

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Active management in this project relates to the direct (active) or indirect (outsourced) management of functions. These can be corporate (e.g. finance or human resources) or business functions (e.g. revenue generation). In this respect, active management raises the question whether or not an organisation or collaboration should outsource or actively manage functions itself.

When faced with achieving their core purpose, organisations are faced with strategic decisions to best deliver advantage for shareholders or beneficiaries in the case of some Māori entities (Goold et al, 1994). Outsourcing (and even collaboration) is a mode in which organisations extend their organisational boundaries to achieve value for owners (Quelin & Duhamel, 2003).

Outsourcing is a strategic tool to improve value (Rappaport, 1986), which may be measured in political or monetary terms (Quinn, 1999). The main motives for outsourcing include:

- i) reducing operational costs (McFarlan & Nolan, 1995);
- ii) focusing on core competencies (Quinn & Hilmer, 1994; Alexander & Young, 1996);
- iii) increasing flexibility (Quinn, 1999);
- iv) reducing capital invested (McFarlan & Nolan, 1995);
- v) improving the measureability of costs (Barthelemy & Geyer, 2000);
- vi) accessing external competencies to improve quality (Quinn & Hilmer, 1994; McFarlan & Nolan, 1994; Barthelemy, 2003);
- vii) transforming fixed costs into variable costs (Alexander & Young, 1996); and
- viii) regaining control over internal departments (Lacity & Hirshheim, 1993).

The most common of these are cost reduction, focusing on core competences and increasing flexibility (Quelin & Duhamel, 2003).

While strategically outsourcing is about improving value, the literature also cautions that it can expose organisations to vendor opportunism or can limit an organisation's capability growth (Barthelemy, 2003). Organisations must weigh up short term cost savings for inhouse services versus long term building of competencies and reputable suppliers, which influence service quality and outcomes (Quelin & Duhamel, 2003). In high growth and disruptive environments, outsourcing is used to help manage risk (Bryce & Useem, 1998; Chan et al, 1997).



The literature suggests that outsourcing is context-dependent and warns of the dangers of back-sourcing (returning outsourced functions inhouse) because reintegration can be difficult and time consuming (Barthelemy & Geyer, 2000).

#### **4.5 Implications for Ngāti Pikiao**

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Why did we single out Ngāti Pikiao and what are the implications of this research for Ngāti Pikiao? Māori development takes place within the broader conversation of self-determination and self-governance. When one speaks of development, one must also consider how this impacts on, empowers, or contributes to self-determination and self-governance. For Ngāti Pikiao, self-governance and self-determination takes place over a complex mosaic of over 300 organisations that represent the various intertwined and overlapping interests of the iwi (refer to section 5 on Ngāti Pikiao).

Economic development is to be regarded as a subset of development and a means to an end rather than an end in itself. For example, increases in income and wealth of tribal institutions may be viewed as positive indicators of economic development, but they do not necessarily lead to the wellbeing of the tribe. This points to a rather unsavoury and untested hypothesis, and that is, why iwi wealth may not correlate with iwi wellbeing. This is important because economic development should enable and empower the development of iwi.

This research project asserts that elationships and collaboration are key elements of success for Māori economic outcomes. As Ngāti Pikiao self-governance is distributed across a complex mosaic of organisations and interests, collaboration makes sense. Collaboration is however, a specific time bound mechanism for working together, while relationships are longer-term, enduring and based on tikanga Māori values. This implies that Ngāti Pikiao collaborations are founded upon Ngāti Pikiao relationships, which themselves are based on the tikanga and values of Ngāti Pikiao. While collaboration may occur, Ngāti Pikiao relationships remain paramount. Collaborations are therefore, strategic and serve a specific need within the collective aspirations for Ngāti Pikiao.

Likewise, the ideas of good governance and active management as outsourcing of organisational functions are also strategic decisions. Whether or not to outsource functions is a question of value which Ngāti Pikiao (through parties willing to collaborate) should consider. The literature suggests

that Ngāti Pikiao assess the value of outsourcing in terms of whether or not outsourcing reduces costs, helps focus on core business, and provides greater flexibility.

Having discussed the importance of collaboration, good governance and active management principles in theory, it is critical to explore how these principles apply in practice in real lived contexts to assess what may be possible for other Māori organisations and specifically for Ngāti Pikiao organisations and communities. The next section provides a brief assessment of why Ngāti Pikiao was selected by the researchers for this project.

## **5. NGĀTI PIKIAO**

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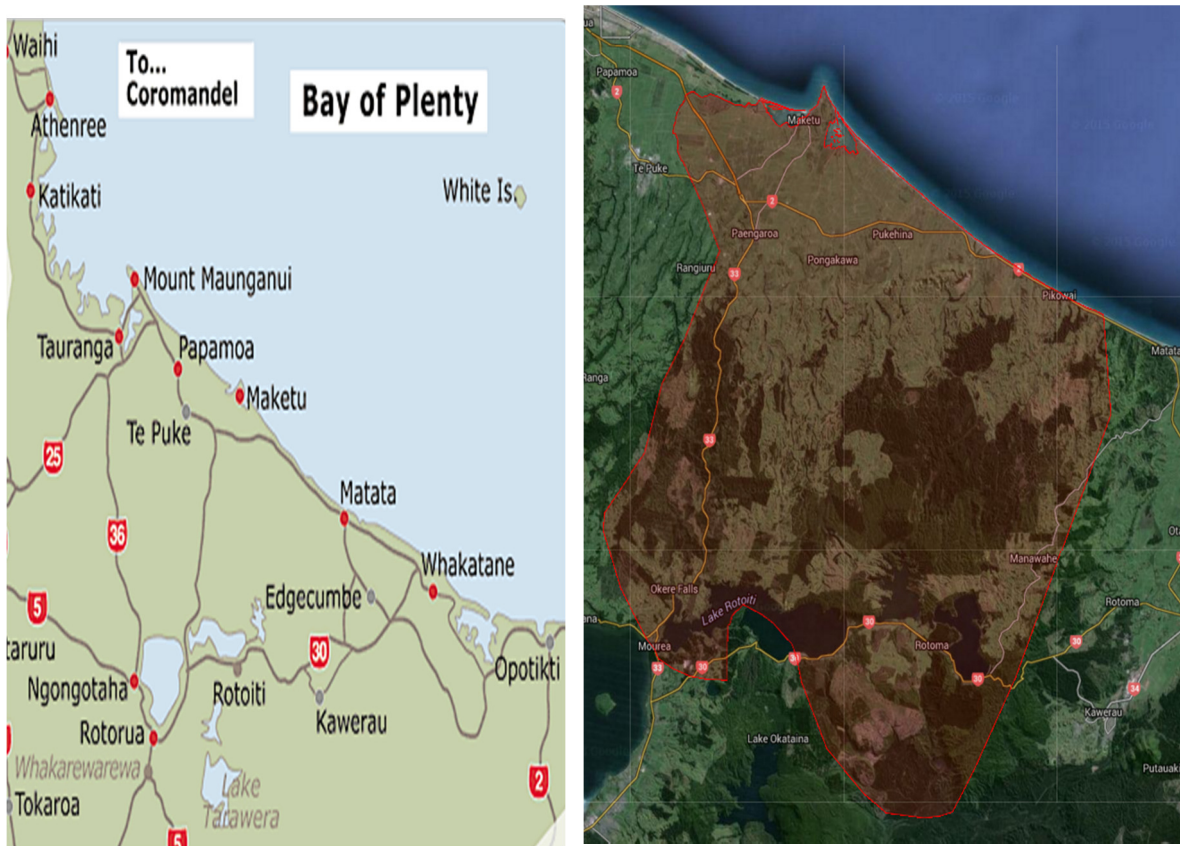
Ngāti Pikiao has been selected as the main focal case study for this research project because we believe they are an appropriate model for applying the research theory, methods and lessons given their history, the broad scope of their resources and for demographic, governance, management, economic and pragmatic reasons. The following section provides an overview of Ngāti Pikiao iwi history, land development, Māori land and land trust financial data which demonstrates why they were selected for this research project.

### **5.1 Iwi History**

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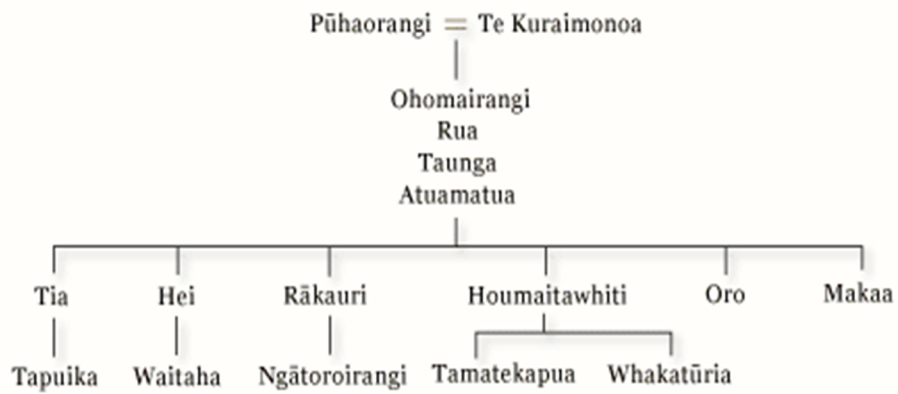
Ngāti Pikiao is an iwi of the Te Arawa confederation of tribes having mana whenua over the area surrounding Lakes Rotoiti, Rotoehu and Rotoma in the Rotorua District. Ngāti Pikiao along with other Te Arawa tribes settled in the Rotorua Lakes area several centuries ago following the discovery of the Lakes District by Ihenga, a grand nephew of Tamatekapua, captain of the Arawa waka. Despite the concentration of land occupation around the lakes, Ngāti Pikiao held the traditional area of interest from the lakes to the coast between Maketu and Otamarakau.

**Map 1: Ngāti Pikiao Traditional Area of Interest**

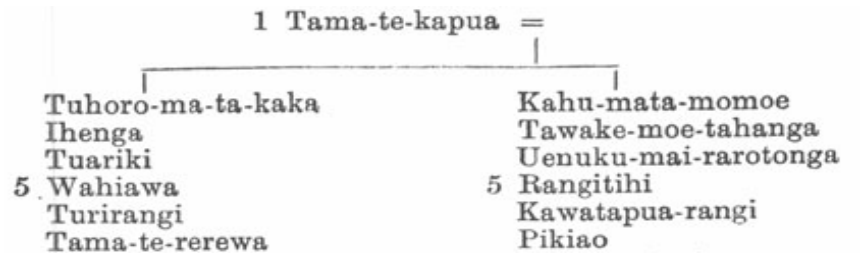


(Source: GHA 2015)

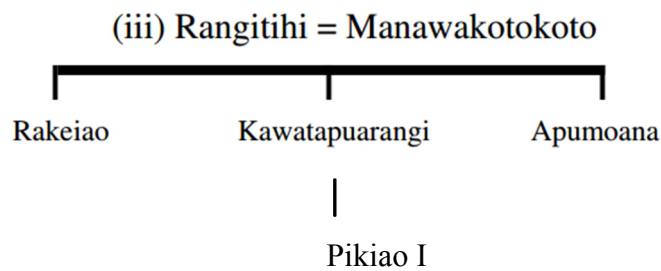
**Whakapapa Table 1: Whakapapa from Pūhaorangi to Rangitihi to Pikiao Tuarua**



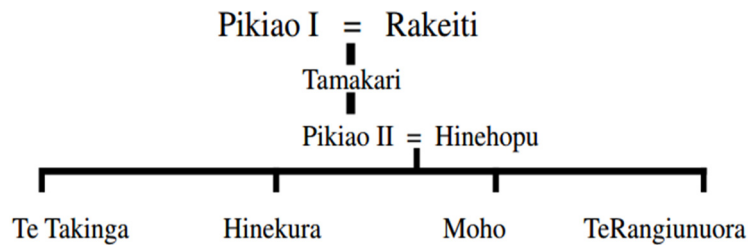
**Whakapapa Table 2: Tamatekapua to Pikiāo I**



**Whakapapa Table 3: Rangitihi to Pikiāo I**



**Whakapapa Table 4:**



Ngāti Pikiāo derive from the union of the eponymous Te Arawa ancestor, Rangitihi and one of his four wives, Manawakotokoto (as illustrated in the whakapapa tables above). Three sons were born from this union: Rakeiao, Kawatapuarangi and Apumoana. Ngāti Pikiāo descend from the second son, Kawatapuarangi, whose son was Pikiāo Tuatahi and great grandson was Pikiāo Tuarua. It is from the union of Pikiāo Tuarua and Hinehopu that Ngāti Pikiāo’s current identity and tribal structure derive.

Ngāti Pīkiao like many iwi were originally transient around the lakes District. Overtime, they would compete with other Te Arawa tribes and sometimes outside iwi for occupation of lands. Ngāti Pīkiao used to occupy the area of Lake Rotokakahi and Tuhourangi (known then as Ngāti Taketakehikuroa) occupied the area around Lake Rotoiti, while Ngāti Makino (who are closely affiliated to Ngāti Pīkiao) occupied the Lake Rotoehu area. In the time of Pīkiao Tuatahi’s children, multiple inter-iwi battles took place. One such battle was initiated by Ngāti Makino with Ngāti Taketakehikuroa over the burning of a fishing net. This initial battle grew into a larger battle when Ngāti Makino called on their Pīkiao whānaunga as allies. The Ngāti Pīkiao leader Te Takinga (son of Pīkiao Tuarua) seized the opportunity to seek utu (revenge) and to acquire more lands for the iwi. Te Takinga subsequently fought a battle against Ngāti Taketakehikuroa which resulted in Ngāti Taketakehikuroa leaving the Lake Rotoiti area.

Since this event, several Ngāti Pīkiao hapū evolved (although only a portion are still active) and established spheres of influence across various segments of Lakes Rotoiti, Rotoehu and Rotoma and the surrounding lands and resources. Ngāti Pīkiao’s contemporary hapū structure comprises ten active hapū and twelve marae as outlined in the table below.

**Table 3: Ngāti Pīkiao Hapū and Marae**

Hapū	Marae	Location
Ngāti Hinekura	Pounamunui Te Waiiti	Otaramarae Rotoiti
Ngāti Hinekiri Ngāti Hinerangi	Opatia (Taheke)	Okere falls
Ngāti Kahumatamomoe	Waiatuhi	Mourea
Ngāti Tamateatutahi / Ngāti Kawiti	Tapuaeharuru	Rotoiti
Ngāti Paruahanui	Taupiri	Mourea
Ngāti Te Rangiuuora	Punawhakareia Taurua	Rotoiti Rotoiti
Ngāti Te Takinga	Hohowai (Te Takinga)	Mourea
Ngāti Pīkiao Whānui	Te Awhe	Maketu

These hapū and marae form the basis of Ngāti Pīkiao’s traditional identity and iwi structure in contemporary times. It is also important to note that Ngāti Pīkiao have a strong historical and contemporary relationship with Ngāti Rongomai (who descend from Rakeiao and occupied a section of Lake Rotoiti) and Ngāti Tarawhai (who occupied the Lake Okataina area).

## 5.2 Demography

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According to 2013 Census, Ngāti Pikiao comprised 8,004 people with 44% of Ngāti Pikiao iwi members living in the Bay of Plenty region. Seven out of ten (71%) people from Ngāti Pikiao have a formal qualification. The 2013 Census data also noted that just over two thirds of Ngāti Pikiao (68%) participated in the labour force. The median income of Ngāti Pikiao however, was \$22,600, which was \$1,100 lower than the median for the Māori population as a whole. In terms of home ownership, 31% of Ngāti Pikiao own the dwelling in which they live.

Recent statistics then highlight that Ngāti Pikiao has a relatively high population living within or close to its rohe for a small iwi. Ngāti Pikiao is also a very highly educated population but have surprisingly low income levels hence there is a significant gap between educational attainment and income levels which challenge is interesting but beyond the scope of this project.

## 5.3 Historical Land Development

In traditional times, occupation and control of land and its surrounding environment was the key economic resource that enabled iwi to survive, grow and prosper. Ngāti Pikiao like many iwi had a strong focus on land occupation, stewardship and control. But Ngāti Pikiao differs significantly from many, if not most, iwi in that they have been fortunate to maintain an estimated 90% (25,000 hectares) of their ancestral lands since European contact. It is worthwhile therefore reflecting briefly on Ngāti Pikiao's historical land development and the related strategies and leadership that enabled Ngāti Pikiao to maintain mana whenua.

Ngāti Pikiao has maintained mana whenua and stewardship over the majority of their lands surrounding Lakes Rotoiti, Rotoehu and Rotoma for over 20 generations. This land and its surrounding environment represented a significant resource for Ngāti Pikiao not only in terms of the scale but also due to the unique mix and quality of natural resources in the area, including three significant lakes, numerous streams and rivers, native fauna and flora, geothermal features and a geographical landscape that provided a strategic advantage in traditional warfare.

The scale and quality of natural resources under Ngāti Pikiao's control suggests that past leaders identified the strategic and economic value of these resources to sustain the iwi. Furthermore, Ngāti Pikiao leadership clearly demonstrated on multiple occasions that land ownership and control was

paramount to the survival of the iwi and instilled a value in future generations to respect and retain the ancestral lands.

### **Post-European Settlement**

In 1840, Te Arawa opposed the Treaty of Waitangi because they were confident that their mana and authority over the lands, people, fisheries and resources did not require any additional protection. However, by the 1850s, colonisation was significantly affecting their way of life. Anticipating a new wave of land-hungry settlers, Te Arawa attended the 1860 Kohimārama Conference, where they aligned themselves with the Crown in exchange for protection under the Treaty of Waitangi. Te Arawa subsequently took up arms against Waikato and the East Coast tribes who were fighting the Government. In 1870–72, Te Arawa fought against Te Kooti. The Te Arawa contingent that fought with the Crown was led by Ngāti Pikiao leader Pokiha Hemana (also known as Major Fox). This alliance with the Crown placed Te Arawa and Ngāti Pikiao in a strong position which ultimately resulted in Ngāti Pikiao maintaining their lands through the turbulent New Zealand Wars period.

Still, there were ongoing challenges for Ngāti Pikiao with the introduction of land surveying, the Native Land Court system, pressures from central Government to establish conservation estates and pressure from Local Government to pay rates (on lands that were often economically unproductive). These factors impacted on Ngāti Pikiao mana whenua however the leadership over this period adapted by adopting strategies to maximise land ownership and mana whenua for Ngāti Pikiao. Examples include:

- Establishing co-governance rights for Scenic Reserves within Ngāti Pikiao;
- Negotiating the use of productive land in exchange for conserving land;
- Strategically co-operating with the Crown to provide land for the development of native townships and schools; and
- Active involvement in the Native Land Court process to establish Māori land titles and ownership of those lands

### **Past Century of Land Development**

Ngāti Pikiao began developing their lands for primary production enterprises such as farming and forestry in the early 1900s. The fact that Ngāti Pikiao maintained ownership of ancestral lands meant that these lands were potentially more developed than those iwi who were alienated from their lands. Ngāti Pikiao leadership have been relatively proactive in the development of land as a means to support iwi development. Leadership among owners of larger blocks established governance



structures to enable commercial activity and began dealing with Government and the private sector to develop their lands.

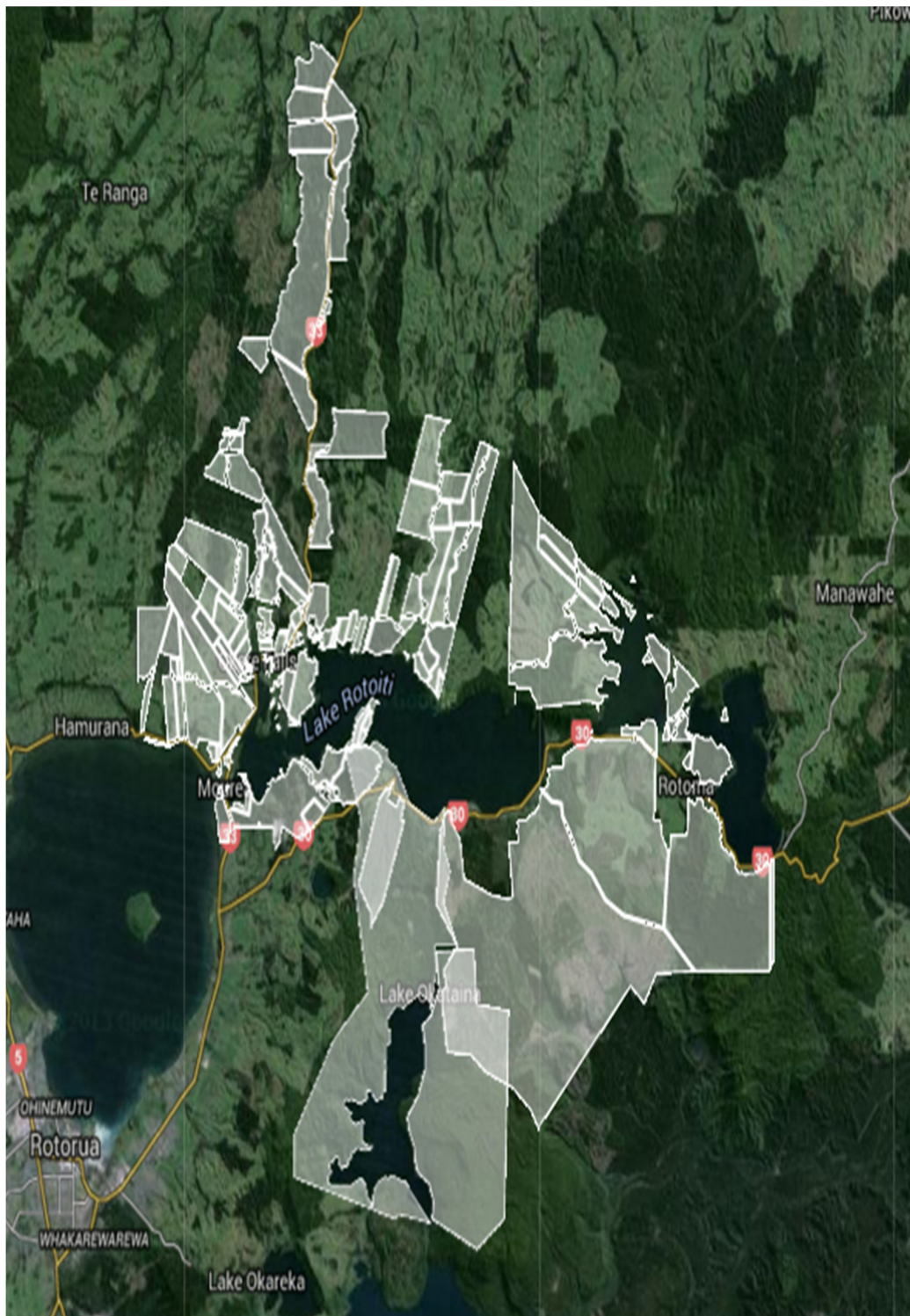
Early examples included allowing access to lands for milling of native timber which provided significant employment for Ngāti Pikiao people and a cost effective way to clear land for other uses. Several Ngāti Pikiao blocks subsequently took advantage of Government schemes such as Apirana Ngata's ahu whenua programmes to convert Māori land from Native scrub and forest into farming. Several Ngāti Pikiao blocks were then developed into farms as part of Government and Māori Affairs schemes. Ironically however, most changed the land use after the farming ventures proved unviable. Beyond Government funded schemes, many blocks were developed through leases to private businesses or individuals who could provide capital and expertise. While such developments were positive for land development, the leasing scheme provided limited financial returns to owners and the development of governance and management expertise.

Over the past three decades however, many Ngāti Pikiao land trusts have regained the governance and active management of the resources on their land. Today, there are approximately 70 Māori land trusts, comprising 24,500 hectares that have some form of economic activity on the land which is providing greater flexibility and control for Ngāti Pikiao to develop land collectively. Over the past decade in particular, Ngāti Pikiao leaders and trustees have signalled a willingness to collaborate more on land and resources for economic development. While this has occurred on a small scale, there is a significant opportunity to improve economic performance through effective collaboration, good governance and active management across these 70 or more entities.

#### **5.4 Māori Land Data**

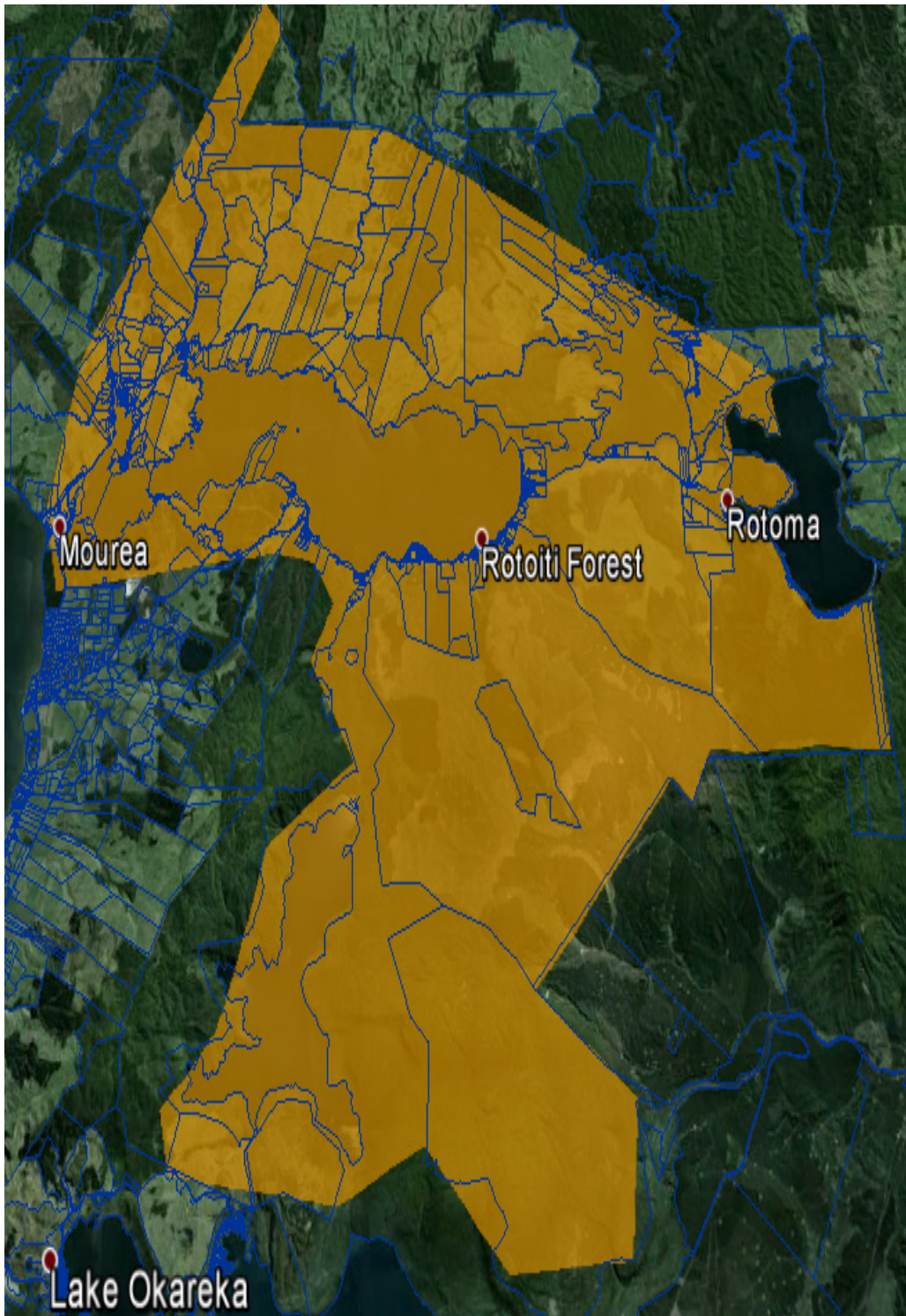
There are approximately 380 Māori land blocks with 155 governance structures within the Ngāti Pikiao rohe. These land blocks comprise just over 25,000 hectares of Māori land which is approximately half of all the Māori land in the Rotorua District. These lands surround Lakes Rotoiti, Rotoehu and parts of Rotoma, and extend towards the east coast to Paengaroa (as illustrated in the map below).

**Map 2: Ngāti Pikiao Māori Land Blocks Spatial Map**



(Source: Te Arawa Primary Sector Iwi Resource Development Project, 2015)

**Map 3: Ngāti Pikiao Māori Land Blocks**



(Source: GHA 2015)

The following table provides a statistical overview of Ngāti Pikiao land blocks by area, shares, owners and governance structures.

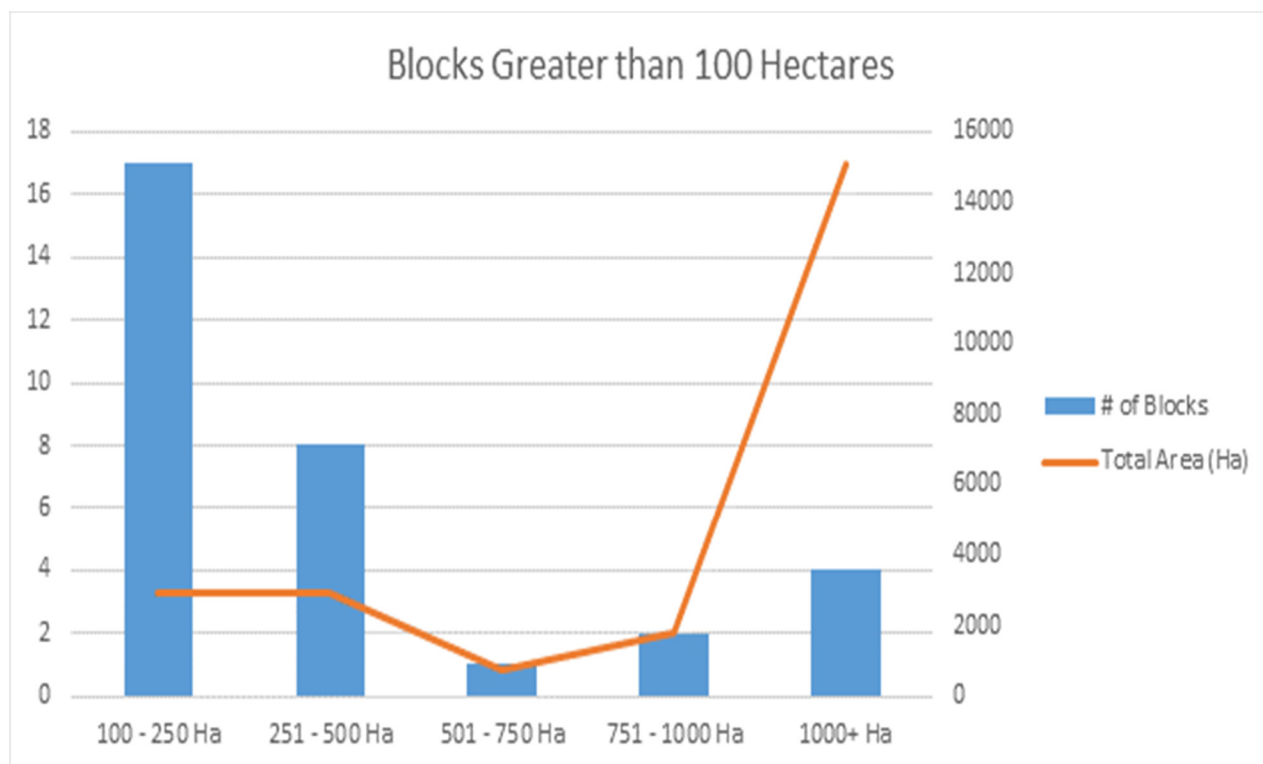
**Table 4: Pikiao Land Blocks Statistical Overview**

<b>Metric</b>	<b>All Trusts</b>	<b>Over 10 Ha</b>	<b>Over 100 Ha</b>
<b>Total Blocks</b>	381	44	32
<b>Total Area (Ha)</b>	25,561	1,815	23,435
<b>Total Shares</b>	3,870,675	280,364	2,486,930
<b>Total Owners</b>	90,512	18,878	41,726
<b>Blocks with a Governance Structure</b>	155	30	31
<b>Blocks with no Governance Structure</b>	226	14	2
<b>Trusts with the Māori Trustee as Custodian Trustee</b>	6	3	2

(Source: GHA, 2015)

While there are over 300 land blocks within the Ngāti Pikiao rohe, it is estimated that approximately 70 are economically active (the remainder being largely small whānau blocks, whenua rāhui and marae/ urupa reservations). These 70 trusts make up approximately 95% (24,500 hectares) of all Ngāti Pikiao land area, demonstrating that approximately 95% of Ngāti Pikiao land is therefore economically active. Of the 70 economically active trusts, 32 are over 100ha and comprise 90% (23,435 ha) of the total Ngāti Pikiao land area. These 32 trusts are governed by 120 trustee positions.

**Graph 1: Ngāti Pikiao Māori Land Blocks Over 100 Hectares**



(Source: GHA, 2015)

### **5.5 Land Trust Financial and Asset Data**

Using available data, financial statements from a sample of 11 Ngāti Pikiao land trusts were analysed to provide financial performance and position data. This data was then used to extrapolate overall performance and position data. These sample trusts represent approximately 16,000 hectares or 68% of the Ngāti Pikiao land area and are diverse in size and financial make up. Collectively, this sample has the following economic performance and position profile:

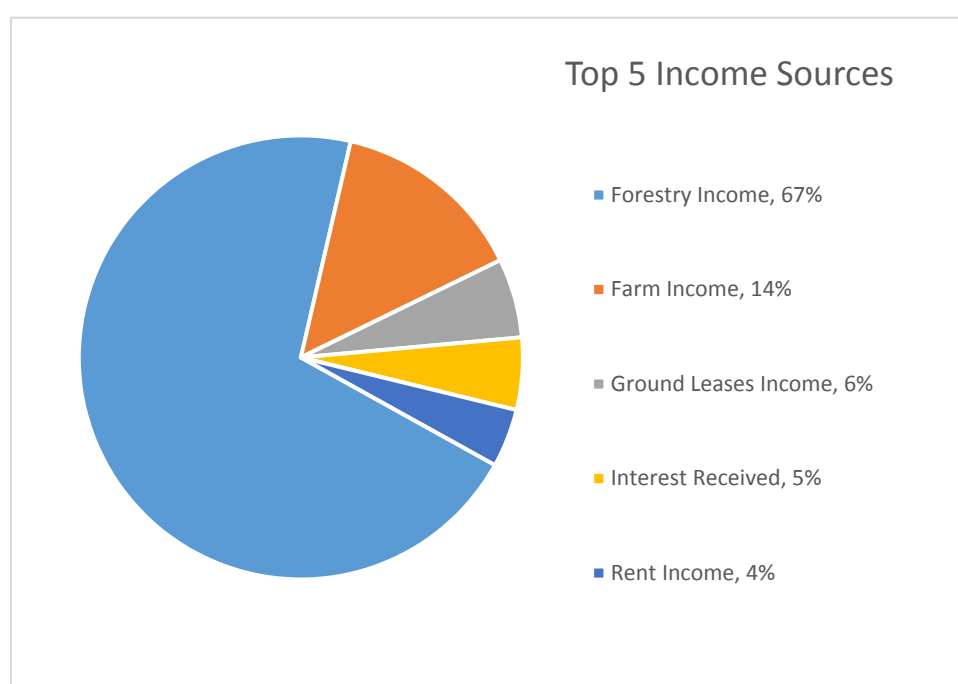
**Table 5: Ngāti Pikiao Māori Land Trust Financial Data 2015**

Land Data	Total (Ha)	Average (Ha)	Range (Ha)
Total Area			
Financial Performance	Total (\$m)	Average (\$m)	Range (\$m)
Revenue	14		
Expenses	2.6		
Net Profit	8.5		
Distributions			
Financial Position	Total (\$m)	Average (\$m)	Range (\$m)
Total Assets	191.9		
Total Liabilities	3.1		
Equity	188.1		

(Source: GHA, 2015)

## Income and Expenses

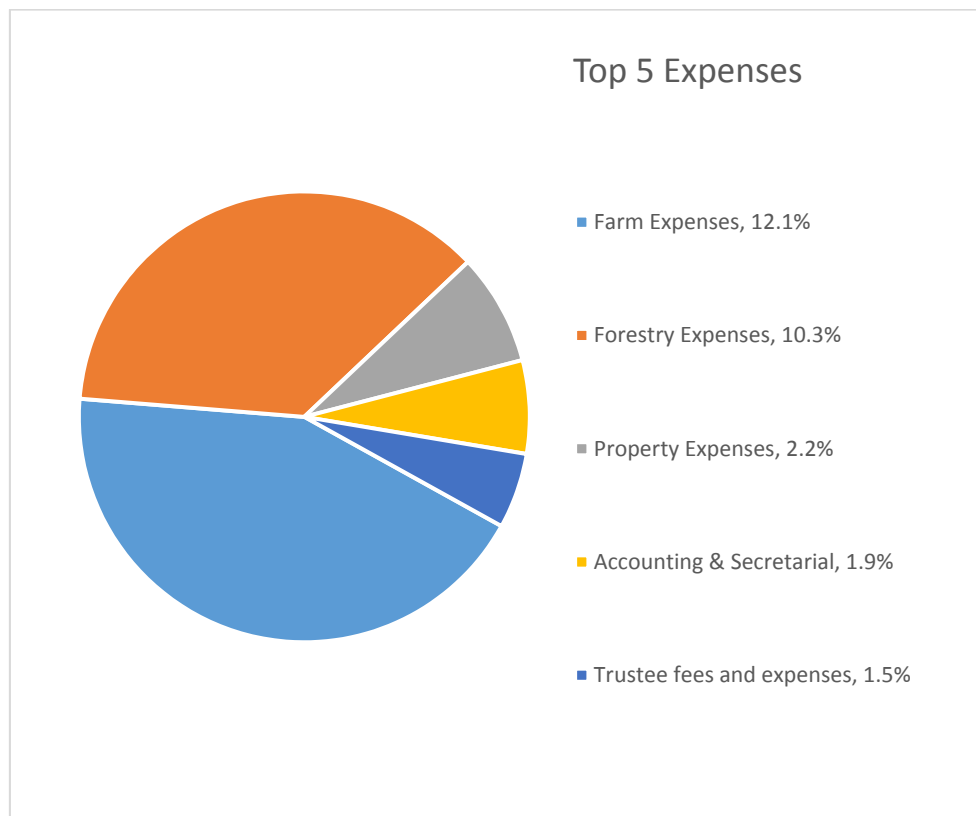
**Graph 2. Top 5 Income Sources**



(Source: GHA, 2015)

The graph above shows that Ngāti Pikiao land trusts are predominantly focused on forestry with 67% of income derived from this activity. Farms make up the second largest activity at 14%, with 10% made up of ground leases and rental income derived from property owned and 5% coming from interest on cash and equity investments.

**Graph 3: Top 5 Expenses**



(Source: GHA, 2015)

Graph 3 shows that farm expenses are the largest expense at 12.1% of revenue which reflects the high costs of running the farms. Forestry expenses are second at 10.3% of revenue (despite forestry making up 67% of income). Property expenses relate to repairs, maintenance and administration. Accounting and secretarial as well as trustee fees and expenses are also major expenses for the land trusts. It is also noted from the review of specific trusts that:

- there is a significant variability in expenses being charged such as accounting, insurance and secretarial services.
- common expenses across trusts include accounting and secretarial services, business advisors, insurance, printing and stationary.

This data provides an indicative sample from which a collective financial summary of Ngāti Pikiao land trusts was extrapolated.

### Estimated Collective Financial Situation

The data suggests Ngāti Pikiao land trusts have a potential collective asset base of \$280.7m producing \$25.1m in revenue, \$12.5m in profit and \$2.4m in distributions (20% return on profit). The return on assets of this asset base is a modest 4.4%. These figures highlight that there is potential to increase revenue, improve profitability, grow the asset base and to increase distributions.

### Estimated Collective Revenue and Profit

Table 6 below shows the characteristics of trusts by size (in hectares) and estimated revenue, profit and profit margin.

**Table 6: Ngāti Pikiao Land Trust Characteristics**

Trust size	#	Area (ha)	Est. Revenue (\$m)	Est. Profit (\$m)
Trusts: Over 700 ha	6	17,612	19.6	10.0
Trusts: 200 - 699 ha	14	4,021	3.9	1.4
Trusts: 100 - 199 ha	10	1,483	1.5	1.0
Trusts: 1.9 - 99 ha	40	1,324	0.1	0.01
Total Economic	70	24,440	25.1	12.5
Non-Economic	312	1,120		
	382	25,560		

(Source: GHA, 2015)

Key highlights from the data include:

- estimated total collective revenue of \$25.1m, profit of \$12.5m and profit margin of 50%;
- 6 trusts (all over 700ha) account for 78% of total revenue and 80% of total profit;
- trusts with less than 100 hectares produce very small revenue (\$100k) and profits (\$10k); and
- trusts between 100-199 hectares appear to achieve the best profit margins (67%).



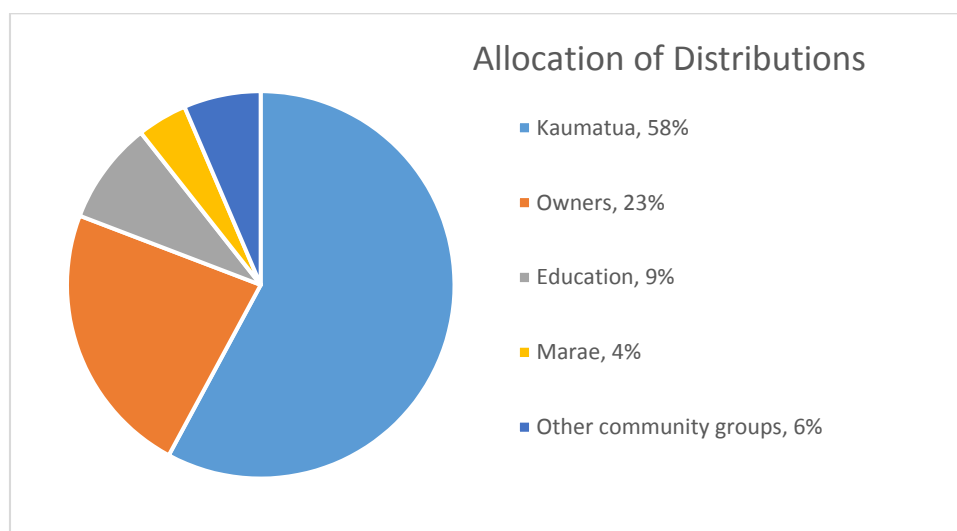
### Financial position of Ngāti Pikiao Land Trusts

Ngāti Pikiao land trusts have an estimated asset base of \$280.7m with a debt to equity ratio of 2%. This highlights the risk averse nature of Māori land trusts in terms of securing finance against the underlying title of land. Finance can also be secured against rights to use the land which would mean that only potential revenue earned from the land would be at risk. Finance could help the Ngāti Pikiao land trusts to diversify and increase revenue through a more profitable activity. An increase of 4% in return on assets through diversification would increase profit by \$12.5m.

### Ngāti Pikiao Land Trust Grants and Distributions

Graph 4 below details how the \$2.4m in distributions from the Ngāti Pikiao lands trusts have been allocated.

**Graph 4: Allocation of Distributions**



(Source: GHA, 2015)

Graph 4 shows that the main group who receives distribution benefits from the Ngāti Pikiao land trusts is Kaumātua at 58%. This is followed by the owners at 23%. 9% of the distributions are allocated to education while the remaining 10% is allocated between marae at 4% and other community groups at 6% respectively.

## **5.4 Economic Opportunities**

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Using publically available financial data, it is estimated (conservatively) that Ngāti Pikiao entities earn over \$16 million in revenue, or \$13 million net profit before tax. It is also estimated that Ngāti Pikiao entities have over \$200 million in assets.

Ngāti Pikiao are known to be active in a number of key industries particularly the dry stock, dairy, forestry, geothermal and kiwifruit industries. Ngāti Pikiao entities also have passive investments in equities, leasehold or residential properties, leased land, forestry rentals and stumpage, cash and term deposits, and commercial property.

Financial data also revealed a number of common expenses. For example, it is estimated that Ngāti Pikiao entities spend over \$400,000 pa on accounting and secretarial services; over \$200,000 pa on business advisors, over \$60,000 pa on insurance, and over \$50,000 pa on printing and stationary costs. Combined, this represents over \$710,000 expended on common costs across the various Ngāti Pikiao entities.

There are also common areas for distributions among Ngāti Pikiao representing approximately \$1.9 million in common distributions. This is comprised of over \$500,000 in owner grants and dividends; over \$1 million in Kaumātua distributions; \$200,000 in education spending; over \$100,000 in marae support; and over \$100,000 in other distributions. Hence, there is definite scope for Ngāti Pikiao entities to collaborate by sharing services and resources to minimise annual operating costs.

## **5.5 Summary**

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The data collected on the current state of Ngāti Pikiao above shows that Ngāti Pikiao comprises 8,004 people who are represented by 155 governance structures across 382 land blocks, around 70 of which are thought to be economically active. We estimate Ngāti Pikiao entities earn approximately \$16 million in annual revenue. Common expenses among these entities total around \$710,000 per annum, and distributions are approximately \$1.9 million per annum. Some Ngāti Pikiao enterprises then are generating significant revenue to the local economy. On the other hand, there is much untapped economic potential within a large number of the Ngāti Pikiao organisations within the region but

many Ngāti Pīkiao entities are either underperforming or their resources are underutilised for various reasons which appear to include, inter alia, ineffective governance, inactive or no management structures, smallness, lack of capacity, and resources. Good governance, active management and effective collaboration may assist these organisations to enhance economic performance.

Interestingly, Ngāti Pīkiao has also previously considered collaboration, but presently enters into collaborative arrangements on a case-by-case basis rather than as part of an overarching deliberate Iwi strategy which challenge is discussed in more detail in the next section.

## **6. WORKSHOPS: HUI WITH NGĀTI PIKIAO**

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### **6.1 Previous Collaboration Efforts within Ngāti Pikiao**

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Over a decade ago, Ngāti Pikiao commenced a discussion to collaborate across its various entities. Since that time, however, collaboration has been ad hoc on a case-by-case basis. Examples include RML, Tuara Matatā and collective funding for the Waste Water Treatment Plant appeal. Though ad hoc, each of these are discreet examples of Ngāti Pikiao exercising self-governance in respect of its people and whenua. This raises the question of whether there is value for Ngāti Pikiao to collaborate in a more systemic and coordinated manner, or to seek further strategic collaborations.

### **6.2 Renewed Debate on Collaboration within Ngāti Pikiao**

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In April 2015, representatives from Ngāti Pikiao entities were invited to a workshop to discuss the research proposition for collaboration and for considering increased governance and management capacity. Twenty people attended that workshop, representing 6 Ngāti Pikiao entities.

The participants were asked:

1. What, in their view, were the critical success factors for collaboration?
2. What are their aspirations or opportunities for collaboration? and
3. What are the challenges to collaboration?

### **6.3 Critical Success Factors**

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Participants identified three key success factors for collaboration:

- i) Understanding the collective picture,
- ii) Shared strategy (development and buy in), and
- iii) Intergenerational leadership.

These critical success factors align with collaboration theory in terms of developing a common agenda and shared strategy for collaboration. However, it also highlights the role of good data to understand the collective position and potential of Ngāti Pikiao. The call for intergenerational leadership suggests that self-governance across generations is central to collaborative efforts.

## **6.4 Collective Picture**

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Reliable data plays an important part of understanding the current status of where Ngāti Pikiao is presently situated. Participants were of the view that good data provided a platform to understand how collaboration could facilitate better outcomes for Ngāti Pikiao collectively.

The project provided an opportunity for the research team to collate key data (refer to the summary in previous chapter) and present it to participants for further consideration. However, one of the key challenges in undertaking this exercise was the availability of data. Demographic data was available from Census 2013. Ngāti Pikiao is included in the iwi classification hence accessible demographic data is available. For other iwi and Māori groups however, this might not necessarily be the case.

Data regarding resources for Ngāti Pikiao was also available from Māori Land Online which was helpful to understand the overarching land trust information within the Ngāti Pikiao rohe. Further information is available regarding the profile of the land, and therefore, the potential uses of land. However, this exercise required much more time and resources to mine the data and analyse it more thoroughly for this research. A more in depth analysis will be collated and used in a future phase of the broader collaboration project.

Economic data required significant exploring as well. Members of Ngāti Pikiao were able to identify the larger and more substantive trusts that estimates were based on which formed the basis for the calculations in the previous chapter.

## **6.5 Shared Strategy**

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Creating a shared strategy was identified in the literature review as being a critical part of the process of collaborating across a complex ecosystem. Participants in the research echoed the idea that Ngāti Pikiao should develop a shared strategy and should seek the buy-in of the various trusts across the iwi ecosystem which may suggest that there is some demand for a systemic approach to collaboration across Ngāti Pikiao rather than an isolated approach.

However, despite a common view that Ngāti Pīkiao should strategically collaborate, participants also stated that gaining buy-in would be a difficult but gradual process. Participants were of the view that a collaboration process should cater firstly for those who were willing to collaborate, and then to include other organisations as they witnessed the collaboration model succeeding which may be the catalyst to encourage others to buy into the concept and strategy. Collaboration theory suggested that emergence may be useful for forming collaborations. Adopting these ideas of emergence and experimentalism, the model provides for a “coalition of the willing” to commence a collaborative approach. Also adopting the idea of the virtuous cycle and once the collaboration proves its worth, then others may enter the collaboration structure.

## **6.6 Intergenerational Leadership**

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Participants were of the view that intergenerational leadership was needed for sustainability and long-term well-being of Ngāti Pīkiao. This idea aligns with the theory presented earlier of how development and the idea of collaboration must be considered within the context of self-governance and self-determination of Ngāti Pīkiao.

Intergenerational leadership included setting a long-term and clear vision that communicates and connects with the people of Ngāti Pīkiao, acknowledging different kinds of leadership across generations; and succession planning based on the skills needed to govern Ngāti Pīkiao. In particular, participants noted that rangatahi need to be able to contribute new ideas and skills, particularly given it is important to connect the ideas of the older and emerging new leaders.

## **6.7 Opportunities for Collaboration, Good Governance and Active Management**

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In the April 2015 workshop, participants identified eight key aspirations for collaboration between Ngāti Pīkiao entities that come under the ambit of good governance and active management for better self-governance and self-determination:

- i) Shared accounting, secretarial and advisory services,
- ii) Shared information and platform,
- iii) Shared resources,
- iv) Collective investments,
- v) Collective procurement,
- vi) Leveraging influence,
- vii) Lifting performance of underutilised and underperforming land blocks, and
- viii) Collaboration for social, environmental and cultural outcomes.

Accounting and secretarial fees make up a significant expense (estimated at over \$500,000 per annum) for Ngāti Pikiao entities. An opportunity exists to establish a shared service, established by trusts and incorporations to take over part or all of these services in the future. The key motivators for this would be to reduce costs, build internal capability and capacity within Ngāti Pikiao entities for employment opportunities, and the ability of Ngāti Pikiao to design and deliver the services that it needs and that are based on Ngāti Pikiao-specific values.

Hui participants noted that collective information would build a better understanding of opportunities and strategies, along with reducing the cost of creating, storing and disseminating information. Opportunities included having a collective information stock take, sharing registration platforms, collective procurement of information, shared intelligence, shared information mapping, shared cultural information and shared communication platforms (e.g. website, or AGM, grant and scholarship information).

There was also an opportunity for shared resources across a range of functions that could assist with greater capacity, efficiency and access to resources that are otherwise unaffordable by a single trust. Ideas included office infrastructure, technology, specialist agricultural or forestry equipment and shared communications technology.

Participants noted the opportunities for collective investment within Ngāti Pikiao, and existing successful examples. Ideas included sector collectives, joint venture investments, collective investment and collectively managed funds.

Collective procurement provided an opportunity to reduce costs which could be applied to a number of common expenses among trusts and incorporations and could include advisory services, insurance, printing and stationery.

Participants noted that they do not leverage collective scale and power. Utilising Ngāti Pikiao's collective scale, economic power and whakapapa could increase Ngāti Pikiao's influence among key stakeholders, other Māori organisations and business partners. Leveraging influence in this manner could contribute for example, to achieving Ngāti Pikiao aspirations, securing external funding for projects, influencing Local Government decision-making, and for attracting potential business partners.

It was noted that collaboration provides opportunities to lift the performance of underutilised and underperforming land within Ngāti Pīkiao. Effective collaboration provides an opportunity to lift the collective performance of Ngāti Pīkiao blocks as opposed to just the large blocks. It was also noted that this is already happening to some degree through wealthier blocks assisting smaller blocks to plant pine forests.

Collaboration, good governance and management capacity across Ngāti Pīkiao entities should also provide benefits for social, environmental and cultural activity within Ngāti Pīkiao. Participants noted that it could mean collective funding of Ngāti Pīkiao marae; collective capacity to participate in resource management and Local Government processes; archives management, support of a Ngāti Pīkiao entrepreneurial ecosystem; collectively addressing environmental issues; buy-back of ancestral lands no longer in Ngāti Pīkiao ownership; collective funding of education and health initiatives; providing papakāinga, and improving housing for Ngāti Pīkiao.

## **6.8 Motivations**

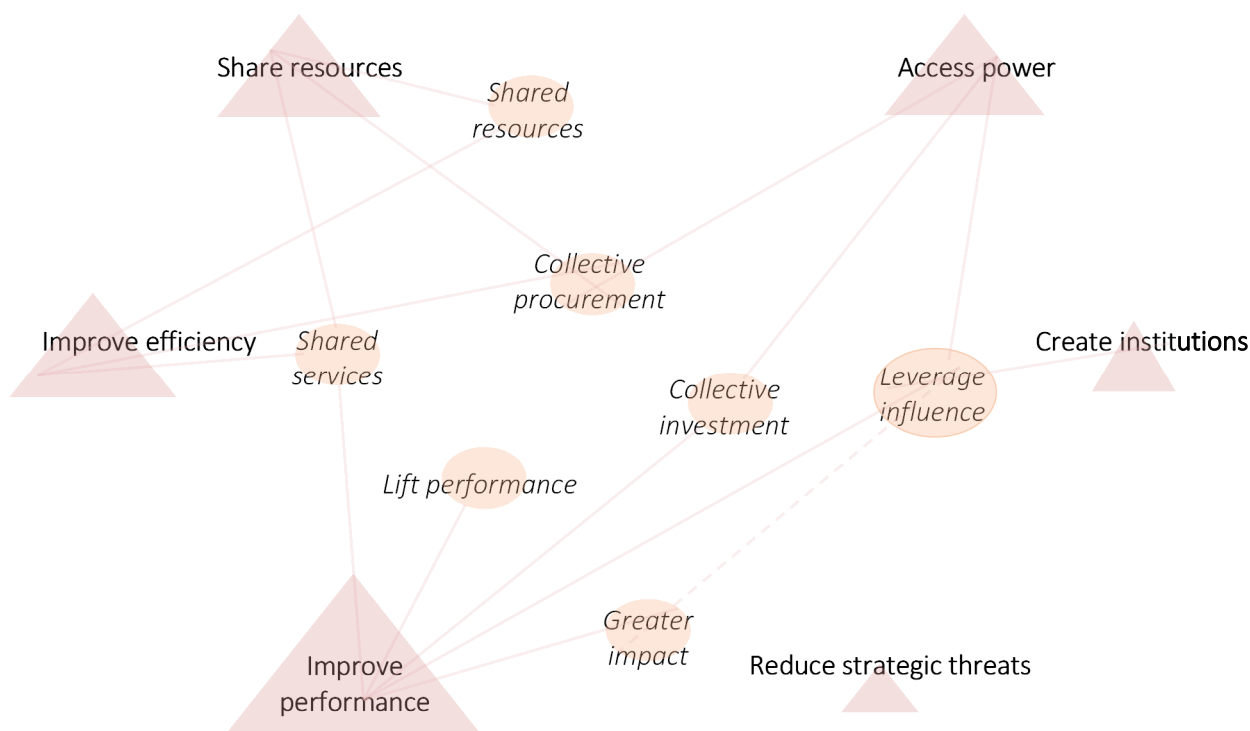
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As highlighted in *He Mangopare Amohia*, collaboration is a key success factor for Māori development (Smith et al., 2015). Ngāti Pīkiao aspirations identified in the workshop reflected the desire for collaboration to further its aspirations for self-governance, and particularly to make sense of the complex mosaic of governance and ownership interests across Ngāti Pīkiao.

The motivations for collaboration then appeared relatively clear from the April hui participants. The following diagram maps the key motivational factors (circles) identified from the detailed narrative of opportunities across the six motivations identified in collaborative theory earlier (triangles). The most common motivation for collaboration is to improve performance, followed by sharing resources, then improving efficiency and accessing power (in this case leveraging influence through collectivity).



**Diagram 5: Motivating Factors for Collaboration**



(Source: Pare Consulting, 2016)

Diagram 5 above shows that of the six key motivational factors, improving performance is the most common motivation to collaborate. This does not mean that Ngāti Pikiao organisations are presently underperforming, but collectively acknowledging that collaboration can improve the collective performance across the 382 Ngāti Pikiao land blocks and 155 governance structures.

Sharing resources, improving efficiency and accessing power tended to be further ways in which to improve performance overall by creating a greater collective impact for Ngāti Pikiao.

Understanding this dynamic could assist Ngāti Pikiao entities who are willing to collaborate to understand the core motivations for collaboration. Through this understanding, those involved may be able to build a common agenda first which would then help them to construct a deliberate collaboration strategy.

Having discussed the importance of collaboration, good governance and active management principles in theory and some of the benefits in practice for Ngāti Pikiao, it is critical to explore how these principles apply in practice generally in real lived contexts to assess what may be possible for Ngāti Pikiao. The next section provides a brief assessment of 7 case studies of Māori organisations and 2 non-Māori but relevant organisations that have adopted good governance, active management and collaboration models. These case study models have directly contributed to enhanced economic performance and provide possible viable options for Ngāti Pikiao organisations specifically, and more generally, for other Māori organisations to adopt.

## 7 CASE STUDIES

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### 7.1 Overview

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As noted above, the researchers examined 9 case studies to identify potential lessons and models learned from successful case studies of collaboration (both Māori and mainstream). The table below sets out the case studies that were examined:

**Table 7: Case Studies**

Case Study	Sector	Collaboration Profile
<b>1) Te Rua o Te Moko JV</b>	Dairy/ education	Joint venture involving five organisations to unify collective direction and to better utilise assets for collective economic benefit. Te Rua o te Moko has been in operation for 7 years and is able to provide joint education and employment programmes through an industry training organisation with Te Rua o Te Moko farms.
<b>2) Rotoiti 15 Trust</b>	Dairy/ horticulture	8,000 hectare land block that was an amalgamation of 33 smaller blocks in 1970. It is now one of the largest and most diversified land trusts in the Te Arawa rohe.
<b>3) Poutama</b>	Māori Business development	Charitable trust established for the purpose of promoting Māori business development including actively promoting collaboration among Māori enterprises. Poutama has been in operation for 28 years.
<b>4) Te Kaha Gold JV</b>	Kiwifruit	Joint venture involving approximately 6 Māori land trusts and multiple industry investors and has been in operation for approximately 15 years.
<b>5) Zespri</b>	Kiwifruit	Single desk approach for New Zealand kiwifruit producers: Zespri purchases kiwifruit and exports internationally on behalf of all producers.
<b>6) Fonterra</b>	Dairy	Dairy co-operative company established in 2001, the largest NZ company, alleged to be the largest dairy exporter in the international dairy trade.

<b>7) Miraka</b>	Dairy	Collective of six Māori entities that have strategically partnered with businesses in the dairy industry to produce high quality milk products. Has been in operation for 5 years.
<b>8) Te Hiku Development Trust</b>	Social/ economic	Not-for-profit post-Treaty of Waitangi settlement organisation which has been in operation for 4 years and is focused on promoting development of the five iwi in Te Hiku (Far North) region which is a collaboration between iwi and Government agencies.
<b>9) Iwi Collective Partnership (ICP)</b>	Fisheries	Collective of 15 Iwi commercial fisheries settlement entities that have collectivised annual catch entitlement for better collective advantage and has been in operation for 9 years

The following section presents the key insights that emerged from each of the case studies which includes some analysis for the Ngāti Pikiao context.

## **7.2 Te Rua o Te Moko JV**

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### *About Te Rua o te Moko - Origins of the Entity and Nature of its Business*

Te Rua o Te Moko Ltd is an unincorporated joint venture between five organisations. It was established to unify the direction of a collective of five organisational interests (see below). The collective formed because the five Māori land blocks were individually too small to be farmed economically. The owners were of the view that there was more opportunity as a collective.

The collective's vision is for the full utilisation of lands to return economic profitability and opportunity to its people. To this end, the collective envisages that it is an exemplar of agribusiness excellence, has long term generation of top quartile business free cash flow, and develops the skills to have its own people running its farms successfully.

### *Collaboration*

The five organisations that comprise Te Rua o Te Moko are:

**Diagram 6: Te Rua o te Moko Organisations**

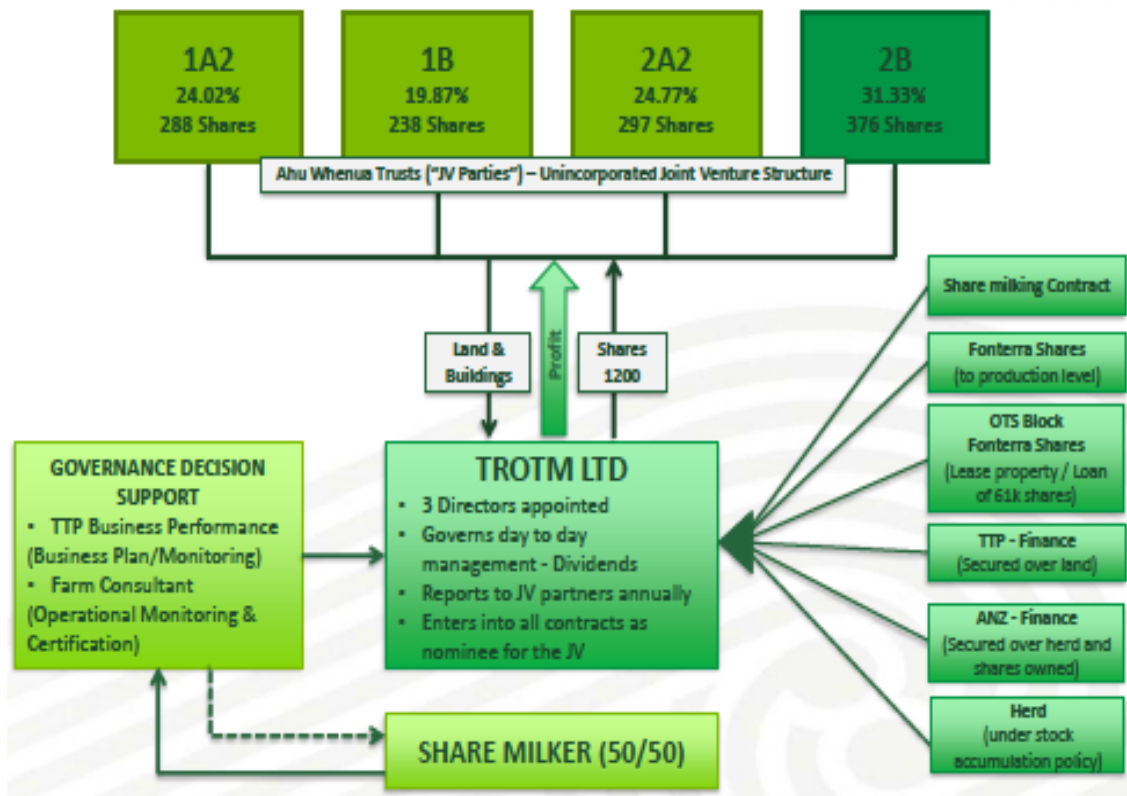
Organisation	Land size (ha)	Owners	Managed	Shareholding
Te Rua o Te Moko 1A2	30.5	249	TTP	24%
Te Rua o Te Moko 1B	27.3	216	TTP	20%
Te Rua o Te Moko 2A2	36.1	89	TTP	25%
Te Rua o Te Moko 2B	46.5	731	Private	31%
Nga Ruahine Settlement	49.3	-	Settlement	
Total	189 (170 effective)	1285	-	100% (1200 shares)

(Source: Te Tumu Paeroa, 2015)

### *Governance and Active Management*

Te Rua o Te Moko is structured as a company, with four of its contributing partners having a shareholding in the company (see Diagrams 6 and 7). The company has three appointed directors that govern the day-to-day business.

**Diagram 7: Te Rua o Te Moko Organisational Structure**



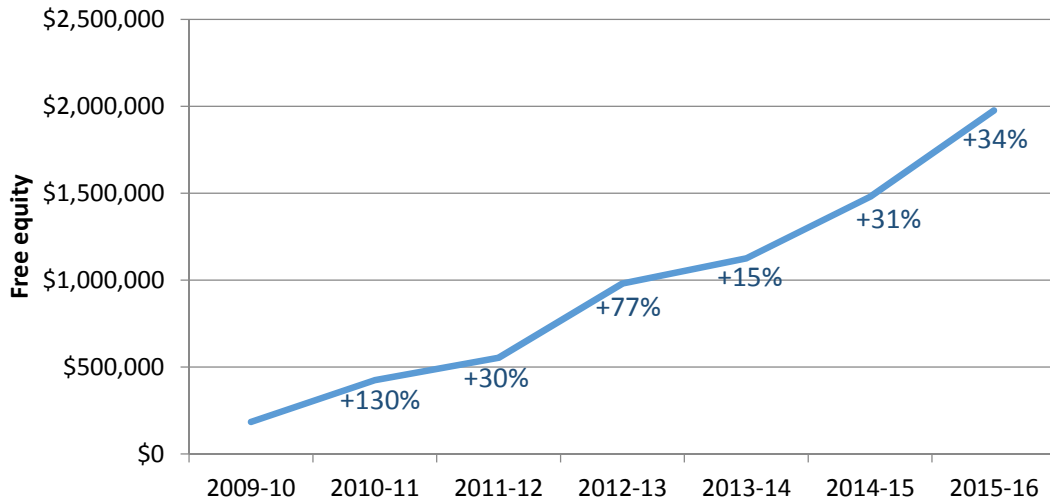
(Source: Te Tumu Paeroa, 2015)

Te Rua o Te Moko runs a commercial dairy farm (under a 50:50 share milker arrangement) and a training programme for descendants of shareholders and rangatahi. It commissions governance decision-making support in the form of business performance from Te Tumu Paeroa and a farming consultant. While this is not a completely “active” or autonomous business approach, it is a collaborative effort to increase capacity and enable the collaboration partners to increase their joint business activity in agribusiness. The outcomes as noted above, provide greater leverage to provide an initiative that mutually benefits its operations, its owners and its community. Hence Te Rua o te Moko adopts good governance and active (albeit indirect professional) management principles which provide an effective framework for collaborating, governing and managing effectively.

*Process and outcomes of collaboration*

Financial data from the first six years of operation show positive gains in free equity for Te Rua o Te Moko. Free equity is calculated as cash balance plus profit.

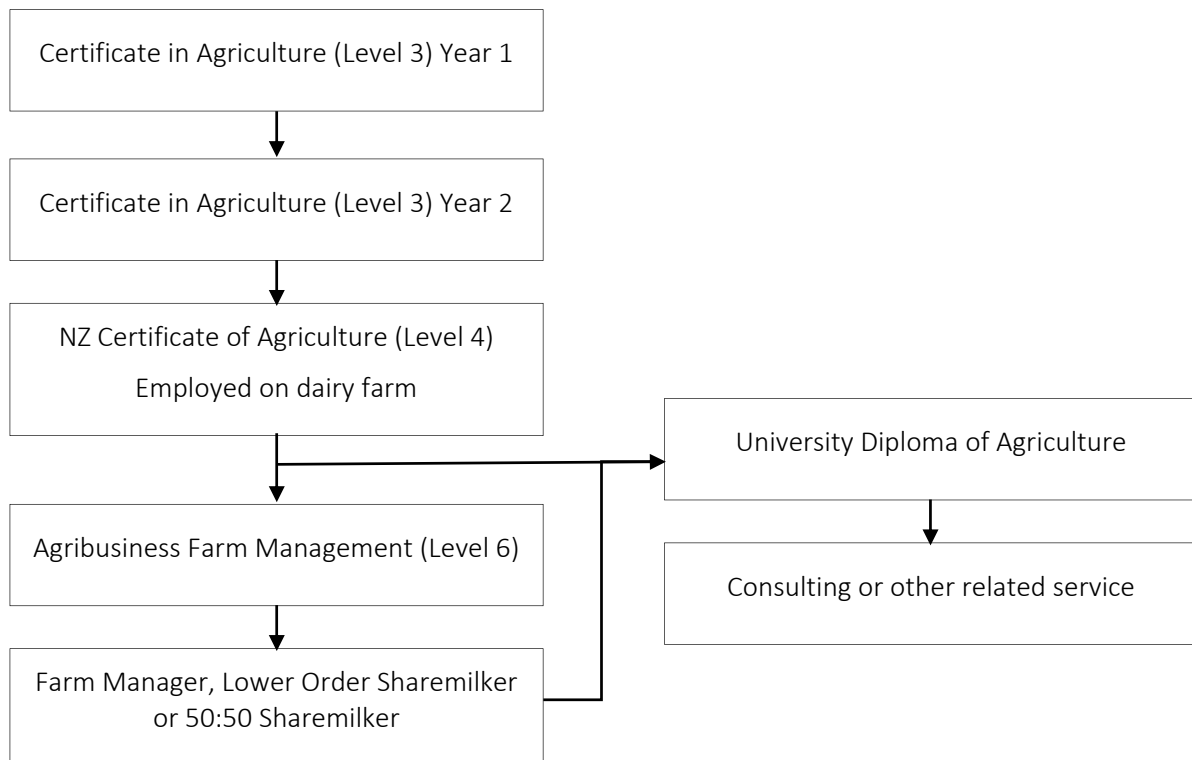
**Table 8: Te Rua o Te Moko net equity 2009-2016**



(Source: Te Tumu Paeroa, 2015)

Through a training programme with the Land Based Training Industry Training Organisation, Te Rua o Te Moko has supported rangatahi through training and into employment. The programme accepts Year 12 and 13 students and provides an incremental pathway into agribusiness (see Diagram 8). Eight rangatahi graduated from the programme in 2013, who were then employed on the dairy farm. In 2014, Te Rua o Te Moko received a BNZ Māori Excellence in Farming Award in recognition of its achievements as a successful agribusiness and of its succession plan for rangatahi as the next generation of farmers.

**Diagram 9: Te Rua o Te Moko Training Programme**



(Source: Land Based Training, 2015)

***Key insights for Māori Enterprises***

Te Rua o Te Moko is an example of collaboration between individual trusts that wanted to utilise their land or assets but do not have the scale to enter business on their own. Available data shows significant economic growth through collaboration as a joint venture.

While the data does not show how they came to a common vision and agreement to form a joint venture, the example shows that they have reached a shared vision and agenda.

The example also shows how a successful economic business can provide access to career pathways in agribusiness (and socio-economic benefits) to their people.



### 7.3 Rotoiti 15 Trust

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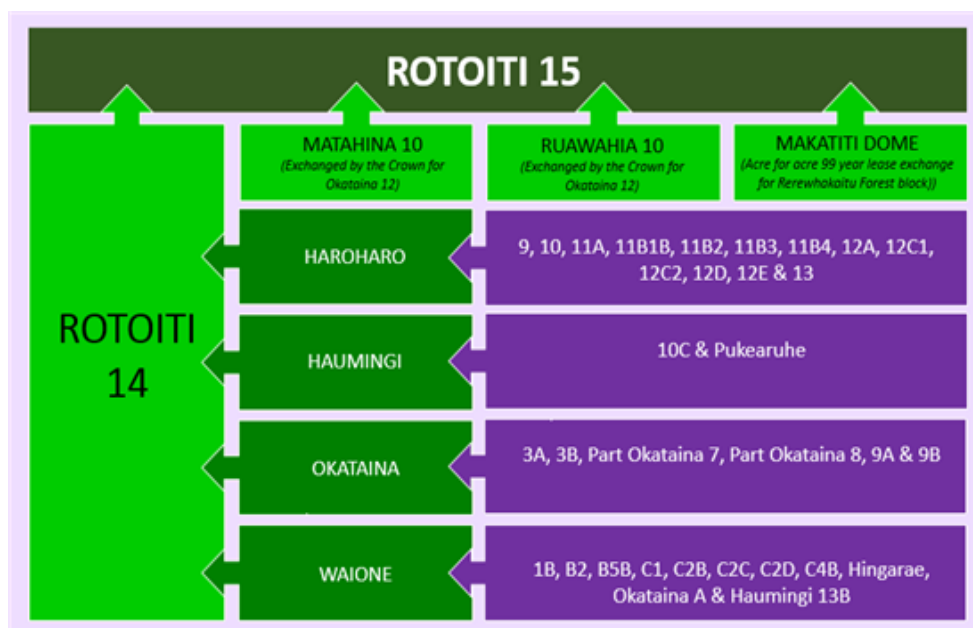
#### *About Rotoiti 15*

Rotoiti 15 is an ahu whenua trust under Te Ture Whenua Māori Act 1993. The trust was originally constituted on 19 July 1970 under the then Māori Affairs Act 1953. The trust's lands are the collaboration of a number of land blocks from Ngāti Pikiao, Ngāti Rongomai and Ngāti Tarawhai hapū lands as well as land received in exchange with the Crown which total 8,425 hectares. Rotoiti 15 followed an earlier collaboration model, Rotoiti 14, which comprised 33 smaller Māori land blocks predominantly relating to four hapū/Iwi:

1. The Haroharo Block – Ngāti Hinekura, hapū of Ngāti Pikiao;
2. Haumingi Block – Ngāti Te Rangiunuora, hapū of Ngāti Pikiao;
3. Okataina Block – Ngāti Tarawhai; and
4. Waione Block – Ngāti Rongomai.

Subsequently, Rotoiti 15 was constituted following a request from the Crown for more lands to be added to the Okataina Scenic Reserve. A number of block owners agreed for various portions of the lands to be included in Okataina 12 along with Part Rotoiti 14, the Crown Block. The exchange of Okataina 12 and Part of Rotoiti 14 for equal sized land areas – Ruawahia X and Matahina X – enabled the trust to utilise the land for economic development while maintaining cultural and environmental responsibilities.

**Diagram 10: Rotoiti 15 Trust Collaborative Entities**



(Source: Rotoiti 15, 2015)

The trust has interests in two dairy farms – one in the Pongakawa area and the other in a joint venture in Te Puke. It has also invested in Kiwifruit orchards, the Rotoiti Forests and it has two portfolios worth a combined \$2.6 million in the share market. In 2015, the trust invested in another collaboration initiative with Ngāti Pikiao and other Te Arawa entities in Manuka honey in conjunction with the Department of Conservation.

Rotoiti 15 has a total land base of 8,425 hectares, 11,971 shareholders with over 50% of shareholders living in the Bay of Plenty Region. The Rotoiti 15 total assets in 2014 were worth \$27.2 million with \$1.16 million in liabilities and they generated a net profit of \$899,542. In 2015, the asset base increased by 4% to \$28 million while the net surplus increased by 18% to \$1,065,598. Also in 2015, the Rotoiti 15 trustees appointed an active general manager which helped improve performance. Hence by many accounts, Rotoiti 15 has enhanced its economic performance inter alia, through building good governance and active management capacity and through adopting organisationally and implementing today, a successful collaboration model that includes investing in further collaboration ventures.

### *Governance and Management*

Rotoiti 15 has six competent trustees who govern the trust and its assets on behalf of its owners. The trust has a rotation policy that ensures elections are held every two years for up to two trustees and the board appears to adopt good governance principles in the governance of the trust. The trust also recently employed a fulltime active professional manager to manage the affairs of the trust which proved to be an effective strategy. Hence Rotoiti 15 adopts good governance and active management principles as well as tikanga Māori which provide an effective framework for collaborating, governing and managing effectively.

### *Process and outcomes of collaboration*

According to the Rotoiti 15 Trust website and informants, the impetus for collaboration in the 1970s was necessity - as a strategy to ensure the lands were maintained in hapū and iwi ownership. Many of the smaller land blocks had outstanding rates and the District Council threatened land confiscations to pay the rates. Collaboration enabled the trust to establish significant scale and to lease the lands for plantation of forestry to support the demand from the Tasman Pulp and Paper Mill in Kawerau. Furthermore, Forest and Bird wanted greater areas of Pikiāo lands for conservation purposes which also contributed to the collaboration opportunity. Collaboration in this case highlighted the strategic leadership and innovative vision of Ngāti Pikiāo leaders at the time to sustainably ensure and balance land retention and utilisation.

A Rotoiti 15 informant stated that the Pikiāo leadership in the 1970s had the mana and ability to mobilise the people to consider collaboration as the only viable option. The intergenerational vision and expectations of the leaders moreover were critical in terms of collaborating out of necessity and by being pragmatic. Any benefits would not be immediate but long term. Accordingly, in 1971, the trust leased some of its land to Tasman Pulp and Paper Mill knowing that the benefits would not come to fruition until decades later. This foresight and vision paid off when in 2014, Rotoiti 15 prioritised Kaumātua by distributing \$847,775 or approximately 80% of the trust distribution money in Kaumātua grants. Most of the 2015 distribution money also went to Kaumātua. The other grant areas include education, Marae, community organisations, Churches and other grants.

### *Key insights for Māori enterprises*

In terms of governance and management capacity, Rotoiti 15 informants affirmed that competent and visionary leadership, good governance and pro-active management were and are critical to assess

viable collaboration options particularly when a crisis is at hand such as the Local Council threat to confiscate lands for unpaid rates. Moreover, pragmatic leadership was critical in terms of 33 separate land blocks having 33 separate share registers, 33 accounts, 33 governance and management structures, and so forth. Whereas collaboration allowed the 33 trusts to unite and share accounting, secretarial, advisory services, information and resources, to build scale for collective investments and procurement, to leverage their influence, lift their performance and collaborate more effectively on social, economic, environmental and cultural outcomes.

It is not surprising then that some of the trust's values include: Kia tu maia – we are courageous and Kia ngatahi te whakaaro me te wehi – we believe in working together which includes encouraging and embracing collaborative thinking and action. From the outset then, the Rotoiti 15 trust had implicit and now explicit vision, goals and strategies to encourage wealth creation through collaboration among themselves and with other Ngāti Pikiao and Te Arawa Māori trusts and incorporations as well as other organisations.

The Rotoiti 15 example also shows that there is generally a high level of support and agreement that collaboration is a viable strategy to help Māori land trusts and incorporations achieve the scale and capacity necessary to compete within industries and sectors in which they operate. An express desire among Rotoiti 15 to move along the value chain, and to accept more risk and to expect more in return was also noted by the fulltime manager. The Rotoiti 15 informants affirmed the desire to occupy and own the value chain in which they operate for example, in the forestry industry, to have their own harvesting crew rather than just supply the land for the forest.

Rotoiti 15 trustees even noted that viable models for collaboration are important and they are willing to support smaller land blocks. However, a decision among Māori owners to be brave, to embrace reasonable risks, and to be willing and committed are required to collaborate successfully.

Some of the barriers that Māori enterprises experience when considering collaboration, good governance and active governance and management in respect of the Rotoiti 15 trust include:

- (i) trustees being risk averse;
- (ii) a culture of conservatism where leaders are complacent with farming and forestry rather than diversifying into other sectors;
- (iii) managing a large ownership base

- (iv) inactive or little to no governance and ineffective management capability for other organisations;
- (v) silo thinking where support services are happy to keep Māori land trusts fragmented; and
- (vi) control of one's own processing capacity and market opportunities as much as possible.

## 7.4 Poutama Trust

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### *About Poutama*

Poutama was established as a charitable trust in 1988 for the purpose of promoting Māori business development. Poutama is one of the few remaining (and long-standing) formal providers of financial assistance to Māori enterprises outside of the traditional institutions. Poutama defines a Māori enterprise as one which is 50% or more owned by a Māori person or Māori people.

Poutama's assistance is funded from investment income generated from a capital fund originally contributed by Government and Māori. Poutama's connection with Government is the provision in the trust deed for the Minister for Māori Development to appoint (and remove) Poutama trustees. Outside of this however, the Minister and the Ministry of Māori Development have limited power to intervene in the operations of Poutama.

Poutama services include business advice, business grants and facilitation services (Poutama Trust, 2012). In terms of advice, this is delivered by a small team of business advisers employed by the Trust who travel extensively to assist Māori businesses. Grant funding assistance comes in three main categories:

- (i) Putea Kimihia (business investigation), which enables businesses to explore and develop innovative ideas to strengthen and grow their business;
- (ii) Putea Tipuranga (business growth), which enables existing businesses to purchase products and/or services that will help their business grow; and
- (iii) Putea Whakaako (business training), which enables an existing business to gain relevant skills and management support through short courses and expert advice.

Poutama actively facilitates information sharing and collaboration among Māori enterprises and with international markets through support for overseas market research, expos and Māori enterprise trade missions. With an annual budget of \$1.9 million, around 50 percent of this is allocated to Māori enterprises through its business grants and the balance is for advisory services, governance and operations. Poutama's strategy to assist Māori enterprises and to grow the Māori economy which relies on working collaboratively with other providers of enterprise assistance.

### *Governance and Management*

Poutama is a charitable organisation with five trustees. The Chief Executive of Poutama takes a managing director role by being both on the board (governance) and being Chief Executive (manager). Poutama operates under a charitable trust deed that sets out the six principle purposes of the trust and the eight ancillary purposes which include, inter alia,:

1. investigating and overseeing commercial projects,
2. seeking financial assistance,
3. disseminating of information to Māori involved in commercial projects, and
4. developing the expertise of Māori managers in commercial projects.

Hence Poutama adopts good governance and active management principles, even with the CEO being a managing director while the other 4 trustees are independent governors, which appears to provide an effective framework for governing and managing effectively.

### *Process and outcomes of collaboration*

Poutama has supported the formation of Haukai, a coalition of over 40 Māori food and beverage enterprises including micro and small businesses, entrepreneurs and innovators, trusts, incorporations and iwi asset holding entities. Haukai has five main groupings:

- i) Indigenous NZ Cuisine Cluster;
- ii) Mīti (red meat cluster);
- iii) Mīere (honey cluster);
- iv) Moana (seafood cluster); and
- v) Miraka (dairy cluster).

While at varying stages of development, all five clusters have the potential to substantially advance the value of Māori international trade. Many of these enterprises are already actively cooperating on market research, trade visits, offshore marketing, and supply and distribution agreements. Poutama believes it is only skimming the surface of the latent potential that exists to achieve coalescence among Māori enterprises. Poutama is focusing its efforts in supporting collaboration in three sectors:

- i) Miraka through the Kawerau milk plant;
- ii) Mīere through the Mīere Coalition; and
- iii) Mīti through Tūhono Whenua (red meat group).

The project to establish a Kawerau-based geothermal-powered milk processing plant aligns with the government's goals for the Māori and the regional economies. The plant will provide an alternative milk processing facility for Māori farms and will stimulate the development of dairy sheep and dairy goat farming. It will also help to develop the Eastern and Central Bay of Plenty's economic position through increased employment and business opportunities.

The purpose of the Mīere Coalition is to deliver sustainable returns to Māori through the optimal utilisation of their land and people resources. The Mīere Coalition is a collaboration of Māori enterprises with an interest in beekeeping and the production and distribution of honey domestically and internationally. Poutama, along with other organisations, including Te Puni Kōkiri, Callaghan Innovation and Plant & Food Research, has actively supported the Mīere Coalition as a vehicle for raising awareness, knowledge and participation by Māori in the honey industry. To that extent, the coalition has been successful in drawing Māori into an industry, which has to this point had limited Māori involvement.

Tūhono Whenua—the Red Meat Group—is a coalition of Māori sheep and beef farmers and allied stakeholders whose purpose is to achieve sustainable returns for owners through collaboration. At its core, Tūhono Whenua is based on the premise that scale and collaboration will provide value to Māori land owners. One of the concepts for instance is to treat all Māori farms as a single farm. Achieving this kind of synergy is a significant challenge, but Poutama believes that there is considerable value for owners in the 'one-farm' philosophy. This includes:

- i) higher productivity through increasing farm efficiency and consistent quality;
- ii) reducing costs through economies of scale and scope; and
- iii) offering the market competitive quantities and prices through scale.

#### *Key insights for Māori enterprises*

The Poutama example shows that there is generally a high level of support and agreement that coalescence/aggregation is a viable strategy to help Māori enterprises achieve the scale and capacity necessary to compete within industries and sectors in which they operate.

Poutama noted on recent market visits to Asia that large scale buyers are interested in certainty of supply, quality product and competitive prices indicating market opportunities.

On the supply side, there is an express desire among Māori enterprises to move along the value chain, accept more risk and also to expect more in return. Poutama believes that a viable model for collaboration exists, but a decision among Māori owners to commit to this is needed.

Some of the barriers that Māori enterprises experience when considering collaboration in respect of the Haukai clusters include:

- i) existing supply agreements;
- ii) a culture of conservatism;
- iii) access to finance;
- iv) deficiencies in Māori entrepreneurial capabilities; and
- v) control of its own processing capacity and market opportunities.

## **7.5 Te Kaha Gold JV**

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### *About Te Kaha Gold*

Te Kaha Gold is a joint venture company comprising six Māori land blocks in the East Coast town of Te Kaha where gold kiwifruit orchards are grown. Previously, the land was in maize, with low returns to land owners. Kiwifruit was identified by then local Māori Trustee representative Timi Wī Rūtene as offering better returns to owners. The Māori Trustee then coordinated owners, investors and trustees in order to advance the idea of a joint venture among several land blocks.

Te Kaha Gold was established as a joint venture company around 2002. Kiwifruit was a way to increase returns and provide employment for locals. A spray contracting company was formed as a result of the JV, which provides jobs for locals and others during peak demand.

### *Collaboration*

The land owners contributed their land and outside investors were found to match the value of the land so the JV was 50:50 which gave owners comfort that they retained control of the venture. JV partners meet quarterly in Te Kaha to review progress and agree future plans. Individual land block trustees also meet and walk through the orchards.



There is a crystallisation clause in the joint venture agreement which allows land owners to buy out the incumbent investors in 10-15 years time and to assume management of the orchard. Each land block in the JV is run separately and in their own way, but they work well together. There is robust discussion, but no major difficulties in working together. In 2014, Te Kaha Gold won a sustainability award with PGG Wrightsons. A key part of this award was the fact that Te Kaha does not draw water illegally.

### *Governance and Management*

The Māori Trustee (now Te Tumu Paeroa) is the responsible trustee for 14B2, plus three trustees representing land owners. Te Tumu Paeroa has provided excellent service throughout the JV. The Opotiki Packing and Cool Storage group (OPAC) is contracted by the JV as orchard manager because they are professional, have a proven track record and are paid market rates to produce similar results for Te Kaha Gold. Kiwifruit is marketed and distributed via Zespri.

There is no intention by 14B2 trustees to assume active management of the orchard. Many owners live away from the land and it would be difficult to maintain oversight without living there. Another land block is managed independently, by the land owners themselves, not OPAC and they may have a different view of the JV to 14B2. Still, Te Kaha Gold adopts good governance and active management principles (although 14B2 is managed professionally by Te Tumu Paeroa) which provide an effective framework for collaborating, governing and managing effectively.

### *Economic performance*

The switch to kiwifruit produces far greater returns than maize and the JV works very well as all parties share a common goal for the venture to be economically successful. PSA (bacterial kiwifruit vine disease) has caused some impact with 2015 being the first year of negative returns, but regrafting to a new gold variety will come into full production in 2016, with positive returns expected.

### *Key challenges*

Beneficiaries: Keeping in contact with beneficiaries when they are living away from the rohe is a constant challenge which may be addressed in part through technology, with website access. There is low turnout at AGMs however. Fragmentation of ownership interests will increase costs and logistics of maintaining owner engagement.

Water: Water access and use is a major issue in Te Kaha for all land owners and users. The orchard relies on rain water and on-land supplies. They do not draw water from a nearby stream, and there is no irrigation, but they are considering getting a resource consent for drilling for water.

Succession: There is a desire for younger members to join as trustees, but it requires people who can take time off work, travel and meet much of their own costs.

Initial perceptions among locals and land owners was that the JV put the land at risk, but it was structured to avoid this situation. In addition, the trustees erected large sites by the road to assure locals 14B2 still owned the land, but that it was part of a JV.

Lack of initial knowledge: Initially, the trustees did not know about kiwifruit. Industry experts were engaged to provide advice, which has proven invaluable. Regular walk-throughs on orchards helps trustees keep up to date on the latest issues, trends and future plans.

Limited returns to owners: Dividends are limited to \$10,000 pa to build up sufficient reserves to buy out investors in future years. Some contributions to the marae and workers are also made.

#### *Key success factors*

The JV relies on the industry expertise of OPAC and Zespri, two locals who in particular are knowledgeable industry experts and contribute generously in this regard. Outside investors and maintaining the matching value between land value and investor cash contributions are other key success factors.

A shared commitment to work together for the economic good of all partners in the JV, and values of respect, kindness, and generosity among all involved are also important. Trusting relationships with Te Tumu Paeroa, the orchard manager and Zespri are critical to ensure the orchard is well run. The trustees receive excellent information on current issues, forecast cash flows, returns and production from Te Tumu Paeroa and OPAC so they can govern effectively.

### *Future plans*

The JV has limited contact with Te Rūnanga o Te Whānau a Apanui and the Opotiki District Council. Water is the major issue for the region. Future investment options include growing the orchard and/or investing in other areas.

## **7.6 Zespri Ltd**

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### *About Zespri*

Zespri is the world's largest kiwifruit marketer and is responsible for 30% of the global volume of kiwifruit. The company emerged in response to specific economic conditions during the late 1980s, which operated as a catalyst for the New Zealand kiwifruit industry to change its business model from an unstructured competitive model to a single desk model.

Prior to 1988, Kiwifruit supply was much greater than global demand with rapid orchard expansions and large crop volumes. The value of the New Zealand dollar and interest rates were also high, while kiwifruit prices were at an all-time low. During such conditions, individual growers competed with each other driving prices and returns lower.

In 1988, faced with this industry crisis, New Zealand kiwifruit growers lobbied Government for a "single desk" model of operation. As a result, the New Zealand Kiwifruit Marketing Board (NZKMB) became a single desk operator on behalf of New Zealand kiwifruit producers. It had (and continues to have) a monopoly to purchase, distribute and market kiwifruit for New Zealand producers in all international markets except Australia (Van Den Dugen et al, 2011; Kilgour et al., 2007).

In 1996, the NZKMB created the Zespri brand to distinguish New Zealand kiwifruit from other kiwifruit overseas that used the name kiwi (Van Den Dugen et al, 2011). In 2000, the Kiwi Industry Restructuring Act 1999 came into effect and replaced the NZKMB with Zespri (Van Den Dugen et al, 2011).

The single desk model creates an export monopoly for kiwifruit produced in New Zealand. Zespri is required to buy all export standard kiwifruit that is offered by growers (Kilgour et al., 2007). Zespri

then trades to other countries (except Australia) under the Zespri brand on behalf of producers (Beverland, 2001).

Zespri is a limited liability company under the Companies Act 1993 with producers owning tradeable shares in the company. Only producers, trustees or employees may own Zespri shares (Zespri Constitution, cl 4.2). As at 31 March 2015, Zespri had issued 121 million shares to 2,085 shareholders (Annual Report 2015). Shareholders only have voting rights in proportion to their kiwifruit production (Zespri Constitution, cl 20A.2). Therefore shareholders without production cannot vote, and producers without shares are unable to vote – hence new producers should seek to purchase shares in order to have voting rights.<sup>viii</sup>

Zespri also operates the ZESPRI System- to inspect the kiwifruit supply chain from orchard to market, particularly as a measure for quality control regarding environment, hygiene and ethical trading practices.

#### *Governance and Management*

Zespri is governed by a board of eight directors, with a wide range of experience including corporate governance, industry knowledge and financial expertise. Zespri employs around 386 employees globally and is managed by an executive team of eleven managers. The organisation appears to adopt good governance principles, with the board of directors exercising a strategic function, and the executive team managing the day to day operations. Hence Zespri adopts good governance and active management principles which provide an effective framework for collaborating, governing and managing effectively.

#### *Process and outcomes of collaboration*

As noted earlier, economic conditions created a need for the kiwifruit industry in New Zealand to change which included collective lobbying to the New Zealand Government to establish a single desk model. The single desk model provided a unified grower-owned platform based on a brand-value marketing strategy (Beverland, 2001).

Former Chairman, John Loughlin, claimed that the change to a single desk model had moved the New Zealand kiwifruit industry from a fringe to a billion dollar industry.<sup>ix</sup> He claimed that Zespri's focus

on research, development, innovation, market excellence and productivity has meant that the New Zealand kiwifruit industry could reach \$3 billion yet also use less land resources than under the previous business model.

Some producers were of the view that the single desk model “is the only way”. In particular, they noted better organisation and coordination under a single interest to get the best price for New Zealand kiwifruit. They also opposed a competitive bid by Turners and Growers because it threatened the benefits of the collective model (Van Den Dugen et al, 2011: 14).

Other producers criticised the autocratic nature of the single desk model, where the industry was regularised without any choice by producers who favoured a competitive model (Van Den Dugen et al, 2011).

#### *Key insights for Māori enterprises*

The Zespri example shows that a single desk model can provide benefits for individual organisations by reducing competition, providing greater control of the economic environment, and by creating scale that was not available under the previous competitive model.

Prior to the change in business model, oversupply and competitive behaviour caused prices and returns to decrease. Implementation of the single desk model and supporting infrastructure enabled producers to take advantage of collective bargaining power to maximise sales revenue and to create a consistent strong brand value.

Producers are not in agreement however, about the benefits of the model. Some favour the collective benefits created by scale and common interest while others prefer the freedom of a competitive model.

## **7.7 Fonterra Ltd**

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### *About Fonterra*

New Zealand’s dairy industry started in 1814 with the first cattle imported by early European settlers. Interestingly, Taiwhanga, the first Māori convert to Christianity in Kerikeri, invested in a garden which by 1826 was producing fruit and vegetables including vines, peach trees and an acre of wheat. Taiwhanga subsequently developed a dairy farm at Kerikeri and by the end of 1835, Taiwhanga was

making butter which he sold for prices ranging from a shilling to two shillings and sixpence a pound. Hence some historians allege that Taiwhanga was New Zealand's first commercial dairy farmer (Stenson and Olssen, 1997). By 1846 however, just six years after the Treaty of Waitangi was signed, the first dairy exports were sent overseas.

The first dairy farmers' co-operative (where production resources are pooled and members farm jointly) was created in Otago in 1871 – the first of more than 400 co-ops to be established throughout New Zealand. Refrigeration in 1882 opened new markets to New Zealand's agriculture industry and, as a result, substantial trade to the United Kingdom developed, with the UK becoming New Zealand's largest export market until the 1970s.

By the turn of the century, most dairy factories in New Zealand were owned by farmers' co-operatives, and by the 1930s there were more than 400. Some began selling their products overseas but it was difficult so in 1923, the Government established the Dairy Export Produce Control Board (the Dairy Board) to control all dairy exports.

In a little more than 10 years, the New Zealand Dairy Board became the world's largest dedicated dairy marketing network. The Dairy Board gave farmers power to access new markets and to earn better returns for their products. Consequently, the dairy industry grew and prospered. Farmers co-operatives began joining forces to become more efficient, aided by improved technologies in transport and refrigeration which included whole milk collection by tanker from 1951, and the cooling of milk on-farm which was introduced in 1955. By the 1960s, 400 co-operatives had merged to become 168.

In the 1960s, the emergence of the European Economic Community removed many of the commercial and trade benefits New Zealand once depended on. The New Zealand dairying industry had to transform itself into an international, competitive business or wither. The industry then began to diversify both its markets and product ranges.

By the 1980s, the Dairy Board had 19 overseas subsidiaries and associated companies, rising to 80 by 1995. The New Zealand Dairy Board had become the world's largest dedicated dairy marketing network. The industry consolidated further and by 1996, there were only 12 dairy companies.

At the same time as expanding its overseas markets, new products were developed to improve returns to farmers. New Zealand's competing dairy co-operatives were forced to work together for the first time when the Government transferred the Dairy Board's assets to them in 1996. By the end of 2000, more than 95% of the industry was represented by two major companies – New Zealand Dairy Group and Kiwi Co-operative Dairies. Two smaller co-operatives, Westland and Tatua, held the remaining 5 %.

In July 2001, 84% of New Zealand farmers voted to accept the merger of the New Zealand Dairy Board, New Zealand Dairy Group, and Kiwi Co-operative Dairies. This included rolling in the New Zealand Dairy Board's operations with those of the merging co-operatives. The merger was achieved in October 2001 and a new company, Fonterra Co-operative Group Limited, was established.

### *Governance and Management*

Fonterra has a board of thirteen directors – 9 dairy farmers elected by supplier-shareholders and 4 independent directors appointed by the other 9 - who provide leadership and strategic direction for the company. While this board is larger than an average company, it still appears to operate within good governance principles and therefore still operates effectively. The management team comprises eight senior managers that work together to ensure that Fonterra's business units are operating well and serve the 16,000 or so staff around the world.

As a co-operatively owned company, Fonterra is governed by four external groups:

1. New Zealand Dairy Farmers: Fonterra is owned by over 11,000 dairy farmers who are spread throughout New Zealand. These Fonterra shareholders represent 95% of New Zealand's dairy farmers.
2. Fonterra Board of Directors: There are 13 directors on the Board of Directors. Nine are elected by shareholders and the rest are appointed by the Board.
3. Shareholders' Council. The Shareholder's Council looks after Fonterra's shareholders. It is made up of 35 shareholders representing 35 wards all over New Zealand. The Council operates independently of Fonterra and its main responsibility is to make sure the needs of supplier shareholders are recognised by the Board.
4. Milk Commissioner: the Milk Commissioner is appointed by the Shareholders' Council to mediate any disputes between shareholders and Fonterra.

**Diagram 11: Fonterra Governance**



(Source: Fonterra, 2015)

Hence Fonterra also adopts good governance and active management principles as an effective framework for collaborating, governing and managing effectively.

#### *Process and outcomes of collaboration*

Through the merger of the co-operatives in 2001 Fonterra has become New Zealand's biggest company and the world's largest dairy exporter accounting for one third of all international dairy trade (Fonterra 2013).

The co-operative approach has been successful in the following ways:

- i) By owning the whole value chain, farmers have received good wholesale prices;
- ii) It has reduced the threat of foreign dairy giants by wiping out most of the competition;
- iii) Obtaining competitive advantages from Fonterra's large scale, and years of dairy experience and scope of milk processing, ability to manufacture high quality milk products, and its distribution and marketing networks;
- iv) Fonterra has developed a core competency of a fully integrated supply chain system, which has been replicated and leveraged in overseas markets; and
- v) Farmers have been able to reinvest the proceeds and make their farms some of the most efficient in the world.



Some of the negative outcomes resulting from the creation of Fonterra are:

- i) Fonterra like other dairy co-operatives focuses on primarily relatively low value commodities. Prices for dairy commodities tend to be volatile. Although Fonterra has kept pace with other large co-operatives around the world, publicly listed dairy companies like Nestle, Danone and Kraft make and sell dairy products with much higher margins. Growth in capital expenditure has been greater than selling and marketing expenses reflecting a focus on production rather than on consumer-led design which has driven products to move up the value chain;
- ii) The co-operative model has made it difficult to access outside capital to fund growth. While the likes of Nestlē have been growing rapidly, the growth of Fonterra has been relatively slow with most of the profits going back to farmers and their farms;
- iii) The farmer shareholders tend to judge the value of their investment in Fonterra (wrongly but understandably) by the price they are paid for raw milk. Certainly, they are very keen to have all surpluses returned to them when milk prices are low, thereby stunting Fonterra's ability to consistently invest in developing new products and new markets;
- iv) By tying profit distribution so heavily to the raw milk prices, it distorts the investment signal in favour of production and away from market and product development, areas that may pay steadier and larger dividends over the long term;
- v) Fonterra's board has 13 directors: 9 dairy farmers elected by supplier-shareholders and 4 independent directors appointed by the other 9. So the board's expertise is unavoidably and heavily weighted towards milk production and processing. A wider range of talent is required to successfully grow higher value businesses.
- vi) Continuing with the present co-operative structure will result in continued farmer control of the milk supply, in line with effectively all peer group countries. However, this needs to be balanced with potential increases in growth and profit from a restructure of the business.

### ***Key insights for Māori Enterprises***

The Fonterra example shows that a mega-merger can provide benefits for Māori enterprises by reducing competition, providing greater control of the economic environment, and by creating scale that was not available under the previous competitive model.

If Māori enterprises however, are after a financial stake in higher value dairy businesses, the Fonterra example illustrates the underlying limitations of the farmer-shareholder business structure which includes access to finance and a production focus rather than a consumer-led strategy required to grow higher value businesses.

To ensure that the shareholders achieve their investment objectives in a co-operative, they must first agree on a strategy which must in turn drive the business structure, not the other way around. With Fonterra, the strategy is at odds with its structure.

## 7.8 Miraka Ltd

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### *About Miraka*

Miraka is a limited liability company under the Companies Act 1993 and is New Zealand's only Māori majority-owned and controlled dairy company which formally opened in 2011. Miraka is now a well-established dairy-processing industry in New Zealand with strong values founded on the cultural beliefs of its Māori land trusts and incorporations. Miraka is located at Mokai, 30km northwest of Taupō in the central North Island, and is unique within the dairy industry by using sustainable and renewable geothermal energy and state-of-the-art manufacturing processes. Miraka is the first company in the world to use renewable electricity and steam to process milk powder.

Steam and power for the milk drying process come from another Māori-controlled enterprise - one of the Tuaropaki Power Company's geothermal power plants, across the road from the \$90 million Mokai factory. Tuaropaki Power is 75% owned by the Tuaropaki Trust, an ahu whenua trust under the Te Ture Whenua Māori Act 1993.

The Miraka milk supply comes from 100 local farms within an 85km radius of the factory at Mokai which highlights the importance of geographic proximity and gives Miraka farm-fresh advantage and results in superior quality products. In a year, the Miraka plant can process over 250 million litres of milk from 55,000 cows. It can turn out eight tonnes of whole milk powder per hour. The range of Miraka quality products has a global reach to more than 23 countries including in North, Central and South America, the Caribbean, North, East and West Africa, the Middle East, North, South and South East Asia, Australia and the Pacific.

**Diagram 12: Miraka Milk Powder Product Example 2016**



#### *Governance and Management*

The strategic partners and investors of Miraka include Te Awahohonu Forest Trust Ltd, Vinamilk, a leading milk manufacturer and dairy products enterprise in Vietnam, and Global Dairy Network who bring experience and knowledge in dairy sales and marketing internationally. The company is 19% owned by Vinamilk - Vietnam's biggest dairy company - which chose Miraka as its first ever foreign investment.

Miraka is governed by a board of directors made up of the chair who is an astute accountant, the CEO and chair of Vinamilk, another accountant, an independent and a representative from Te Tumu Paeroa. Miraka also has a very competent and professional management team made up of the CEO, a general manager of operations, chief financial officer, general manager development and innovation, general manager supply chain, and general manager milk supply, who all have their own expertise in relevant areas including the general dairy industry. Sectoral expertise and capacity were critical for the Miraka directors and managers as well as general governance and management capacity according to the Miraka informant.

Miraka is also governed and managed by tikanga Māori and mainstream values that underpin the interconnected relationships of the collaborative partners with the natural world that sustains and nourishes their well-being. The vision of Miraka is 'nurturing our world' which reflects a global

outlook and is founded on strong values that ensure sustained prosperity for present and future generations including excellence, kaitiakitanga, integrity, tikanga and innovation.

Miraka then has an intergenerational view of business where they focus on the long term and have a shared vision of sustainable business practices that ensure future generations enjoy the benefits of today. Miraka states that they are kaitiaki (guardians) of the land which will not be sold but passed on through the generations (Miraka, 2016).

The legal structure of Miraka is significant. Suppliers and business partners are left in no doubt as to the company's cultural identity and good use is made of Mokai marae to introduce new people to the enterprise. However, the wharekai (dining facility) at Mokai marae burned down in 2015 which resulted in a rahui (restriction on the use of facilities) over the marae complex until the wharekai rebuild which is set to be completed in 2017. Still, Miraka is strong on Māori values and big on environmental sustainability, but the key difference between it and other dairy companies is the attitude of its supplier-shareholders to the land.

Miraka's shareholder-suppliers contribute a significant amount of the raw milk the factory needs. The rest comes from other Māori trusts and private farmers attracted by the margin above the Fonterra price and the fact that there is no requirement to take up shares.

Historically, farming in New Zealand has centred on improving the capital value of the farm with an eye on an eventual sale, but that's where Miraka departs from convention. The fact that its shareholder-suppliers will not sell their land means they are insulated from the ups and downs of the farm real estate market which, like the housing market, sometimes gets overheated. Hapū lands are to stay forever in hapū hands which is the underpinning philosophy. How the rest of the market rides its ups and downs then is really not an issue for the Miraka owners. Hence Miraka adopts good governance and active management principles as well as strong tikanga Māori values which provide an effective framework for collaborating, governing and managing effectively.

### *Process and outcomes of collaboration*

Miraka is owned by a group of 6 Māori trusts and incorporations:

- i) Wairarapa Moana Incorporation,
- ii) Tuaropaki Trust,
- iii) Waipapa 9 Trust,
- iv) Hauhungaroa Partnership,
- v) Tauhara Moana Trust, and
- vi) Huiarau Farms.

Miraka chairman Kingi Smiler appears to have been the driving force behind the establishment of Miraka. The Miraka project was eight years in the planning and was the result of Māori organisations with significant land assets and farming operations combining forces to get a better return on capital. The idea of setting up Miraka outside Fonterra had its genesis in 2005 when Wairarapa Moana Inc. was doing some work with AgResearch on how it could get more value from its milk. Miraka chair Kingi Smiler stated that ‘by having more direct contact with customers over the long term, a structure like Miraka presented a better value opportunity’ (Gray, 2013). Smiler noted that ‘Miraka is fundamentally driven by the vision and strategy of participating in the value chain in a direct sense and having more control over a niche opportunity.’ Smiler added: ‘It’s unique in a cultural sense but not in a business sense.’ Smiler continued: ‘We are probably the only [company] to be profitable in its first year of operation. That’s what makes us different.’ (Gray, 2013).

The Miraka informant also stated that collaboration took much time, energy, patience and numerous coffee conversations which were about managing egos, helping others see the benefits of collaboration, and building trust, readiness and capability, among other matters.

### *Key insights for Māori enterprises*

A commitment from six organisations as well as the partners Te Awahohonu Forest Trust Ltd as noted above, Vinamilk, and Global Dairy Network to work together has been critical to the collective success of Miraka who made a profit in their first year in 2011. The Miraka example also shows that there is generally a high level of support and agreement that collaboration is a viable strategy to help Māori organisations to achieve the scale and capacity necessary to compete within industries and sectors in which they operate.

In terms of governance and management capacity, the Miraka informant affirmed that competent and visionary leadership, good governance and pro-active and professional management within a particular sector – in this case the dairy sector - are critical to assess viable collaboration options. Moreover, pragmatic leadership was critical in terms of bringing the six land blocks together over an eight year period and negotiating through the various concerns and mediating through the leadership egos thus promoting an understanding of the collective picture and building trust, capability and a commitment to collaborate.

It is not surprising then that some of the company's values include an intergenerational view of business where they focus on the long term and have a shared vision of kaitiakitanga and sustainable business practices that ensure future generations enjoy the benefits of today given the land will not be sold but passed on through the generations. To this end, the formation of Miraka Ltd as a limited liability company where its shareholder-suppliers will not sell their land means they are insulated from the ups and downs of the farming real estate market which is a significant difference to other dairy companies in New Zealand.

The sequence for successful collaboration among Māori organisations moreover, starts with good governance and active management as Smiler noted: 'Once you know what you're doing in terms of your sector business then you start looking for friends.' Hence capacity building in the governance and active management space is critical in the collaboration journey *before* engaging on building relationships for effective collaboration.

## 7.9 Te Hiku Development Trust

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### *About Te Hiku*

Te Hiku Iwi Development Trust (Te Hiku) is a not-for-profit organisation established in 2013 to implement a social pact between iwi of Te Hiku o Te Ika a Māui and the Crown to promote iwi development in Te Hiku, called the “Te Hiku Social Development and Well Being Accord” (the social accord).

The social accord was developed as part of the Treaty of Waitangi settlement process to address the Crown's historical failure to ensure meaningful participation by iwi in social and economic development within the Te Hiku rohe. The social accord was signed on 5 February 2013 by three of the five iwi of Te Hiku - Te Rarawa, Te Aupouri, and Ngāi Takoto and the Prime Minister and other Ministers. Ngāti Kurī subsequently signed on 7 February 2014.

The social accord signatories include key Government agencies which are committed to working collaboratively on social and economic development needs and priorities of the Te Hiku iwi. The Crown contributed a one-off grant of \$812,000 to each Te Hiku iwi to participate in the social accord. The social accord is underpinned by a series of relationships at three main levels:

- i) An annual taumata rangatira hui between Te Hiku iwi governors and Crown Ministers;
- ii) Kaupapa clusters between Te Hiku CEOs and Government agency CEOs; and
- iii) Memoranda and contracts between Te Hiku providers and Government agencies.

The Te Hiku Iwi Development Trust has produced two major reports as part of its work on the social accord:

- i) Te Hiku Well Being Report: Te Oranga o Te Hiku (Te Hiku Iwi Development Trust, Ministry of Social Development, & Te Puni Kōkiri, 2014); and
- ii) Te Hiku Iwi Development Trust Social Accord Priorities Report (Piripi & Henwood, 2015).

The Te Hiku Wellbeing Report stands as a comprehensive reference document on the historical and contemporary development state of Te Hiku iwi. It is based on Government and Iwi statistics on a range of social and economic indicators. The process in producing this report challenged agencies to reconstitute their data to align with Iwi rather than regulatory boundaries. Among agencies, Statistics

New Zealand made a significant contribution while other agencies found it more difficult to meet the iwi expectations for data.

In the Te Hiku Wellbeing Report, wellbeing is defined as *orangatonutanga* which includes a framework comprising seven key outcomes:

- i) Whānau ora – a secure standard of living;
- ii) Hauora – healthy lives;
- iii) Mana Māori – being culturally strong;
- iv) Mātauranga – education and skills;
- v) Whai rawa – sustainable economic security;
- vi) Tū rangatira – respected and safe leadership; and
- vii) Whare āhuru – being well housed.

The Te Hiku framework is to be utilised by iwi and the Crown to identify problems, collaborate on solutions, and measure progress in meeting the needs and priorities of Te Hiku iwi.

In the Te Hiku Social Accord Priorities Report, Te Hiku sets out iwi-defined priorities in three main areas:

- i) maximising Te Hiku potential (social and economic);
- ii) lifelong learning; and
- iii) mana oranga.

The report challenges agencies to redesign policy and programmes so that they better align with Te Hiku needs and priorities rather than emphasising priorities of agencies. While agencies might agree with the intent, subsequent action and results in this direction have been slow to materialise.

### *Governance and Management*

Te Hiku is governed by representatives from Ngāi Takoto, Te Aupouri, Ngāti Kuri and Te Rarawa, with provision for Ngāti Kahu to join the collaboration. There are two representatives from each of the 4 fully participating iwi. When considering the Te Hiku example, there appears to be different layers of governance at work. While Te Hiku has its own board of 8 trustees, an overarching strategic function is provided by Te Kupenga (the collective of iwi chairs and chief executives of the five iwi in the rohe). Te Hiku serves an operational function in respect of the management and implementation



of the social accords and initiatives that flow from the accords. Therefore the overarching strategic governance appears to originate with Te Kupenga, but should in theory be aligned with the governance decisions exercised through the Te Hiku trustees. Still, Te Hiku appears to adopt good governance and active management principles as an effective framework for collaborating, governing and managing effectively.

#### *Process and outcomes of collaboration*

There are two main levels of collaboration that are relevant in this case. Collaboration among the five Te Hiku iwi is the first level which has strategic (e.g., Te Kupenga) and operational (Te Hiku trust) elements. The second level is collaboration between Te Hiku and the Crown. Te Hiku iwi chairs and Crown chief executives meet regularly under a forum called Te Kupenga. The focus of Te Kupenga is on strategic collaboration among Te Hiku iwi. Te Kupenga is an important mechanism for sustaining iwi relationships which were inevitably tested through the Treaty of Waitangi settlement processes but it also acts as a forum for defining collaborative action.

There is some tension to be resolved between Te Kupenga and Te Hiku Iwi Development Trust about their respective roles in advancing the social accord. Yet the social accord affords Te Hiku iwi mana to influence Crown policy and agency programmes to better meet iwi needs. Beyond the Te Hiku boundaries are interconnections with other fora, including, for example, the local community (e.g., the ‘Make It Happen Te Hiku’ project) and the Taitokerau iwi chief executives forum, which is inclusive of other northland iwi.

The Te Hiku Iwi Development Trust’s work is supported by three of the four iwi that have settled Treaty of Waitangi claims with the Crown - Te Aupouri, Ngāi Takoto and Te Rarawa. Although Ngāti Kurī has also settled with the Crown, it is considering other ways in which to contribute to the social accord. Ngāti Kahu who are yet to settle their Treaty of Waitangi claims with the Crown has opted against involvement in the trust to date.

#### *Key insights for other Māori enterprises*

Key success factors in the Te Hiku case include:

- i) commitment from iwi and agencies to work together;
- ii) the formation of Te Hiku Development Trust;

- iii) the compilation and reporting of information and evidence on iwi needs and priorities;
- iv) ongoing dialogue with agencies and Ministers to modify Crown policy and programmes.

A key barrier has been finding officials with the right mind-set and influence to realign policy and programmes so they accord with Te Hiku priorities. Some agencies have been willing to support Te Hiku, yet others have not acted fast enough or they believe what they are doing now is sufficient hence the lack of political will and good faith in some areas.

Demonstrating value from collaboration between Te Hiku iwi and the Crown has been hard to measure, yet iwi members' expectations for results are constant and immediate for iwi leaders and members involved in this process.

#### *Future collaboration*

Some of the challenges and opportunities for further collaboration include:

- i) There is a need to increase the capacity of Te Hiku iwi to progress the social accord initiatives which includes sector specialists and policy capability;
- ii) Clarity and focus on the roles of Te Kupenga (iwi entity chairs and CEOs) and Te Hiku Iwi Development Trust in progressing the social accord;
- iii) Developing solid business cases for Government on how they can better align policy and programmes with Te Hiku iwi needs and priorities;
- iv) Addressing the disconnect between post-Treaty of Waitangi settlement iwi trusts and their asset holding companies which have a commercial mandate;
- v) Better ways of measuring and accounting for the results of collaboration between Te Hiku and the Crown.

## **7.10 Iwi Collective Partnership**

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### *About ICP*

The Iwi Collective Partnership (ICP), is a limited liability partnership collaboration model within the fishing and seafood industry initially between 12 North Island iwi. In 2015, 2 Iwi subsequently joined ICP with another one joining in 2016 with others interested. The ICP is a multimillion-dollar global seafood joint venture that was officially launched in 2010 at Te Pakira Marae in Rotorua, although the 12 initial iwi collaborated as an unincorporated collective of iwi fishing interests since 2007. The ICP collaboration model is the largest collective of iwi involved in the fisheries sector and is made

up of interests from, inter alia, Nga Rauru, Ngāi Te Rangi, Ngāti Awa, Ngāti Manawa, Ngāti Porou, Ngāti Ruanui, Taranaki Iwi, Ngāi Tai, Te Rarawa, Ngāti Tuwharetoa, Whakatohea and Te Arawa.

ICP delivers seafood products to markets in New Zealand, Australia, the Pacific Islands, South Korea, China, Japan, Singapore, Russia, the United Kingdom and the United States. ICP carries out its business on a global scale in partnership with New Zealand's leading seafood companies including Sealords, Aotearoa Fisheries Ltd, Moana Pacific, Sanford, Pelco and Tahi Marine.

ICP manages more than 15,000 tonnes of fish caught annually or the annual catch entitlement (ACE) on behalf of the iwi. ICP are 50/50 partners in a joint venture with Aotearoa Fisheries Ltd catching, processing and marketing 2,000 tonne of premium inshore species. ICP are also one-third owners in Port Nicholson Fisheries, a company that catches and exports 200 tonne of live lobster annually to China, and is another Māori entity collaboration model to watch in the future. The business is 100% iwi owned with Parininihi ki Waitotara (PKW) and Ngāti Mutunga (Chathams).

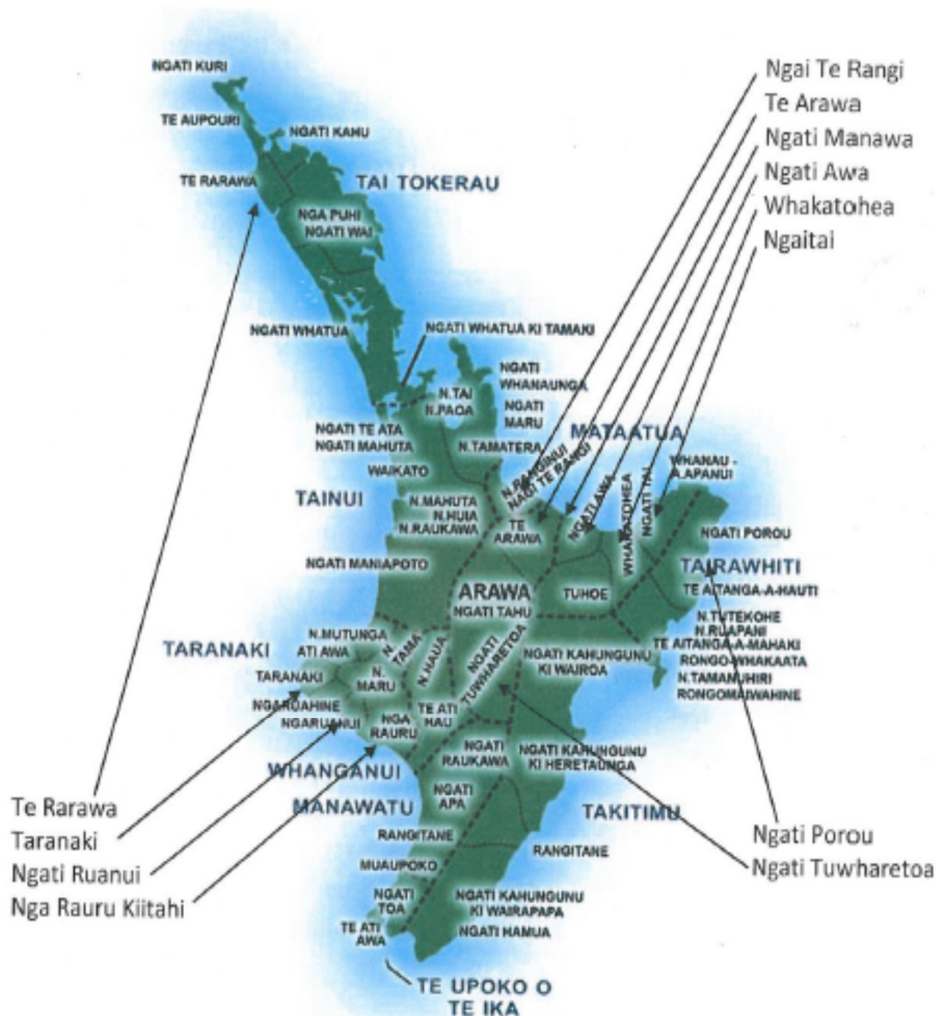
Today, ICP membership is made up of 15 iwi from various locations throughout the North Island. Twelve of the iwi are formal shareholders in the ICP while the remaining iwi supply ACE to the ICP through ACE supply agreements (iwi members). Table 9 contains a list of all 14 iwi members, their regions and status within the ICP.

**Table 9: ICP Iwi Collaboration Groups 2013**

Iwi	Region	Status
1. Te Arawa	Bay of Plenty	Shareholder
2. Ngāti Tuwharetoa	Bay of Plenty	Shareholder
3. Ngāi Te Rangi	Bay of Plenty	Shareholder
4. Whakatohea	Bay of Plenty	Shareholder
5. Ngāti Awa	Bay of Plenty	Shareholder
6. Ngāi Tai	Bay of Plenty	Shareholder
7. Ngāti Manawa	Bay of Plenty	Shareholder
8. Ngāti Ruanui	Taranaki	Shareholder
9. Nga Rauru	Taranaki	Shareholder
10. Taranaki Iwi	Taranaki	Shareholder
11. Te Rarawa	Northland	Shareholder
12. Ngāti Porou	Gisborne	Shareholder
13. Te Aitanga a Mahaki	Gisborne	ACE Supplier
14. Rongowhakaata	Gisborne	ACE Supplier

(Source: ICP, 2013)

Map 4: 14 ICP Iwi 2015



(Source: ICP, 2013)

*Governance and Management*

ICP encourage and practice good governance and active management in law and fact. The ICP Board consists of six directors elected and appointed by the 12 iwi shareholders. Three directors are appointed by the 3 largest iwi shareholders while the other 3 directors are elected by the remaining 9 shareholders. The current Board is comprised of astute directors with both capacity in the Māori as well as the mainstream world. The general manager of the ICP is Mark Ngata of Ngāti Porou Seafoods hence the expertise and high caliber of both the governance and management personnel.

The ICP values promote collaboration, visionary leadership, tikanga Māori, good governance and active management:

- (i) Whānaungatanga (We are like a family)
  - a. Showing mutual respect and integrity in all we do.
  - b. Building lasting relationships (Kotahitanga) through trust.
- (ii) Manaakitanga (We look after each other)
  - a. Being hospitable is important.
  - b. We support one another.
  - c. Honest and open communication binds us and builds trust.
- (iii) Makohakoha (Using our expertise)
  - a. Consistently high levels of achievement through effective and efficient management.
  - b. We recognize the expertise and efforts of our people and partners.
- (iv) Kaitiakitanga (We are guardians)
  - a. Being an influential steward of the resources is a bottom line.
  - b. It is our responsibility to ensure sustenance for the present and future generations.
- (v) Whakaaronui (Visionary – we are part of the sea and other fisheries and they are part of us)
  - a. We are visionary, creative and innovative.
  - b. We will be proactive rather than reactive towards achieving our goals which requires using our initiative to promote our vision.

Hence ICP adopt good governance and active management principles as well as tikanga Māori values which provides an effective framework for collaborating, governing and managing effectively.

#### *Key insights for Māori enterprises*

The ICP was formed on a desire by its iwi membership to become more active in the business of fishing. The benefits of the ICP to individual iwi membership include to:

- i) Building economies of scale through the collectivisation of iwi ACE;
- ii) Pursuing optimal returns on ACE;
- iii) Creating opportunities that build iwi member capacity, capability and participation within the fisheries sector;
- iv) Improving understanding and capacity to manage risk;
- v) Promoting kaitiakitanga and sustainable practices within fisheries;
- vi) Improving business performance through developing a strategic direction that is realistic, logical, and achievable;
- vii) Sharing of knowledge and experience among iwi members through tuakana – teina principles;
- viii) Attracting fisheries investment opportunities; and
- ix) Attracting opportunities for iwi members to advance participation within the fisheries value chain.

The importance of tikanga was noted by the ICP informant who stated that a number of the ICP iwi members already had a history and tikanga of collaborating such as the Mataatua tribes, and the iwi from Te Tairāwhiti and Taranaki although some historic enmity and tensions existed as well. Following on with tikanga, geographic and cultural proximity were additional success factors for ICP

in terms of bringing the groups together in a natural cultural match as it were. Moreover, the stated agreed tikanga values of manaakitanga, whānaunga, tautuutu, makohakoha and kaitiakitanga are important for maintaining the integrity of the ICP.

The ICP encourages further collaboration opportunities with other iwi who can add value and who themselves appreciate transparency, integrity, respect and trust. In this respect, ICP members are willing share and exchange their expertise among themselves to assist each other to collaborate, govern and manage their assets more effectively.

In terms of effective leadership, a collective pragmatic and strong vision was and is required and much voluntary work was invested initially to bring the groups together which was carried out by some of the ICP leaders. Other significant leadership findings were the importance of maintaining a long term, intergenerational view of the ICP, promoting good relationships through being transparent and accountable, maintaining exceptional and constant communication among the ICP iwi leaders, and building and maintaining trust among the partners.

Another interesting leadership finding was the level of leadership required to bring the collaboration together which, according to the ICP informant, was at the post-Treaty of Waitangi settlement asset holding company level and not the mandated Iwi organisation (MIO) level. The significance of this aspect from the ICP informant was that the MIOs are highly politicized while the asset holding company is about focusing on getting on with the business rather than the politics of commercial fishing hence a commercial and pragmatic, rather than political and perhaps conservative, mindset prevailed.

Developing and investing in capacity building for good governance and proactive management in the commercial fisheries sector is another critical success factor for ICP.

One other interesting finding from the ICP was the importance of having an effective dispute resolution forum and process within the ICP framework although the informant noted their process was less formal. Disputes are inevitable and collaboration models ought to include dispute resolution processes when differences of opinion inevitably arise between partners. For ICP, their process is to go to the marae, and kanohi ki te kanohi – settle challenges and disputes face to face. The ICP informant noted however, that the tikanga and underlying values of ICP do not require a formal dispute resolution process. The partners should have such a relationship of trust that should a dispute

arise, they are able to korero kanohi ki te kanohi at the office or marae if needs be and be able to sort out their differences amicably essentially through tikanga. The informant stressed the importance too of the ICP partners controlling the process not a ‘neutral’ third party such as a mediator. And if the partners cannot come to some amicable decision, then what is the use of being a part of the partnership? The informant mentioned that the ICP has had one major dispute that could have derailed the ICP but they sat down, and mediated their own way through the dispute in numerous hui with their manager sometimes having to come in and facilitate the process but they eventually all compromised for the integrity of the ICP. Such leadership and vision is required in all collaboration agreements for them to succeed for ICP, Ngāti Pikiao for this report, as well as other Māori organisations.



## 8. DISCUSSION AND ANALYSIS

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### 8.1 Key Insights from the Literature Review

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Before discussing some of the key findings from the case studies, this section will revisit some of the earlier key points on collaboration, good governance and active management that emerged from the literature review. The section will also discuss how these apply to the Ngāti Pikiao context.

#### *Collaboration*

Collaboration theory does not have a single definition but provides some understanding about working with others towards a shared goal or managing differences, while also increasing capacity to do something that would otherwise not be possible on one's own. Collaboration is highly flexible adaptable and fluid, depending on the nature of interaction between parties – meaning that not all collaborations are the same.

Theorists have attempted to characterise collaborations on ordinal scales but have not come to an agreement about the key components of collaboration. Despite this, some have explained collaboration as ranging from cooperation to coordination to collaboration; and that they can also range from being competitive to symbiotic.

Collaborations may also vary in nature depending on circumstances. Given the feedback from the Ngāti Pikiao workshop, a Ngāti Pikiao collaboration appears to be (generally) more symbiotic in nature as it would be based on the mutual goals of Ngāti Pikiao organisations to create mutual benefits for Ngāti Pikiao whānau and individuals.

Collaboration theory discusses six motivations to collaborate. Feedback from the first Ngāti Pikiao workshop indicated that foremost among these was to improve collective performance for Ngāti Pikiao, followed by improving efficiency, sharing resources and having greater power and influence as an iwi.

When considering the 382 land blocks within the Ngāti Pikiao rohe and the 155 governance structures – 70 of which are thought to be economically active – there appears to be an opportunity to create a greater symbiotic collaboration from the complex interrelationships between Ngāti Pikiao entities. *He Mangopare Amohia*, also advises that any collaboration should consider collaborations as being more project-specific rather than longer-term (tikanga-based relationships). This might be an important point - as Ngāti Pikiao journeys forward – that whatever efforts are put towards collaborative arrangements and opportunities, the relationship as an iwi is paramount. When that relationship is strained, then the relationship, rather than the collaboration should be preserved and maintained. There are fundamental tikanga principles that underpin that the relationship is paramount and should be placed ahead of collaborative initiatives.

Theory also points to the dynamic nature of collaboration and the use of emergence and adaptive management. Twyford's collaboration model (Diagram 4) provides an example of how emergence can be used to iteratively build trust, increase capacity and iteratively build towards a collaborative solution. In other words, taking small steps, meeting regularly, communicating often and reviewing the current state and direction are ways of building trust between partner organisations and for building a firm foundation for collaboration. As the collaboration progresses, then capacity will progressively build.

### *Good Governance*

Development for Ngāti Pikiao takes place within a wider narrative about self-determination and self-governance for Ngāti Pikiao. The key principle of good governance is that entities must adhere to certain governance obligations and standards - transparency, appropriate board size, board accountability, neutral and dispersed ownership, independent audits and oversight, and shareholder equality. Dr Dalee Dorrough referred to specific universal good governance principles that apply to Indigenous organisations (including Ngāti Pikiao organisations) that include, inter alia, transparency, responsiveness, consensus, equity and inclusiveness, effectiveness and efficiency, accountability, participation, consultation and consent, human rights and the rule of law (Dorrough, 2014).

The principles of good governance however, apply to collaboration as much as they do to individual organisations. If Ngāti Pikiao chooses to progress collaboration further, then the principles of good governance must also apply to other collaborative ventures.

Furthermore, Ngāti Pikiao organisations have a natural alignment and cultural match that are based in whakapapa, tikanga and whenua connections, as well as in corporate and social opportunities. Co-operation and collaboration are therefore natural tendencies. However, in the context of collaboration, it is important to provide an arrangement that follows good practice that enables decision-making processes that are “formal, consensus-orientated, and deliberative” (Ansel & Gash, 2007: 544) that builds trust, commitment, communication and mutuality (Emerson et. al, 2012).

### *Active Management*

Active management in this project relates to effective and direct rather than outsourced management of functions. The literature explains outsourcing as a mode in which organisations extend their boundaries to achieve greater value. However, the literature also notes that outsourcing (or returning functions back in-house) is a strategic decision.

Here the main motivations to outsource include reducing operational costs, increasing flexibility, reducing capital investment and improving quality. Likewise, moving business functions of Ngāti Pikiao trusts back in-house (i.e. returning outsourced functions and actively investing in opportunities) would be a strategic one. Discussions from the first Ngāti Pikiao workshop indicate a willingness to be more active, however it seems that more strategic discussions, identification of real opportunities and then due diligence, are yet to take place – and this may be an appropriate recommendation for next steps.

Now to the case study analyses.

## **8.2 Key Insights from the Case Studies**

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The nine case studies provided several key themes under the areas of collaboration, good governance and active management. While it is difficult to clearly determine some of the themes under one of these three headings, Diagram 10 below attempts to present a “best fit” approach to the themes under the three key areas for this project. It is important to note however, that the themes are not exclusive under each separate category and overlap between the themes and thread together in a similar way to the key collaborative theses of this research.

**Table 10: Key Themes from the Case Studies**

<b>Collaboration</b>	<b>Good Governance</b>	<b>Active Management</b>
<i>Catalyst for Change</i> <ul style="list-style-type: none"> <li>• Crisis</li> <li>• Opportunity</li> </ul>	<i>Proactive Leadership</i> <ul style="list-style-type: none"> <li>• Rangatiratanga</li> <li>• Take reasonable risks</li> </ul>	<i>Capacity Building</i> <ul style="list-style-type: none"> <li>• Professional</li> <li>• General management skills</li> <li>• Sector specific</li> <li>• Cultural - Tikanga and law</li> </ul>
<i>Proximity</i> <ul style="list-style-type: none"> <li>• Geographic</li> <li>• Ideological and Cultural</li> </ul>	<i>Building Relationships of Trust</i> <ul style="list-style-type: none"> <li>• Relationships key</li> <li>• Mana, Integrity and Trust</li> </ul>	<i>Value Chain Strategy</i> <ul style="list-style-type: none"> <li>• Increased involvement in the value chain</li> </ul>
<i>Managing Expectations</i> <ul style="list-style-type: none"> <li>• Inter-generational vision</li> <li>• Balanced development</li> </ul>	<i>Clear Roles and Responsibilities</i> <ul style="list-style-type: none"> <li>• Accountability</li> <li>• Monitor performance</li> </ul>	<i>Improved Performance</i> <ul style="list-style-type: none"> <li>• Adaptable</li> <li>• Diversify</li> </ul>
<i>Time</i> <ul style="list-style-type: none"> <li>• Invest time and resources</li> <li>• Long term view</li> </ul>	<i>Fit for Purpose Effective Form(s)</i> <ul style="list-style-type: none"> <li>• Appropriate Organisation(s)</li> <li>• Dispute Resolution</li> </ul>	

**A) Te Mahi Ngātahi - Collaboration Themes**

*He Take Whakarerekē - Catalyst for Change*

Feedback collected during the case study analyses showed that there was a catalyst event or circumstance(s) that motivated groups to consider a collaborative approach. While there was an underlying motivation similar to those identified in the theory (e.g. greater efficiency or purchasing power), there was also a catalyst that moved discussion to action.

The catalyst took at least one of two forms: a crisis or an opportunity. A *crisis* typically took the form of a threat or a change in the environment or market that challenged the ability of a group's survival

in the business of a particular sector. An *opportunity* was often a market opportunity that enabled a group to gain greater value than what it currently could provide.

Examples of *crises as catalysts for change* included the economic viability of the Te Rua o Te Moko land blocks, potential loss of lands for Rotoiti 15 for unpaid rates, the perpetual threat of low returns for Te Kaha Gold land blocks, the 1988 kiwifruit industry crisis for Zespri, the 1960s emergence of the European Economic Community for Fonterra and the socio-economic challenges of iwi development for Te Hiku. The Iwi Collective Partnership (ICP) moreover, formed in response to a crisis where a collaborative venture was formed to counter the threat of larger competitors in the market and to utilise the collective Allocated Catch Entitlement held by partner organisations better than under the previous model. The same occurred in the case of Zespri, a non-Māori example. Zespri emerged in response to specific economic conditions during the late 1980s that required a different collaborative business model to reposition the New Zealand kiwifruit industry internationally.

Examples of *opportunities as catalysts for change* include Te Rua o Te Moko, Fonterra, Zespri and ICP, who saw opportunities in increasing scale and leveraging the use of their assets. Miraka provides another example of how a gap in the market, and the opportunity to focus on exporting milk powder as a niche product provided the opportunity to create greater value. Rotoiti 15 provides a further example of opportunities providing catalysts for collaboration in addition to the potential crisis of losing the land. For Rotoiti 15, the opportunities were the request from the Crown for more lands to be added to the Okataina Scenic Reserve which resulted in the exchange for equal sized land areas in Ruawahia X and Matahina X, and the 1971 lease with the Tasman Pulp and Paper Mill in Kawerau.

For Ngāti Pikiao, some key questions under this theme are whether the conditions are right to collaborate – what are the current and future crises and opportunities that could act as catalysts for change such as the current review of the Te Ture Whenua Māori Act 1993, general trust law, and even the review of the Incorporated Societies Act 1908, and is there sufficient motivation to collaborate? Feedback from the first Ngāti Pikiao workshop indicates a willingness and aspirations to collaborate. Ngāti Pikiao has been discussing collaboration for some time, but has not been motivated to action perhaps due to a lack of process or another stronger catalyst for change.

The key lessons from the case studies regarding the catalysts for change suggest that necessity through crises or significant opportunities provide the impetus and motivation to move from discussion to

action. A superficial analysis of the current state of Ngāti Pikiao broader self-determination and self-governance aspirations shows that there are socio-economic challenges within the tribe similar to those presented to Te Hiku. There are also growing opportunities for Ngāti Pikiao to collaborate for better leverage of resources which is similar to the situation of Te Rua o Te Moko, Miraka and ICP. However, there also appears to be some expectations from Ngāti Pikiao entities that there should be more substantive opportunities on the table for the tribe to consider.

While Rotoiti 15 provides a credible example and very useful precedent of successful collaboration within 33 Ngāti Pikiao land trusts, the scale queried in this research project suggests collaboration of a greater scale than what is formally and currently operating within Ngāti Pikiao is required (noting that successful formal collaboration models already exist within Ngāti Pikiao and informal collaborations are also common).

#### *Pātata - Proximity*

The case studies also suggest that a degree of proximity of collaborative partner's appears to play a key role in the success of collaborations. There are two elements in this idea of proximity – the first is geographic and the second is ideological proximity. Geographic proximity appears in Te Rua o Te Moko, Rotoiti 15, Te Kaha Gold, Miraka, Te Hiku, Zespri and Fonterra although for Fonterra, it is to a much broader extent. Miraka was a collaboration to serve farms within an 85km radius of the Miraka factory in Mokai which is critical to its success. To some extent, ICP is underpinned by geographic proximity as well (Te Rarawa in the far North being the exception). While the parties in ICP have a wider spread, the core group is comprised of Mataatua, Te Arawa, Taranaki and Te Tairāwhiti. With Mataatua at the centre, this could support a theory that geographic proximity is an important factor.

In te ao Māori, geographic proximity is accompanied by ideological or cultural proximity – which is created through whakapapa connections, similar values and shared histories. In many of the case studies, apart from shared Māori values, there seems to be a finer level of connection. Te Rua o Te Moko has a shared history as blocks within the Ngāruahine rohe along with the Ngāruahine post-Treaty settlement organisation. Three of the blocks are administered by Te Tumu Paeroa who is involved in the collaboration through its management and operations. ICP involves a range of entities that manage various fisheries interests. However, if one considers the same dynamic within ICP as Miraka and Te Rua o te Moko, there is a shared historical connection between the Mataatua, Te Arawa, Taranaki and Te Tairāwhiti tribes as noted above. Te Rarawa is the sole exception to the

geographic proximity theme however, the ICP informant noted that Haami Piripi from Te Rarawa was the chair and a key driver in establishing ICP hence the presence of ideological proximity.

While Ngāti Pīkiao has this foundation in terms of both geographic and ideological proximity, the literature still advocates that emergence, good governance and adaptive and active management be adopted fully to navigate the uncertainties inherent in collaboration.

*He Rautaki Whakawhiti Kōrero me ngā Tirohanga Whāroa - Managing Expectations and Long Term View*

Collaboration and effectiveness achieved through collaboration must be considered in connection with the end users, or those who maintain primary interest in the performance of the individual and collaborating entities. Being accountable through principles of good governance and active management are critical. However, in the process of collaboration, there are additional challenges because of the promise of improved outcomes, effectiveness, enhanced performance and capacity through collaborative partnerships which are often the motivating factors for collaboration.

Leaders need to manage community expectations that an adopted collaboration model and enhanced economic performance will be realised in a short span of time. The strategic governance and management of many Māori organisations, including collaboration entities, often include long-term views and strategies of the future where a 25 year or more view may be adopted. On the other hand, shareholders and some stakeholders such as investment entities often adopt a short term view of business focusing on immediate and measurable returns such as high dividends and 5 year cycles. Hence, managing the expectations of iwi or hapū members, shareholders and even stakeholders is important given the tendency and realistic sustainable strategy of collaboration models for adopting long term views and vision.

Managing expectations of iwi members emerged from the Te Hiku case study. In particular, it was found that demonstrating value from collaboration can be hard to measure, yet iwi members' expectations for results are constant and immediate which can place particular stress and demands on governing effectively the collaboration.

For Te Rua o te Moko, the collective's vision is full utilisation of lands for economic profitability and opportunities to its people which are worthy expectations but require long term views and

intergenerational responsibilities. Rotoiti 15 leaders in the 1970s accepted that any financial benefits would not be immediate but long term if not decades later. For Te Kaha Gold, the leaders did not expect any returns until later as noted by a kaumātua at the time: ‘I don’t expect to [see any money] in my lifetime but I only hope that my grandchildren will see something.’ (Te Kaha Gold Informant, 2015). Te Kaha Gold also clearly stated owner’s expectations as being limited to \$10,000 per annum to build up sufficient reserves to buy out the investors in future years as well as to make some contributions to marae and the orchard workers. The ICP informant similarly noted the shared but long term expectations in terms of benefits.

For Poutama, the expectations of Haukai are promoting Māori business development in the long term. For Fonterra and Zespri, there are high expectations on immediate and maximum returns to shareholders but for sustainability, it is a long term game which requires delicate management of expectations. Earlier in 2016, Fonterra revised its forecast milk prices to be at least 4% lower than the last season as Fonterra responds to ongoing low prices which again is about managing shareholder expectations and reflecting a long term sustainable view of business (Fonterra, 8 March 2016).

Although Miraka was successful in its first year of operation, it is a rare anomaly for any business to make a profit in the first year of operation. As such, there should be limited expectations on immediate collaboration successes and outcomes. Moreover, as noted in the case study, the fact that the Miraka shareholder-suppliers will not sell their land and are in the game for the long term significantly influences the expectations and views of business and its strategies.

Ngāti Pikiao leaders, community members and stakeholders need to work together to ensure that the expectations of future collaboration models are clear given they will include aspirations of improved effectiveness, performance and capacity as well as long term strategies which may be hard to balance and measure, yet tribal members’ and stakeholder’s expectations for results are constant and immediate which will be demanding on the governance personnel. Hence managing community expectations is a key challenge for bringing groups together (and keeping them together) to collaborate which hinges on effective leadership as well as emphasising long term strategies.

#### *Ngā Moemoeā Reanga-rau - Intergenerational Vision*

In a similar manner, case studies also highlighted the intergenerational vision and nature of governance. Māori have historically displayed qualities of intergenerational vision, innovation,



perseverance, flexibility and adaptability. Māori were creative, astute and forward-thinking people who gifted present generations land, whakapapa, cultural identity and similar expectations. It is the responsibility of present generations to preserve and enhance this taonga, now and for future generations. Accordingly, many if not all of the case study groups share an intergenerational vision and focus including the non-Māori organisations. For Te Rua o te Moko, the vision is for the full agribusiness utilisation of lands to return economic profitability and opportunity to its people and it has an intergenerational vision of top quartile business and developing its people in successful agribusiness development. For Rotoiti 15, the intergenerational vision of the leaders was long term benefits for future generations. Poutama was established with an intergenerational vision of promoting Māori business development. An intergenerational vision was also important for Te Kaha Gold with a focus on building up sufficient reserves to buy out investors in future years as well as contributing to the development of the community. The social pact between Te Hiku iwi and the Crown for promoting iwi development favours an intergenerational focus. Fonterra and Zespri also have an intergenerational vision that they inherited from their predecessors of maximum but sustainable returns to shareholders. In a similar manner, the formation of Miraka with its shareholder-suppliers not willing to sell their land highlights their intergenerational vision. For ICP, being the largest collective of iwi involved in the fisheries sector and carrying out its business on a global scale as well as balancing its responsibilities to the people and environment means they too need to adopt an intergenerational vision.

#### *Te Whanaketanga Tika - Balanced Development*

Another key challenge for Māori organisations to collaborate effectively is balanced development objectives. Hall suggested that Māori governance organisations need a balance between at least three dimensions each requiring distinct capabilities:

- i) commercial reality – requires skilled asset governors and managers;
- ii) cultural reality – needs policy makers skilled in tikanga and mātauranga Māori ethics and values; and
- iii) social reality – needs an appreciation that the development of people is as important as capital development (Hall, 1999).

A difficult balance needs to be adopted by Māori leaders who must often balance tikanga Māori against their organisation's corporate strategy, structure and profit margins. This, of course, sometimes leads to outcomes that are at odds with tikanga Māori. Indigenous peoples globally share in a common struggle for balanced development including the right to self-determination through self-government and the right to representation through their own governance institutions as reflected

in articles 3-6 and 46 of the 2007 United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). UNDRIP refers to Indigenous peoples having the right to internal self-determination without threatening the territorial integrity of the nation-state and subject to individual and collective international human rights and good governance principles. Article 3 UNDRIP actually favours balanced development that includes political, economic, social and cultural development which type of development appears to resonate with Māori communities and organisations.

For Te Rua o te Moko, Rotoiti 15, Te Kaha Gold, Te Hiku, Poutama, Miraka and ICP, the previously noted intergenerational vision and long term strategies lend themselves to balanced economic and political but also social, cultural and environmental development as envisaged in Article 3 UNDRIP. Waikato-Tainui and Ngāi Tahu may be useful examples of modern Māori iwi governance organisations that have attempted to successfully balance economic, political, cultural, and social development to successfully deliver outcomes for their communities.

#### B) *Te Mana Whakahaere Tōtika - Good Governance Themes*

##### *Te Pakari o te Arataki Rangatiratanga - Proactive Rangatira Leadership*

A key aspect of any successful Māori enterprise is bringing the respective community together and assisting them to mobilise for a common purpose. In tikanga Māori terms, a rangatira has been defined as one who can weave the group together (Gray-Sharp, 2011). Such a definition of rangatira resonates with this research project for each of the key aspects - effective collaboration, good governance and active management - that directly contributes to enhanced economic performance and balanced development. An 1875 obituary to the Ngāti Porou rangatira, Iharaira Te Houkamau of Wharekahika identified this quality of weaving the people together. Referring to Iharaira and his brother Te Hata, the article stated:

... By them [rangatira] were the people kept united and drawn together; they were a resting place and a shelter for the people; in stormy and troublesome times they were a refuge for the people. If a fire of discord broke out in any place, they were the men to extinguish it and settle dissensions and disputes among their people. (*Te Waka Māori o Niu Tirenī*, (Vol. 12, No. 19, 5 October 1875) at 229.

Dr Wi Repa noted in a 1926 obituary attributes of a rangatira:

The chief is someone who can bind the people at both hapū and iwi level in their endeavours. She is the leader. She starts and finishes tasks and is followed by the people. She is described

as a chief whose chiefly lines are held in regard, increased and distinguished, by other tribes. (*Te Toa Takitini*, (No. 57, 1 May 1926) at 400-401.

Te Arawa rangatira were able to weave and mobilise the people historically for example, Te Pokiha Hemana who brought Te Arawa together during the New Zealand Wars in the 1860s (Cowan, 1987, 223). A further example was when Te Arawa contested the Crown's claims to the beds of the lakes around Rotorua in 1912 (*Te Pipiwharauoa*, (No. 171, August 1912) at 7).

The above examples highlight the importance of effective rangatira leadership who can weave the people together and assist them to effectively mobilise on certain projects such as collaboration, good governance and active management. The ideas of good governance practice and proactive leadership are as important to collaborative governance as they are to simple organisational or iwi governance which involves developing the concept or idea, and the capability required, before seeking collaborative partners. This was the case with Miraka: "Once you know what you're doing in terms of your sector business, then start looking for friends". Strong and proactive rangatira leadership within the respective Māori (and the 2 non-Māori) communities was what mobilised Te Rua o te Moko, Rotoiti 15, Te Kaha Gold and Miraka, as well as the ICP, Te Hiku, Poutama, and even Zespri and Fonterra to move beyond the rhetoric to the reality of effective collaboration.

For Ngāti Pikiao and other Māori entities, this theme suggests that strong proactive rangatira leadership is critical to develop the idea to a state where others will buy in, support and mobilise. Others may not agree with the idea at first, or may want to witness success before agreeing to move to collaborate.

The literature review also discussed the idea of the virtuous cycle, which may support the notion that partners will join once they are clear on the benefits of collaboration. This could be in the form of a solid business case, or in the form of a business that has been in operation for some time. Relationships and collaborations are dynamic, so it is difficult (or impossible) to predict better courses of action for Ngāti Pikiao to take. Suffice to say that strong proactive leadership is required to develop proposals for collaboration, and even to test success before other parties will join the collaboration model. In other words, parties may require real opportunities or a track record of success before even entertaining the possibility to collaborate – success breeds success. Given the fact that Ngāti Pikiao entities have discussed collaboration opportunities for some time, with no firm commitment to it, may

support this point that proactive leadership is a critical factor to mobilise the groups to come together. Proactive leadership is also a key aspect of capacity and capability building for present and future good governance and active management.

*Te Whakatupu Whakapiringa i runga i te Ngākau Pono - Building and Maintaining Relationships of Trust*

Another aspect of proactive and effective rangatira leadership is building relationships of trust between people and collaborating entities which is important for the formation but also the ongoing maintenance of effective collaboration models. The literature supports the notion of tikanga and shared values as a basis for building relationships and successful collaboration models which is important for building and maintaining relationships as well as for creating commitment and building trust between collaborating partners. The literature also emphasises the importance of investing sufficient time and resources into communicating and to building trust and a commitment to a cause and collaboration model.

It may be difficult to create the relationships at early stages however, because of mistrust between groups and high expectations about what collaboration should achieve and the timeframes it should take to deliver success. But what is clear is trust is earned although in the Māori world, whakapapa and whānaungatanga provide an opportunity to assist building relationships of trust but even then trust is not guaranteed. Building relationships of trust takes time which is where geographic and ideological proximity apply in terms of a relationship already being established –assuming it is amicable of course which is not always the case. Even so, trust takes time to build and to maintain for it is fragile and therefore requires a continued investment in time and resources to the relationship.

As noted earlier, Miraka took eight years and many conversations to build Miraka from an idea to a business. ICP took over 3 years to build trust and in the latter stages, approximately 6 months of voluntary labour bringing the various leaders together to consider the idea, planning, a legal structure and then to mobilise and collaborate. For Rotoiti 15, although it appeared the actual time to mobilise and collaborate was not long in comparison to Miraka and ICP, due to the pending crisis of losing the land for unpaid rates, it was noted that there was much trust in the rangatira at the time who had the mana to take reasonable risks and make the decisions to collaborate on behalf of the people which takes time and effort to build and maintain. A similar theme emerged with Te Kaha Gold where it was noted that the Kaumātua and rangatira at the time had the mana to make decisions, take reasonable risks and mobilise the people to collaborate because the people trusted them.

The idea of building and maintaining relationships of trust is supported by shared history, whakapapa and tikanga such as rangatira leadership; as well as geographic and ideological proximity (as discussed above).

#### *Ngā Tūranga Mahi e Mārama ana ngā Kawenga - Clear Roles and Responsibilities*

In effective collaboration, good governance and active management models, roles and responsibilities are important to create a clear sense of direction and to determine a set of mutually reinforcing actions. The good governance literature emphasises that organisations should ideally separate the functions of elected representation (governance) and day to day business management. With the case studies, a separation of governance and management was not always applied fully in each model for various reasons. But most of the case studies now separate governance and management. The literature also supports the ideas that operating in a coordinated manner and reinforcing collective impact was more efficient and effective. Clear roles and responsibilities then are important including for transparency reasons as well as for monitoring performance and accountability.

Some case studies showed that people appear to be cautious about different understandings and the complex nature of the respective collaboration models in terms of roles and responsibilities. For example, Te Hiku apparently has some tension between the iwi chairs and the executives group who defined the collaborative action, and Te Hiku Iwi Development Trust, the organisation, regarding roles and responsibilities. Fonterra has some challenges around the complex nature of the Fonterra organisational structure with the roles and responsibilities of the Fonterra board of directors, the independent Fonterra Shareholders' Council and Milk Commissioners requiring delicate balancing. Te Rua o te Moko includes 5 organisations as an unincorporated JV while Rotoiti 15 has its trustees in governance roles and a separate active manager for day to day operations. Poutama has a CEO as managing director while Te Kaha Gold includes 3 trustees as well as a te Tumu Paeroa representative in a professional trustee role, as well as an OPAC representative as a professional manager of the orchards and Zespri for marketing and distributing the fruit. Zespri has 8 directors for governance and a separate 11 person management team for day to day management. ICP has 15 Iwi with 6 directors for governance and a separate management team while Miraka also has a somewhat complex structure with 5 directors that includes the CEO and chair of Vinamilk who is a strategic partner in Vietnam, an independent and a representative from te Tumu Paeroa. But Miraka also has a very independent, active and strategic management team that includes a CEO, CFO and general managers of operations, milk supplies, development and innovation, and supply chain.

Notwithstanding either the complexity or simplicity of the organisational structure for each case study, what is imperative is that the respective roles and responsibilities of each entity and personnel are clear for, inter alia, transparency and accountability reasons that impact on monitoring economic performance and outcomes. While there is no evidence of impact on outcomes, the tensions and complexities suggest that the discussions about roles and responsibilities in the collaboration are ongoing.

For Ngāti Pikiao, there seems to be some understanding of how Ngāti Pikiao entities fit with each other, and who is to provide leadership. There is a question however about who provides overarching strategic direction for Ngāti Pikiao because of shifts in roles and responsibilities over time. Despite these developments, what is required is simply a conversation between the umbrella organisations and Ngāti Pikiao Whānui to determine and clarify rights, roles, responsibilities and overlaps which speaks to the need for appropriate legal entities.

#### *He Ratonga Ture Whai Take - Fit for Purpose Legal Model*

There are a number of legal models capable of being used by Māori groups to meet their objectives of enhanced economic performance and balanced development. Different legal entities have evolved over time in New Zealand to provide for particular purposes whether for commercial trading purposes (companies); non-commercial administrative purposes (incorporated societies); or asset protection purposes (trusts). There are a number of characteristics, however, that are unique generally to Māori ownership and the development of assets which make it difficult if not impossible for any single entity to meet all of the purposes necessary for the respective Māori group's overall development objectives:

- i) The first characteristic is that settlement and Māori assets generally tend to be owned on a communal/tribal basis on behalf of Māori members derived by virtue of descent. In contrast, ownership on an individual or collective basis on behalf of non-Māori is often derived by subscription or application, which is common in the case of non-Māori assets.
- ii) The second is that Māori governance structures tend to have multiple objectives rather than any single objective, including a political/representative role, a social/distributive function, acknowledgement of some group tikanga function, and a commercial/business function.
- iii) A further characteristic is the place of tikanga or traditional tribal ways of governing and undertaking business and the need to reconcile traditional and modern transactional governance and business values, processes and institutions, as well as transformational governance.

Given such unique characteristics, the structuring of Māori fit for purpose legal entities should generally consider the following challenges (which are not exhaustive):

- i) a separation of the political/representational (governance) roles from business (management, commercial development) and (in some cases) distribution of benefits (social development);
- ii) a separation of asset ownership from trading activities undertaken as part of the business role of the organisation;
- iii) the place of a group's tikanga in the governance and business entity(s);
- iv) the role, office, and general value of Kaumātua (Elders) within the governance and management entities particularly if they do not have commercial capacity then perhaps in advisory roles;
- v) the alignment of the overall objectives, vision and goals of the group with good governance, active management, commercial pragmatism and tikanga;
- vi) systems and processes, both Māori and non-Māori, for accountability, transparency and stewardship;
- vii) investor (both internal and external) confidence and trust in the group's governance entity and other business organisations;
- viii) cultural survival, group identity reconstruction and perpetuation; and
- ix) appropriate dispute resolution fora and processes to successfully resolve the inevitable governance and business challenges that emerge.

Besides the 2 non-Māori case studies, the other entities have and continue to deal with the each of the above challenges regarding fit for purpose legal entities. The 4 trusts of Te Rua o te Moko are ahu whenua trusts under the Te Ture Whenua Māori Act 1993 along with the Ngaruahine settlement entity Te Korowai o Ngaruahine Trust who formed an unincorporated joint venture and established a company under the Companies Act 1993 to carry out the collaborative activities of the JV. The Te Kaha Gold trusts are also ahu whenua trusts as is Rotoiti 15 under Te Ture Whenua Māori Act 1993. But Te Kaha formed a joint venture company comprising these six Māori land blocks while Rotoiti 15 is still functioning effectively as an ahu whenua trust. Poutama is a charitable trust constituted under its own trust deed; Zespri was established under the Kiwi Industry Restructuring Act 1999 and was subsequently incorporated as a limited liability company under the Companies Act 1993. Fonterra or the Fonterra Co-operative Group Ltd in full is a co-operative company under the Companies Act 1993 and the Co-operative Companies Act 1996. Miraka is also a company under the Companies Act 1993 and ICP is a limited liability partnership under the Limited Partnership Act 2008.

Each of the legal entities should be fit for purpose to carry out the particular functions of the respective collaboration groups but each model has advantages and disadvantages. It is likely that no single legal entity will meet all of the purposes necessary for the respective group's overall development objectives so a combination of legal entities that fit the purposes of the collaboration project are likely as is the case for many of the case studies above. For Ngāti Pikiao, the above considerations will usually result in a combination of different types of entities in order to achieve and successfully traverse the numerous objectives required in order to best utilise the assets and to accomplish the collaboration objectives of balanced development but also protect the respective group(s) and other organisation interests. Rotoiti 15 is currently putting up its hand up in terms of leadership and developing a collective investment vehicle for Ngāti Pikiao that focuses on high growth and strategic investments.

#### *Ngā Tikanga Whakatau Raruraru - Effective Dispute Resolution*

A further key aspect of successful self-determination, collaboration and a fit for purpose legal entity that was already alluded to above is the ability of Māori leaders and organisations to amicably resolve disputes internally without having to rely on litigation or external adjudication. The significance of effective dispute resolution is for efficacy and legitimacy to get on with business as it were but also for, inter alia, maintaining amicable relationships of trust between the collaborating parties. Dispute resolution was a vital part of the ICP collaboration model for example, as noted by the ICP informant, who referred to a key challenge that could have derailed the whole investment and how they resolved the dispute albeit informally:

If it ever gets to the point where we cannot sort out [disputes among ourselves] what is the point of having [the collaboration?] ... it is probably at that point it is good to go on our way. ... Let's sit down and have a chat about [the issue(s)] ... lets at least have a face to face conversation (ICP Informant, 2015).

For Te Rua o te Moko, Rotoiti 15, Te Kaha Gold and the Miraka land trusts and incorporations, dispute resolution options should be included in the respective trust orders. Thereafter, further disputes could be resolved either in the Māori Land Court, the Māori Appellate Court or the High Court. In a similar manner, for Poutama, Miraka Ltd, ICP, Zespri, Fonterra and Te Hiku, each entity should have their own internal dispute resolution fora and processes outlined in their respective constitutions or trust deeds although ICP does not have a formal process as noted above.

Dispute resolution for Fonterra is significantly different which is due to the broader context and functions of the co-operative form. Fonterra is a co-operative company who has its own internal processes for resolving disputes. But the Fonterra Co-operative Group Ltd also interfaces with a



Fonterra Shareholder's Council and with a Milk Commissioner appointed by the Shareholder's Council. The independent Milk Commissioner's role is to mediate any disputes between the shareholders and the company. Our researchers were unable to ascertain the efficacy of the process however, the role is important in terms of providing the cooperative's owner's access to an independent person to investigate complaints and settle disputes with the company that are not resolved using the internal procedures hence the importance of having an appropriate forum and process for resolving the inevitable disputes that arise between the collaborating entities.

### *C) Te Mahi Whakahaere Tōtika - Active Management*

#### *Taka Kē - Adaptable*

A further critical aspect of effective governance, management and collaboration is for the board and management to be proactive and adaptable to new developments and to respond accordingly. The world is changing rapidly however some constants for Māori communities are land, people, identity and community although even these areas are changing significantly. To continue to thrive and develop successfully as Māori however, Māori groups must look ahead and prepare for the future by adapting to new knowledge systems, technology, and even new tikanga thus creating their own future.

Legal, political, economic, social, environmental and even cultural developments are not static and unchanging and neither is tribal tikanga. While the principles and values of tikanga Māori are deeply embedded and enduring, they are always interpreted, differentially weighted and applied in practice in relation to particular contexts, giving ample scope for choice, flexibility and innovation. If anything can be identified as originating in and handed down from Māori tūpuna unchanged, it is not any particular social form, such as iwi, hapū, or whanau, or particular practices, such as whānaungatanga and kaitiakitanga but the principle of creative adaptation itself. Constructed to meet the challenges of the present day, the models of Māori governance and business organisations are themselves products of the process of creative adaptation that some Māori ignore. A dynamic society will evolve as it encounters other societies and other knowledge systems and there will also be ongoing maintenance of the customary traditional values and their relevance. Da Cunha's observations are germane in this respect:

Culture is production and not a product, we must be attentive in order to not be deceived; what we must guarantee for the future generations is not the preservation of cultural products, but the preservation of the capacity for cultural production (Da Cunha, 1995).

Each of the Māori case studies are examples of the respective Māori groups' amazing capacity to adapt to changing circumstances by adopting effective collaboration, good governance and active management principles which has enhanced outcomes in every case study.

In a similar manner, Ngāti Pīkiao and other Māori groups need to be adaptable to changing circumstances, technology, and knowledge systems including considering collaboration, good governance and active management on a grander scale if they want to enhance Ngāti Pīkiao development and outcomes. Something has to change for new results and for quantum results, quantum changes including paradigmatic, collective and institutional changes, need to be adapted and adopted. As in the past, Māori have survived dramatic changes of colonisation, urbanisation and now globalisation, individually and collectively, by deploying their capacity for adaptation, on the one hand modifying traditional forms to serve new functions and on the other creatively adapting introduced forms to their own ends and transforming both in the process.

#### *Te Whakapiri Pūkenga - Capacity Building*

An obvious change that needs to occur for Māori communities to meet their development objectives is capacity and capability building particularly in a number of key areas. For active and effective management to occur, management needs to be qualified to carry out its tasks. Hence active management means capacity building particularly in general management and professional skills and knowledge but also with sector specific capacity building as well as tikanga and kawa. Yet another way to build capacity according to the literature is through collaboration.

The case studies demonstrated a desire to increase capacity and capability through collaboration. In particular the collaboration enabled the collective to undertake activities that would not have otherwise have been achieved individually. For example, Te Rua o Te Moko is a joint venture between four land blocks and a settlement entity to increase their economic productivity and enable them to create employment opportunities for their people. By creating scale, Te Rua o Te Moko was able to gain economic benefits (noted above) and also to develop a training programme to build capacity for people to seek training and employment in the dairy industry.

Every Māori case study also engaged leaders and managers with the required capacity in specific areas. Some managers have the required skills while others engage others who have the requisite skills for the respective tasks before them. And for those who do not have capacity, they purchase

and build capacity within which is the significance of the Te Rua o te Moko group who have a successful economic business that also builds capacity through the career pathway in agribusiness. Rotoiti 15 has been building capacity by employing a fulltime and suitably qualified Ngāti Pikiao manager to manage the trust business on a day to day basis. Te Kaha Gold does not appear to have the required capacity yet hence the involvement of Te Tumu Paeroa as a professional trustee, the OPAC orchard manager and Zespri for marketing and distributing the fruit but they have aspirations to develop professional and general governance and management as well as sector specific capacity in these areas. Likewise, Te Hiku and ICP need to develop their respective capacities in at least the professional, general governance and management, and sector specific areas. Poutama, Zespri and Fonterra purchase the required capacity as does Miraka to some extent.

By developing and increasing capacity and capability, Ngāti Pikiao might also be able to broker arrangements similar to ICP and Te Rua o Te Moko. In this manner, it may be able to provide greater specific educational and employment opportunities for Ngāti Pikiao members. Ngāti Pikiao also need to adopt strategies that help to build the required professional, general governance and management and sector specific capacity and, if required, Ngāti Pikiao tikanga and kawa capacity as well.

*Te Whakarahi ake i te tokomaha e ura ana ki ngā mahi - Increased Participation in the Value Chain*

A further key aspect of successful self-determination, collaboration, good governance and active management is increasing the organization's involvement in the value chain from being more than just a supplier of goods. A Rotoiti 15 informant mentioned the importance of being more involved in the value chain citing forestry as an example:

We don't want to work the plantation, we want to own the plantation... [Māori] need to get more into the whole value chain as opposed to the first part only. ... I want to be the supplier, the processor and marketer because that is where the biggest returns are (Rotoiti 15 Informant, 2015).

ICP is another example of utilising collaboration to expand within the value chain of the commercial fisheries sector. By collectivising the annual catch entitlement among the participating fisheries entities, the Iwi Collective Partnership was then able to negotiate better outcomes for their partners. The ICP informant agreed with owning the value chain but made some important distinctions. ICP started off with a similar view that within the commercial fishing industry, they wanted to own every piece of the value chain – owning the assets (ACE), fishing, processing, marketing, exporting and so forth. However, ICP subsequently shifted from wanting to own every piece of the value chain to

investing in key strategic places where it suited ICP such as those parts that provide the best employment for their people because they could not afford to own some parts, or because some areas of the value chain are high risk so they were more selective on which parts of the value chain to invest in but the key is ICP are seeking to be more than just suppliers.

Poutama is about developing Māori enterprises and to grow the Māori economy through, inter alia, Haukai which includes supply, processing, marketing and distribution in the food and beverage value chain. Zespri is a key player in the marketing and kiwifruit industry while Fonterra is the key player in many if not most of the key areas of the international and national dairy industry value chain. Miraka is similar in its particular niche market of exporting milk powder to 23 countries and being more involved in the value chain with their CEO, general manager of operations, general manager of development and innovation, general manager of supply chain, and general manager of milk supply, while Te Hiku is more involved in the socio-economic value chain of the far north Iwi.

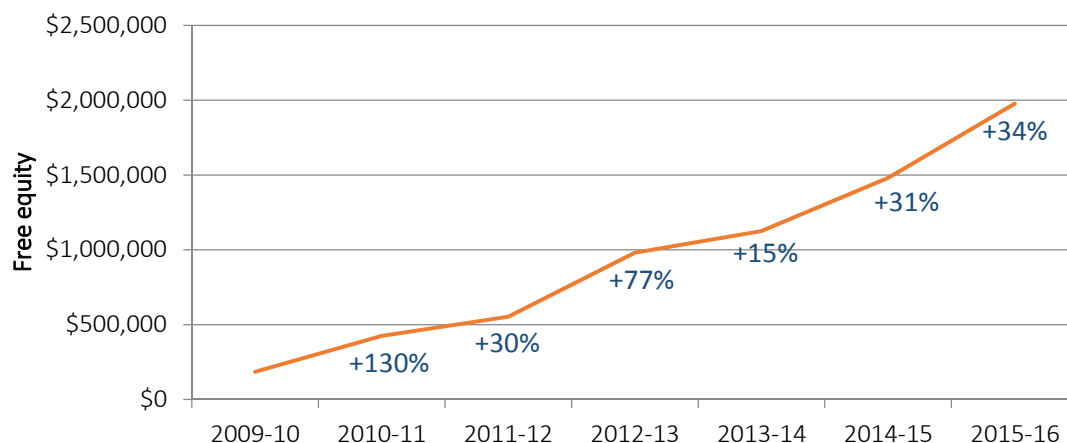
Te Kaha Gold is an exception in that it currently relies on OPAC as orchard manager and Zespri for marketing and distribution but it is anticipated that Te Kaha Gold will be more involved in the kiwifruit value chain in the future.

Another Rotoiti 15 informant noted that for Ngāti Pikiao, Rotoiti 15 is strategically investing in supporting other Ngāti Pikiao trusts regarding employment and development of underutilised and underdeveloped land and they are investing more in value chain such as purchasing a harvesting company so that Ngāti Pikiao trusts can employ Ngāti Pikiao people to harvest Ngāti Pikiao trust forestry resources. Similar developments are critical for Ngāti Pikiao to invest further in key areas of the respective value chains they are currently involved in and in future areas.

#### *Pai Haere Mahi Whakakite - Improved Performance*

Each of the above key themes appear to be causative links to enhanced performance and outcomes. The case studies reported improved performance from adopting good governance, active management (in the main) and effective collaboration models between participating entities. For example, Zespri was reported to have transitioned kiwifruit from a fringe industry through to a billion dollar industry and is now responsible for 30% of the global volume of kiwifruit. Te Rua o Te Moko reported substantial increases in net equity<sup>x</sup> over the six years it has been in operation (see Figure 18).

**Graph 5: Te Rua o Te Moko Net Equity 2009-2016**



(Source: Te Tumu Paeroa, 2015)

Te Rua o te Moko, Rotoiti 15, Poutama, Te Kaha Gold, Zespri, Fonterra, Miraka, Te Hiku and the ICP have all reported improved economic performance which was a result of each entity adopting good governance and active management principles (albeit professional for Te Kaha Gold) and by adopting effective collaboration models and practices.

It is difficult to predict the scale and to substantiate the benefits that Ngāti Pīkiao might receive. However, one would need to identify the specific opportunity, and then make a best informed estimate of the potential value gain and risks involved. Still, there are potential benefits to be gained if Ngāti Pīkiao better adopts good governance and active management principles so they can undertake due diligence on each opportunity for collaboration.

### **Summary**

In summary, the case studies highlighted at least 9 key lessons for effective collaboration to occur:

- i) Collaboration is assisted by a catalyst for change usually in the form of a crisis or an opportunity;
- ii) Geographic and ideological proximity provide a foundation for building relationships and trust for collaboration;
- iii) Strategic communication is important to manage collaboration expectations and to emphasise long term views, intergenerational vision and balanced development;
- iv) Good governance and robust leadership are critical to develop and sustain collaborative action;
- v) Clear roles and responsibilities are essential to monitor collaborative action performance;

- vi) Active management and increased participation in the value chain are critical for effective collaborative action;
- vii) Increased capacity building - professional, sector specific, cultural and adaptable - are significant for effective Ngāti Pūkiao collaborative action;
- viii) A fit for purpose legal form (or forms) is important to perform the intended functions of the collaboration; and
- ix) Appropriate dispute resolution processes are essential to mitigate relationship tensions and to maintain trust in the collaboration investment.

The report will now attempt to provide a pathway forward for Ngāti Pūkiao by drawing together all of the key themes from the literature, workshops, interviews and the case study analyses.

### 8.3 A Pathway Forward on Collaboration within Ngāti Pikiao

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Ngāti Pikiao participants in the 2015 and 2016 Pae Tawhiti hui noted that being able to access collaboration opportunities would require significant activity such as generating a collaboration strategy, gathering better information of the current state (e.g. common expenditure) and then viable Ngāti Pikiao collaboration models would need to be constructed in a business case.

The following section provides an assessment of what might be a pathway forward for Ngāti Pikiao based on the understanding of motivations and aspirations for Ngāti Pikiao. However, life is not simple. The literature on collaboration, good governance and active management paint a complex picture rather than an ideal formula for collaboration. The case studies depict similar findings.

Yet on the face of it, collaboration appears a viable option for creating self-determination and self-governance from the multiple Ngāti Pikiao entities. While the technicalities of fragmented ownership across multiple land blocks and multiple governing entities, under the umbrella of three governing entities as well as post-settlement governance entities is apparent – collaborative governance and active management provide potential solutions to navigate that complexity without specifically addressing the complicating factors of amalgamation (i.e. the merging of multiple entities into a formal legal body).

The literature highlights that improving performance and efficiency are key reasons for collaboration, which aligns with Ngāti Pikiao aspirations from collaboration. Due diligence is still required to determine specific collaborative initiatives that could provide concrete benefits (albeit most probably long term benefits) for Ngāti Pikiao. Ngāti Pikiao needs to seriously consider the good governance and active management of its resources. There will be times when it will make more strategic sense to outsource its functions to third parties (e.g. improved efficiency or expertise) while at other times, it will make more strategic sense to insource the function (e.g. intergenerational capability building or reduction in operational costs). The pathway to self-determination favours the latter option which Ngāti Pikiao entities ought to be aspiring to.

Since the inception of the Pae Tawhiti project in 2015, a number of opportunities have arisen that may provide hope for Ngāti Pikiao that meet their aspirations for collective investment and strategic collective impact for its people. The literature and the case studies conclude that much time and effort

are required to build organisational relationships, a sense of trust, a shared commitment and a common agenda. By building trust and developing collaborative ideas and the capacity to achieve them, a virtuous cycle is created that may assist other Ngāti Pikiao entities to be more confident to support the collaboration model.

Emergence and adaptive management are important for establishing and managing collaborations. Emergence and adaptive management are complex systems however, that require the ability to constantly communicate, reaffirm commitment and vision, and to adapt to changes in environment. As an intergenerational process for self-determination and self-governance, this approach should not be underestimated. Even though the overarching vision is long-term and inter-generational, the active management approach needs to be agile and adaptive to manage changes in views and circumstances. Adaptive management is vital to the ongoing success of a whole-of- Ngāti Pikiao collaboration as much as an initiative-specific collaboration.

An additional underpinning but extremely important factor of this research project has been good governance and robust leadership to undertake collaboration. While governance is typically discussed in respect of iwi leadership or organisational governance, it equally applies to collaborations. Collaborative governance shares the same principles of good governance as a simple organisation. Principles such as inter alia, the size of boards and principles of transparency, responsiveness, consensus, equity and inclusiveness, effectiveness and efficiency, accountability, participation, consultation and consent, human rights and the rule of law are important to the success of Ngāti Pikiao collaboration models and indeed, broader Ngāti Pikiao self-determination.

These elements provide a platform for which Ngāti Pikiao could progress towards collaboration. It might also be useful to consider the collective impact model as a frame for progressing overarching collaborative work, i.e.:

- i) Implement a working group as an initial *backbone* infrastructure,
- ii) Develop and confirm a *common agenda* (as presently understood),
- iii) Develop key *measures of success* for the collaboration,
- iv) Develop an *action plan*, including:
  - a. Developing the longer-term aspirations and infrastructure for the collaborative approach,



- b. Developing a reflexive process for exploring and entering into collaborations together, and
  - c. Identifying and developing immediate opportunities for collaboration,
- v) Develop a process for *continuous communication* among interested entities, wider Ngāti Pikiao entities, and Ngāti Pikiao whānui.

This type of frame is commonly used to manage complex social issues but is based on good collaborative practice. It would also operate effectively by adopting good governance principles as well as considering whether collective assets are managed actively as opposed to passive investments.

In short, Ngāti Pikiao needs to take small steps, meet regularly on the kaupapa, review the current state and direction of Ngāti Pikiao entities and Ngāti Pikiao whānui generally to build trusts between partner organisations and for building a firm foundation for collaboration which will also assist with building both governance and management capacity and capability.

#### **8.4 Challenges to Collaboration**

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Before moving forward, it is also important to note (and address) some of the key challenges to collaboration from the literature, hui participants and the case studies. Collaboration challenges were explored during the first participant hui in April 2015 and subsequent hui. Participants noted the following six key challenges to collaboration:

- i) Attitudes, mind-set and perceptions,
- ii) Communication,
- iii) Leadership,
- iv) Owner engagement and buy in,
- v) Proactive and effective trustees, and
- vi) Strategy, action and information.

Attitudes and mind-sets, both individual and collective, were considered a key challenge to collaboration. Participants noted patch protection attitudes (silos), legacy issues between entities and individuals, jealousy, inability to see the bigger picture and inconsistency between traditional values and boardroom behaviour. Participants also noted legal barriers such as Te Ture Whenua Māori Act 1993 (and its reforms), land title systems, and trust mandate that might limit the ability to collaborate.

However, one trust explained their experience of changing the constitution to accommodate a change in strategic direction which would be an option for other trusts that find themselves limited by their trust order mandate.

Communication was also considered important to bring entities together to improve collaboration, particularly in building shared understanding, trust and commitment to collaborate. Participants noted that while collaboration strategies had been discussed among Ngāti Pikiao entities previously, a specific process for collaboration had not been identified and it failed due to not building a critical mass of support from the entities. Communication and sharing information then were identified as potential key strategies to build awareness and engagement in collaboration this time around.

Leadership was identified as an additional key challenge to achieving improved collaboration and building management governance and capacity. Participants however, approached leadership from a few different angles: building sustainable and intergenerational leadership (see in previous section) and building commitment and a critical mass for collaboration (see above).

Ngāti Pikiao owner engagement and buy-in was moreover, considered critical for major initiatives such as collaboration which are about ensuring that initiatives have the appropriate mandate and to avoid potential disruption. Furthermore, owner engagement and buy-in will assist entities to overcome the previous lack of trust or willingness to work together if owners are encouraging such an approach. Concerns were also raised about owners perceiving that collaboration may result in a dilution of interests, highlighting the importance of reassuring owners that their interests will be preserved in a fit for purpose legal entity such as a limited liability partnership.

Ineffective trustee leadership was identified as another key challenge to building collaboration and management capacity despite a common view that collaboration is positive and that views among Ngāti Pikiao are well-aligned. This concern appeared to be about buying into the idea of collaboration, being risk averse and questioning whether trustees are even willing to commit to the kaupapa of collaboration.

Participants also noted the absence of strategy, action and information to move towards collaboration. As mentioned above, the idea of collaboration had been discussed previously but had failed to move beyond korero in terms of major collaborative initiatives. It was noted that moving to action would help significantly in building trust and commitment to advance collaborative initiatives and should

be an important initial step for Ngāti Pikiao trusts and incorporations which could also assist by reducing risk and ensuring greater success in implementing initiatives.

The key challenges identified in the Pae Tawhiti hui then, can be reduced down to a few key factors:

- i) building a common understanding of collaboration, governance and active management;
- ii) establishing robust leadership for collaboration;
- iii) identifying key actions to move forward; and
- iv) building buy-in from Ngāti Pikiao entities and Ngāti Pikiao whānui.

When comparing these challenges to Kania and Kramer's six conditions for collective impact, there is some alignment. Kania and Kramer's six conditions for collective impact include:

- i) a common agenda or purpose;
- ii) a series of mutually reinforcing activities;
- iii) continuous and open communication;
- iv) backbone infrastructure; and
- v) a shared framework for measuring results (Kania & Kramer, 2011; Wood & Gray, 1991).

The collective impact infrastructure could then operate as an appropriate guide to building a process for collaboration among Ngāti Pikiao entities.

## **8.5 Summary**

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Collaboration, good governance and active management provide a potential platform for enhanced economic performance for Ngāti Pikiao, in line with its aspirations to work better as a collective of entities on behalf of iwi members.

Literature, case study data and hui analyses show a pathway forward for Ngāti Pikiao in the form of key principles for working towards a foundation for effective collaborative action. In addition to these principles, there are a few further important considerations such as data to understand the collective picture; shared strategy and buy-in for working together as a collective of Ngāti Pikiao entities; and providing for intergenerational leadership as part of collaborative governance.

Data is important to understanding the current state and the potential opportunities. Ngāti Pikiao is fortunate in that there is sufficient census data for baseline demographics. This research project has also been able to source the annual reporting information from major trusts within the Ngāti Pikiao collective and was able to access Māori Land Online data. These pockets of data have been sufficient in facilitating the conversation about collaboration and in considering potential for more good governance and active management.

While the general willingness to collaborate among those who have participated in the research is apparent, participants are also cautious that they have discussed collaboration before but with no action taking place. Consequently, there has been some buy-in, but little development of a cohesive collaboration strategy. However, the principles suggested above enable Ngāti Pikiao to consider how to build and utilise strong leadership, forthcoming opportunities and adaptive governance and management processes to build a virtuous cycle of success to build a platform that Ngāti Pikiao entities can progressively buy into, rather than creating a lofty expectation of a collaborative entity that should be delivering extensive benefits to the people from day one.

## 9. SOME FORMATIVE CONCLUSIONS

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### 9.1 Research Findings

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This report focused on the extent to which collaboration, good governance and active management of collective assets within Māori enterprises leads to greater profitability and enhanced economic performance and development of those enterprises. From a Māori perspective, development is self-determined and occurs within a nation-building narrative, which is the building of Māori capabilities to govern themselves and includes building sustainable economic prosperity through inter alia, successful collaborative action.

Collaboration, good governance and active management provide a potential platform for enhanced economic performance for Ngāti Pīkiao, in line with its aspirations to work better as a collective of entities on behalf of iwi members. Ngāti Pīkiao was selected as the main focal case study for this report due to them having a relatively high population for a smaller iwi living within or close to its rohe, a very highly educated population but surprisingly low income levels hence there is a significant gap in the connection between capacity and economic performance. Moreover, Ngāti Pīkiao are represented by 155 governance structures across 382 land blocks, approximately 70 of which are thought to be economically active, and they earn approximately \$16 million in annual revenue. Ngāti Pīkiao enterprises then are generating significant revenue to the local economy. On the other hand, there is much untapped economic potential within a large number of the Ngāti Pīkiao organisations who are either underperforming or their assets and resources are underutilised for various reasons which appear to include, inter alia, ineffective governance, inactive or no management structures, smallness, lack of capacity and vision, and resources. Good governance, active management and effective collaboration are likely to assist these organisations to enhance economic performance and even balanced development.

From the literature, collaboration theory does not have a single definition but provides some understanding about working with others toward a shared goal or managing differences, while also increasing capacity to do something that would otherwise not be possible on one's own. The main compelling reasons for Ngāti Pīkiao collaboration are for sharing resources or intelligence; improving performance; reducing strategic threats; improving efficiency; creating structures or institutions; and

increasing access to power and resources. Feedback from Ngāti Pikiao hui indicated that foremost among these was to:

1. improve collective performance for Ngāti Pikiao,
2. improving efficiency,
3. sharing resources, and
4. having greater power and influence (or self-determination) as an iwi.

When considering the 382 land blocks within the Ngāti Pikiao rohe and the 70 out of 155 governance structures which are thought to be economically active – there is an important opportunity to create greater symbiotic collaborative action to enhance economic performance.

Collaboration is also highly flexible, adaptable and fluid, depending on the nature of interaction between parties – meaning that not all collaborations are the same. According to Collective Impact theory, collaboration comprises five key elements:

1. a common agenda or purpose;
2. a series of mutually reinforcing activities;
3. continuous and open communication;
4. backbone infrastructure; and
5. a shared framework for measuring results.

Ngāti Pikiao entities must also adhere to certain good governance principles that include inter alia,

1. appropriate board size,
2. transparency,
3. responsiveness,
4. consensus,
5. equity and inclusiveness,
6. effectiveness and efficiency,
7. accountability,
8. participation,
9. consultation and consent,
10. human rights,
11. cultural match and
12. the rule of law.

These governance principles apply to effective collaboration models as much as they do to individual organisations hence they must also apply to current and future Ngāti Pikiao collaborative ventures.

Active management in this project relates to direct rather than outsourced management of functions which is a mode in which organisations extend their boundaries to achieve greater value. Ngāti Pikiao indicated a willingness to be more active, however it seems that more strategic discussions, identification of real opportunities and then due diligence, are yet to take place.

The report case studies also highlighted at least 9 key lessons for effective Ngāti Pikiao collaborative action:

- i) Collaboration is assisted by a catalyst for change usually in the form of a crisis or an opportunity;
- ii) Geographic and ideological proximity provide a foundation for building relationships and trust for collaboration;
- iii) Strategic communication is important to manage collaboration expectations and to emphasise long term views, intergenerational vision and balanced development;
- iv) Good governance and robust leadership are critical to develop and sustain collaborative action;
- v) Clear roles and responsibilities are essential to monitor collaborative action performance;
- vi) Active management and increased participation in the value chain are critical for effective collaborative action;
- vii) Increased capacity building - professional, sector specific, cultural and adaptable - are significant for effective Ngāti Pikiao collaborative action;
- viii) A fit for purpose legal form (or forms) is important to perform the intended functions of the collaboration; and
- ix) Appropriate dispute resolution processes are essential to mitigate relationship tensions and to maintain trust in the collaboration investment.

The literature and case study analyses then show a pathway forward for Ngāti Pikiao in the form of key principles for working towards a foundation for effective collaborative action. In addition to these principles, there are a few further important considerations such as data to understand the collective

picture; shared strategy and buy-in for working together as a collective of Ngāti Pikiao entities; and providing for intergenerational leadership as part of collaborative governance.

Hence on the face of it, collaboration, good governance and active management are viable and compelling options for enhancing economic performance and creating self-determination and self-governance outcomes for the multiple Ngāti Pikiao entities and people. While the technicalities of fragmented ownership across multiple land blocks and multiple governing entities is apparent, collaborative good governance and active management provide potential solutions to navigate that complexity. There are other significant barriers such as building a common understanding of collaboration, governance and active management; establishing leadership for collaboration; identifying key actions to move forward; and building buy-in from Ngāti Pikiao entities and Ngāti Pikiao whānui.

In conclusion, effective collaboration, good governance and active management will significantly contribute to Ngāti Pikiao economic outcomes and inter-generational and long term nation-building, self-determination and self-governance which, according to Cornell and Kalt, requires five key elements that sum up much of the key findings of this project:

- i) Stable institutions and policies;
- ii) Fair and effective dispute resolution;
- iii) Separation of politics from business management;
- iv) A competent bureaucracy; and
- v) Alignment with cultural values ('cultural match').

Finally, each of the above findings on effective collaboration, good governance and active management for Ngāti Pikiao are relevant for other Māori organisations seeking to enhance economic performance and balanced outcomes, as well as for nation-building, self-determination and self-governance.



## 9.2. Future Research

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The obvious key areas of future research from this Te Pae Tawhiti project are constructing a specific Ngāti Pikiao business case for:

### 1) Effective Collaboration

- i) generating a collaboration strategy for Ngāti Pikiao;
- ii) gathering better collaboration information of the current state of Ngāti Pikiao entities;
- iii) proposing viable Ngāti Pikiao collaboration models.

### 2) Good Governance

- i) generating a shared good governance strategy for Ngāti Pikiao entities;
- ii) gathering better governance information of the current state of Ngāti Pikiao entities;
- iii) proposing viable Ngāti Pikiao good governance models.

### 3) Active Management

- i) generating an active management strategy for Ngāti Pikiao entities,
- ii) gathering better management information of the current state of Ngāti Pikiao entities;
- iii) proposing viable Ngāti Pikiao active management models.

Another key area of further research from this project is the application of this research more generally for other Māori enterprises including Te Ture Whenua Māori trusts and incorporations (especially in light of the significant implications of the Te Ture Whenua Māori Act 1993 review), Māori trust boards and Rūnanga, Māori pre-settlement and post-Treaty of Waitangi settlement governance entities, Māori commercial enterprises, Māori not for profit organisations, Māori health authorities, Māori education providers, whānau ora groups and other Māori entities. Three possible key examples could be with Te Kotahitanga o Ngā Hapū o Ngāti Tūwharetoa in Taupo, Ngā Pae o Rangitikei in the Taihape Region, and with the new pre-settlement and the post-settlement governance entity for Ngāti Maniapoto.

Development of a series of case studies in collaborative governance and performance would also assist in building the evidence base of successful collaboration across entities. Examples of this might include the Ngāti Porou Miere Limited Partnership, the Nuku ki te Puku programme or the subsequent phases of Ngā Aho Rangahau o Maniapoto, a project to explore the economic potential of lands in

the Maniapoto rohe. Hence copious opportunities and case studies exist to apply and test the report findings in practice.

### **9.3 Implications for Policy and Business**

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One of the key interests of the Te Ture Whenua Māori Act 1993 review is on amalgamating land interests to improve utilisation and economic potential among Māori land blocks. The opportunity presented by this research is that collaboration, when combined with good governance and active management, across reflexive and purpose-built models, can provide strategic scalability. The case studies provided in this report demonstrate that there are already successful models of this type of strategic scalability. As noted above in the research section, there are other emerging examples of collaboration that may provide further examples.

The models provided by collaborative governance, through shared vision and shared management, and a desire to more actively manage business functions, provides adaptive economic development opportunities in the Māori sector. Individually, some Māori enterprises are able to create value, while some cannot due to capacity challenges. Strategic scalability provided through robust collaborative models can build the success of enterprises with capacity and without capacity. It can potentially create efficiencies and build a greater brand of enterprise.

In terms of policy, this research project presents an additional consideration for Māori economic policy and for organisational models that span enterprises in the Māori sector – including post settlement governance entities, Māori land trusts and other Māori organisations. It can also span across sectors to build social sector (or Third Sector) development models that are based around the self-determination and self-governance aspirations of hapū and iwi, but that also deliver on shared aspirations of the broader community.

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## 11. APPENDICES

### Appendix 1: Ngāti Pikiao Land Trusts and Incorporations

The following is a list of some of the Māori Land Trusts and Incorporations under the Te Ture Whenua Māori Act 1993 regime within the Ngāti Pikiao rohe (inclusive of Ngāti Tarawhai and Ngāti Rongomai):

1. Rotoiti 15 Trust
2. Tautara Matawhaura Māori Lands Trust
3. The Proprietors of Rotoma No.1 Inc.
4. Taheke Paengaroa Trust
5. The Proprietors of Waerenga East & West Blocks Inc.
6. Paehinahina Mourea 1 & Tikitere A (Aggregated)
7. The Proprietors of Taheke 8C & Adjoining Blocks Inc.
8. Tokerau A 14B 2 Trust
9. The Proprietors of Pukahukiwi Kaokaoroa 2 Inc.
10. The Proprietors of Okere 1B 3C 3 & Adjoining Blocks Inc.
11. The Proprietors of Waione 3B8 Inc.
12. Rotoiti 3V 3 Trust
13. Haumingi 18 Trust
14. Paengaroa South 5 Trust
15. The Proprietors of Ruahine & Kuharua Inc.
16. Tokerau A4B Trust
17. Paengaroa South 4 Trust
18. Okere No. 1B No. 2B Trust
19. Tokerau A 1B Trust
20. The Proprietors of Tokerau A5 Inc.
21. Rotoiti 6 & 7B Trust
22. Tokerau A14A2 Trust
23. Waipapa 2B2 Trust
24. Rotoiti 6 & 7B1 Trust
25. Rotoiti 17 Māori Reservation
26. Okere 1E Trust
27. Taumanu Land Trust
28. Tokerau A11 Trust
29. Rotoiti 10B Trust
30. The Proprietors of Haumingi 1A2 Inc.
31. Rotoma 2 & 3 Trust
32. Tokerau A3 Trust
33. The Proprietors of Te Karaka 2E & Adjoining Blocks Inc.
34. Paritangi Māori Lands Trust
35. Tokerau A10 Trust
36. Ngātipahiko B1B Trust
37. Waitangi No.2 Trust
38. Rotoiti 9 (Okahu)
39. Tokerau A17 Trust
40. Waitangi 1 Trust

41. Rangiuru Te Maunga Lands Trust
42. The Proprietors of Te Karaka 2E & Adjoining Blocks Inc.
43. Tokerau A4A2 Trust
44. Mangakakareao Māori Reservation
45. Paengaroa South 3 Trust
46. The Proprietors of Okere 1B 3C 3 & Adjoining Blocks Inc.
47. Emery Whanau Trust
48. Rotoiti 3W2 Trust
49. Waipapa 2A Trust
50. Te Tahuna Trust
51. Mourea Papakainga 3E14E2 sub 45
52. Okere 1D Trust
53. Waerenga East 2A 3B 2C Trust
54. Haumingi 17 Ahu Whenua Trust
55. Emery Whanau Trust
56. Aratokotoko Ahu Whenua Trust
57. Okere 3 Trust
58. Haumingi 10 B2 & 10 B3 No.24 Trust
59. Maraetakaroro Lands Trust
60. Te Karaka 1B2B2 Trust
61. Te Kai Ngahu Lands Trust
62. Pukaretu Māori Reservation
63. Te Akau Trust
64. Motutawa 3 Reservation
65. Te Onepoto Trust
66. Waiatuhi Trust
67. Te Karaka No.1A Trust
68. Te Rei & Papakiore Reservation
69. Tautara 21B Trust
70. Haroharo 7B 2B 2B Trust
71. Taheke Papakainga 8B Trust
72. Waione 2B 4B Ahu Whenua Trust
73. Waione Y Ahu Whenua Trust
74. Kuharua 1C1B Māori Reservation
75. Haumingi 3 Ahu Whenua Trust
76. Tutaioweri Māori Reservation
77. Mourea Papakainga 3D Trust
78. Haumingi 3 Ahu Whenua Trust
79. Waione 3B 6B Trust
80. Haumingi 9B1 Māori Reservation
81. Te Taheke 9 (Otamanui) Trust
82. Waitangi 3 Trust
83. Paehinahina No. 2K Sec. 1, No. 2K Sec. 2A No. 2A and No. 2K Sec. 2A No. 2B Aggregated Trust
84. Waione 3B3A1 Springs Reserve
85. Whakakopa Māori Reservation
86. Rakeiao Māori Reservation
87. Otaramarae 4B Lands Trust
88. Motutawa 4 Reservation
89. Rotoiti 1A2B1 Māori Reservation Trust

90. Waerenga East 2A 3B 2A Māori Reservation
91. Waione 2B 2B (Balance) & Lots 1,2 & 3 Ahu Whenua Trust
92. Otaramarae 4A Sec 1,2,3,4,5,6,7,8,9 Ahu Whenua Trust
93. Waerenga East 3 Māori Reservation
94. Haroharo 2C2 (Meeting House Reserve) Trust
95. Waione X Māori Reservation
96. Haumingi 15 (Uenuku Marae) Māori Reservation
97. Taheke Papakainga 11B Māori Reservation
98. Te Taheke 2 (Rangiwhakakapua) Māori Reservation
99. Taheke Papakainga 2B5 Lands Trust
100. Taheke Papakainga 4 (Te Atuarerepaka) Māori Reservation
101. Ngapumanawa A11 Māori Reservation
102. Tapuaeharuru Marae Māori Reservation
103. Mourea Papakainga 3E 14A 1B Trust
104. Mourea Papakainga 3E9 Māori Reservation
105. Mourea Papakainga 3E 10A and others (Trust)
106. Okere No.1C No.3C No.2A Trust
107. Taheke Papakainga 12 (Motuohiwa Island) Māori Reservation
108. Taheke Papakainga 8 (Waitapu) Māori Reservation
109. Mourea Papakainga 3C2 Trust
110. Haroharo 2C3B3A1 Trust
111. Otaramarae 4A Sec 10 Māori Reservation
112. Haumingi 16 Māori Reservation
113. Te Takinga Marae Trust
114. Haroharo 2C3B3A2 Trust
115. Otaramarae 4B Sec 13 Ahu Whenua Trust
116. Waione 2B 3C Māori Reservation
117. Taheke Papakainga 2B2 Lands Trust
118. Rotoiti 1A2A1 Trust
119. Otaramarae 4B Sec 37 Ahu Whenua Trust
120. Otaramarae 4B Sec 33 Ahu Whenua Trust
121. Otaramarae 4B Sec 33A Ahu Whenua Trust
122. Otaramarae 4B Sec 36 Ahu Whenua Trust
123. Otaramarae 4B Sec 18 Ahu Whenua Trust
124. Otaramarae 4B Sec 19 Ahu Whenua Trust
125. Haumingi 10B 7 Trust
126. Otaramarae 4B Sec 35 Ahu Whenua Trust
127. Otaramarae 4B Sec 34 Ahu Whenua Trust
128. Waione 3B3A2 (Urupa) Māori Reserve
129. Taheke Papakainga 9A (Urupa) Māori Reservation
130. Okere 1C3B1 Trust
131. Haumingi 23 Ahu Whenua Trust
132. Otaramarae 4B Sec 23 Ahu Whenua Trust
133. Otaramarae 4B Sec 24 Ahu Whenua Trust
134. Otaramarae 4B Sec 26 Ahu Whenua Trust
135. Otaramarae 4B Sec 27 Ahu Whenua Trust
136. Otaramarae 4B Sec 30 Ahu Whenua Trust
137. Otaramarae 4B Sec 28 Ahu Whenua Trust
138. Otaramarae 4B Sec 25 Ahu Whenua Trust

139. Otaramarae 4B Sec 12 Ahu Whenua Trust
140. Otaramarae 4B Sec 14 Ahu Whenua Trust
141. Otaramarae 4B Sec 15 Ahu Whenua Trust
142. Otaramarae 4B Sec 16 Ahu Whenua Trust
143. Otaramarae 4B Sec 17 Ahu Whenua Trust
144. Taheke Papakainga 2B4 Lands Trust
145. Otaramarae 4B Sec 31 Ahu Whenua Trust
146. Otaramarae 4B Sec 32 Ahu Whenua Trust
147. Mourea Papakainga 3A2 Trust
148. Mourea Papakainga 3E 14F 1A Māori Reservation
149. Te Taheke 3 (Te Huruhuru) Māori Reservation
150. Otaramarae Urupa & Part Otaramarae 1 Māori Reserve
151. Mourea Papakainga 3E 14A 2A and 3E 14A 2C Roadway (Trust)
152. Lot 22 Deposited Plan South Auckland 8855 Trust
153. Lot 16 Deposited Plan South Auckland 8855 Trust
154. Lot 15 Deposited Plan South Auckland 8855 Trust

## **Appendix 2: Dr Dalee Dorough's Good Governance Principles for Indigenous Organisations 2013**

### **UN Permanent Forum on Indigenous Issues Concept Paper on the 2014 theme regarding Good Governance**

Dr Dalee Dorough

2013

#### Introduction

Indigenous peoples have suffered the consequences of exploitation, subjugation, and domination by governments across the globe. Such actions from the colonial era continue. Whether considered individually or as a whole, the elements or principles of good governance have been achieved by very few countries across the globe. Examples of bad governance abound.

Failure to achieve good governance can have devastating consequences. The Economic and Social Commission of Asia and the Pacific (ESCAP) underscores: "Bad governance is being increasingly regarded as one of the root causes of all evil within our societies."

In the context of Indigenous peoples, it is clear that good governance must be achieved at the international, national, regional and local levels. Good governance applies to governments, as well as corporate and other institutions. This includes the governments and institutions of Indigenous peoples.

Universally recognized principles for good governance must be applied and realized. Though such principles may be applied in different ways depending on specific circumstances, these principles must still be applied.

The international community has reaffirmed that "human rights, the rule of law and democracy are interlinked and mutually reinforcing and that they belong to the universal and indivisible core values and principles of the United Nations".<sup>2</sup> Whether considered as part of the rule of law or in their own right, respect and protection for human rights are key principles essential for good governance.

Therefore, good governance must be consistent with the *UN Declaration on the Rights of Indigenous Peoples* (UNDRIP) which affirms the distinct status and human rights of Indigenous peoples.

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<sup>2</sup> *Declaration of the High-level Meeting of the General Assembly on the Rule of Law at the National and International Levels*, GA Res. 67/1, 24 September 2012 (adopted without vote), para. 5: "We reaffirm that human rights, the rule of law and democracy are interlinked and mutually reinforcing and that they belong to the universal and indivisible core values and principles of the United Nations. See also para. 6: "We reaffirm the solemn commitment of our States to fulfil their obligations to promote universal respect for, and the observance and protection of, all human rights and fundamental freedoms for all. The universal nature of these rights and freedoms is beyond question. We emphasize the responsibilities of all States, in conformity with the Charter of the United Nations, to respect human rights and fundamental freedoms for all, without distinction of any kind."

## Principles of Good Governance

In the context of Indigenous peoples, good governance must consist of the following elements or principles which are interlinked and mutually reinforcing: transparency; responsiveness; consensus oriented; equity and inclusiveness; effectiveness and efficiency; accountability; participation; consultation and consent; human rights; and the rule of law.

1. --Transparency means that governments and others must provide adequate information in an easy, understandable form and that such information must be freely available and accessible.
2. --Responsiveness requires governments to serve the best interests of Indigenous peoples, in a timely manner.
3. --Consensus oriented means Indigenous peoples must be an integral part of a broader consensus based on their full and effective participation, in accordance with their status, rights and interests. Good governance can only result from an understanding of the historical, cultural and social contexts of Indigenous peoples.
4. --Equity and Inclusiveness require governments to provide Indigenous peoples the opportunities to maintain, and improve their individual and collective well-being, especially those that are vulnerable, severely marginalized or excluded.
5. --Effectiveness and Efficiency require that government processes and institutions produce comprehensive and concrete results that meet the needs of Indigenous peoples, while respecting Indigenous peoples' status and rights. Also required is making the best, sustainable and equitable use of resources – whether human, technological, financial or natural – and safeguarding the integrity of the environment.
6. --Accountability requires that governments are held to high standards of accountability for their laws, policies, decisions, and other actions affecting Indigenous peoples. Accountability cannot be enforced without transparency and the rule of law.
7. --Participation means that Indigenous peoples be directly and democratically involved, through legitimate representatives, in decision-making that impacts their rights, lives, communities, lands, territories, and resources. In order to achieve full and effective participation, it must be informed and organized. It must ensure the right to freedom of association and expression.
8. --Consultation and Consent requires that Indigenous peoples be involved in a timely manner and with adequate information in a form that is easily understood. Good governance requires respect for free, prior and informed consent of Indigenous peoples, in all situations where such right exists.
9. --Human rights require both respect and protection.<sup>3</sup> In order for good governance to be achieved, the human right to an effective remedy must also be realized.<sup>4</sup>

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<sup>3</sup> E.g., *International Covenant on Civil and Political Rights*, G.A. res. 2200A (XXI), 21 U.N. GAOR Supp. (No. 16) at 52, U.N. Doc. A/6316 (1966), 999 U.N.T.S. 171, entered into force Mar. 23, 1976, article 2(2): "Where not already provided for by existing legislative or other measures, each State Party to the present Covenant undertakes to take the necessary steps, in accordance with its constitutional processes and with the provisions of the present Covenant, to adopt such legislative or other measures as may be necessary to give effect to the rights recognized in the present Covenant.

<sup>4</sup> *Ibid.*, article 2(3): "Each State Party to the present Covenant undertakes:

- (a) To ensure that any person whose rights or freedoms as herein recognized are violated shall have an effective remedy, notwithstanding that the violation has been committed by persons acting in an official capacity;
- (b) To ensure that any person claiming such a remedy shall have his right thereto determined by competent judicial, administrative or legislative authorities, or by any other competent authority provided for by the legal system of the State, and to develop the possibilities of judicial remedy;
- (c) To ensure that the competent authorities shall enforce such remedies when granted.

Office of the High Commissioner for Human Rights, "Good Governance and Human Rights", <http://www.ohchr.org/EN/Issues/Development/GoodGovernance/Pages/GoodGovernanceIndex.aspx>: "The true test of "good" governance is the degree to which it delivers on the promise of human rights: civil, cultural, economic, political and social rights."

10. --The rule of law requires that fair, non-discriminatory legal frameworks are enforced impartially. Public awareness and law reform are required to ensure consistency with and full protection of international human rights, including those embraced by the UNDRIP. Furthermore, states must have an impartial, incorruptible police force and independent judiciary.

A crucial example of the need for equal application of the rule of law and for the protection of human rights is the right of Indigenous peoples to self-determination. This core right of all peoples is regarded as a prerequisite to the exercise and enjoyment of all other human rights.<sup>5</sup> Therefore, member states must equally respect and recognize the right to self-determination of Indigenous peoples in order to protect and promote all of their individual and collective human rights.

#### Discussion of Good Governance at the Thirteenth Session of the PFII

It is proposed that there be three half-day panel sessions focusing upon good governance by member states; good governance by Indigenous peoples; and good governance principles. Such sessions will be organized in order to highlight current conditions, good practices, and identification of necessary reforms toward the full and effective implementation of the UNDRIP. The three panel sessions should include representatives of Indigenous peoples, member states, academics, and others that can accurately illustrate the important principles of good governance and their relevance in the context of Indigenous peoples.

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<sup>5</sup> Human Rights Council, *Report of the Special Rapporteur on the situation of human rights and fundamental freedoms of indigenous people, James Anaya*, UN Doc. A/HRC/12/34 (15 July 2009), para. 41: "The right of self-determination is a foundational right, without which indigenous peoples' human rights, both collective and individual, cannot be fully enjoyed." See also Human Rights Committee, *General Comment No. 12, Article 1*, 21<sup>st</sup> sess., A/39/40 (1984), para. 1: "The right of self-determination is of particular importance because its realization is an essential condition for the effective guarantee and observance of individual human rights and for the promotion and strengthening of those rights."

## **Appendix 3: University of Waikato Ethics Information.**

### **Ethical Conduct in Human Research and Related Activities Regulations**

#### **Appendix 3**

#### **Suggested Application Format**

Section 6(4) of the Ethical Conduct in Human Research and Related Activities Regulations states as follows:

(4) Applications for approval of research related activities must be submitted in the form prescribed for the relevant School, Faculty, department or unit; a format suggested by the University of Waikato Human Research Ethics Committee for this purpose is attached as Appendix 3.

This Appendix contains a template which delegated committees may find useful. However, delegated committees are free to use any application format consistent with the implementation of the Ethical Conduct in Human Research and Related Activities Regulations.



**Application for approval under the Ethical Conduct in Human Research and Related Activities Regulations**



THE UNIVERSITY OF  
**WAIKATO**  
*Te Whare Wānanga o Waikato*

Name\_Dr Robert Joseph\_\_Department\_\_Te Mata Hautū Taketake – The Māori and Indigenous Governance Centre, LAW

Email address: \_\_\_\_\_rjoseph@waikato.ac.nz\_\_\_\_\_ Phone number: 022 070 3275\_

Mailing address: \_\_\_\_\_Te Piringa-Faculty of Law, University of Waikato, Private Bag 3105, Hamilton 3240 1021

This is an application for approval of: (please tick as many as apply)

- Research project involving human participants**
- Course/Paper which involves student projects that collect data from human participants
- Undergraduate student project which involves data collection from human participants
- Master's degree research
- PhD research
- PhD research proposal to move from Conditional to Full enrolment

Supervisor's name: (if applicable) \_\_\_\_\_ not applicable \_\_\_\_\_

Supervisor's approval (signature) \_\_\_\_\_ not applicable \_\_\_\_\_

**Project Title: Te Tetera Kōkiri o te Ata: Optimising Economic Performance of Māori Land Trusts in the Waiāriki Region**

Is this research associated with an external grant or funding?  **Yes**  No

Please specify: \_\_\_\_\_This Research Project is supported by a \$150,000 Grant from Ngā Pae o te Māramatanga Centre of Research Excellence, University of Auckland

- I request approval for this research or related activity and attach all relevant documentation necessary for evaluation under the Ethical Conduct in Human Research and Related Activities Regulations.**
- I am applying under section 10 of the Ethical Conduct in Human Research and Related Activities Regulations Large Random Sample Surveys and Similar Research Methodology and consequently there is no consent form in this application.
- I am applying under section 11 of the Ethical Conduct in Human Research and Related Activities Regulations Field Research and consequently there is no consent form in this application.
- I have read and complied with the Ethical Conduct in Human Research and Related Activities Regulations.**

Principal Investigator's signature : \_\_\_\_\_

## Ethics Committee Action

Should this application be referred to another delegated University Ethics Committee?

Yes  No

Details: \_\_\_\_\_

Does this application also require approval from an external body e.g. Northern A or Northern B Regional Ethics Committee?

Also see Appendix 5.

Yes  No

Details: \_\_\_\_\_

- Approved Convenor's signature \_\_\_\_\_
- Approved with recommendations
- Request modifications Reviewer's signature \_\_\_\_\_
- Approved with modifications Reviewer's signature \_\_\_\_\_
- Forward to University committee Date \_\_\_\_\_
- Copy of approval letter to Research Office for research associated with external grants and contracts

# *Application for Approval*

## *Outline of Research or Related Activity*



### 1. Identify the project

#### 1.1 Title of Project

Te Tetera Kōkiri o te Ata: Optimising Economic Performance of Māori Land Trusts in the Waiāriki Region

#### 1.2 Researcher(s) name and contact information

Dr Robert Joseph (Lead Researcher)

Director, Te Mata Hautū Taketake – The Māori and Indigenous Governance Centre

Te Piringa Faculty of Law  
Waikato University  
Private Bag 3105  
Hamilton

Ph: (07) 838-4466 x 8796

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Fax: (07) 838 4417

Email: rjoseph@waikato.ac.nz

Arapeta Tahana (Lead Field Researcher)

GHA Chartered Accountants & Management Consultants

1135 Arawa Street

Rotorua

Ph: 07 348 3599

021 348 748

Email: Arapeta@gha.co.nz

Jonathan Kilgour (Co-Investigator)

Pare Consulting

PO Box 76

Rotorua 3040

Ph: (07) 3436040

021955339

Email: jonathan@pareconsulting.co.nz

1.3 Supervisor's name and contact information (if relevant)

Not relevant

1.4 Anticipated date to begin data collection

10 February 2015

1.5 Does your application involve issues of health or disability with human participants? If so, please refer to the guidelines as to whether your application needs to be submitted to a Health and Disability Ethics Committee (HDEC) e.g. Northern A, Northern B.

Not applicable

## 2. Describe the research or related activity

2.1 Briefly outline what the project is about including your goals and anticipated benefits. Include links with a research programme, if relevant.

### Research Objectives

The objectives of this research project by Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre (MIGC) at Waikato University and Te Pumautanga o Te Arawa (Te Pumautanga) in Rotorua are to understand the challenges for Te Ture Whenua Māori land trusts in establishing an 'active' governance and management culture within their entities, and to identify pathways towards more 'active' collaborative approaches to managing respective land blocks to improve economic returns.

*Te Teterē Kōkiri o te Ata* refers to the early morning hunt of the Mako shark.<sup>xi</sup> Like the Mako, Te Arawa people hunt for opportunities to feed and nurture their people.

This research is specifically positioned in response to an emerging need for Māori land trusts to consider capability gaps in management; as well as the questions posed by the *He Kai Kei Aku Ringā*<sup>xii</sup> and *He Mauri Ohooho*<sup>xiii</sup> Reports about increasing utilisation of Māori assets. The Māori Advisory Group for *He Mauri Ohooho* emphasised a capability gap in Māori land trust management which is reinforced by data from consultation on employer and tertiary education needs in the Bay of Plenty region. The research aim and objectives are premised on the hypothesis that active management and effective collaboration of assets will enhance the economic performance of Māori land trusts.

An evaluation of projects funded by the Te Puni Kokiri Growing Māori Assets fund highlighted that active management of assets achieved multiple outcomes including an increase in economic performance and a mechanism for inter-generational support of Māori as a potential labour force.<sup>xiv</sup> Other research projects concluded that approximately 40% of Māori land entities are currently developed for productive use but are under-performing which covers approximately 600,000 hectares.<sup>xv</sup> Of the 8,269 Te Ture Whenua Māori land trusts in existence in 2013; 2,158 (or approximately 22%) are located within the Waiāriki region with 5,200 titles covering 313,964 hectares in 5,074 Māori land blocks. This proposal also aligns with the 2014 Bay of Connections Economic Strategy goal to enhance collective asset utilisation in the Waiāriki region. The proposal moreover, aligns with the recommendations of the 2011 Māori Agribusiness Report<sup>xvi</sup>, the 2012 *He Kai Kei Aku*

*Ringa Reports*<sup>xvii</sup> and the 2014 Māori and Indigenous Governance Centre ('MIGC') Literature Review on Māori governance.<sup>xviii</sup>

The 2 key research questions then of this project are:

1. How can active management enhance the economic performance of Māori land trusts?
2. What models of collaboration can Māori land trusts use to enhance economic performance?

This project aims to identify how Te Arawa people, through Te Arawa Māori land trusts under the Te Ture Whenua Māori Act 1993 can seek better opportunities to enhance their economic performance for example through effective collaboration, scaling-up and creating capacity to actively manage and govern Te Arawa trust functions and assets. The project aims to explore how some Te Arawa land trusts that passively manage some of their trust functions and assets might create capacity to move to more active management of their trust functions and assets.

Many Te Arawa land trusts often subcontract or lease management of assets or functions to third parties (often accounting firms) as a way of efficiently engaging the right capability to achieve their economic development goals. While this practice serves immediate needs, more active management of trust functions and assets may create greater economic benefit. However, due to a range of factors such as a small asset base or lack of capability, Te Arawa land trusts may continue to opt for passive management as a better option.

The aim of this research is to identify the key success factors to enhance the economic performance of a sample of Te Arawa Māori land trusts by increasing active management of assets; and to identify potential and effective models of collaboration that enhance economic performance.

### **Benefits of Research**

This research will help provide insights into how small to medium sized Te Arawa Māori land trusts can collaborate or create scale to improve economic opportunities for themselves and their beneficiaries. The research acknowledges that each trust will be different and that the findings of the research may not necessarily suit all Māori land trusts. However, the project aims to provide guidance to assist Te Arawa land trusts to consider how they might improve their economic performance through collaboration, active management and/or scalability.

Furthermore, this project is an action co-production research project. The project itself aims to work with the participating trusts to seek immediate opportunities for the respective trusts. The research team will work with a number of Te Arawa trusts to identify what viable options are available to enable them to enhance their economic performance which could translate into real initiatives for the trusts. However, given the research project limitations particularly time - it is only a year-long project; the achievements of the action research will be limited to what is achieved within the timeframe.

### **Interviews with Ngāti Pikiao Te Arawa Māori Land Trustees:**

The research will be conducted with Māori land trusts from the Ngāti Pikiao rohe within the Te Arawa tribal confederation of the Waiāriki District. The research team has purposely selected Ngāti Pikiao land trusts as a

sample group in light of recent discussions among Ngāti Pikiao entities to explore collaborative models and initiatives that enhance Ngāti Pikiao's economic development. The timing of the research project is opportune and will assist Ngāti Pikiao to identify initiatives to enhance economic performance and development objectives. The significance of the project however, is much broader and will also assist other Māori land trusts throughout Te Arawa and the country to achieve active management and collaborative models that enhance economic performance.

Ngāti Pikiao tribal land is currently managed by 74 Māori land trusts - 30 of these trusts have over 100 hectares of land while 44 blocks have between 10-90 hectares. A potential approach for this research project is to invite all 74 trusts to participate which will be wields if they all agree and participate. In reality, probably only 30-50% of the trusts are likely to be fully active in the project for various reasons including time, resources, relevance, inaction and interest. The researchers have decided it prudent to involve some of those land trusts with over 100 hectares of land given they are the most active and more prosperous blocks that will likely be drivers for implementing greater collaboration and active management of Ngāti Pikiao lands collectively. These land blocks also comprise 90% of the Ngāti Pikiao trust land area. However, we will also include 8-10 smaller Pikiao land trusts given that the research is about establishing an 'active' governance and management culture within small and large entities, and to identify pathways towards more 'active' approaches to managing respective land blocks to improve economic returns. Hence, smaller Pikiao land trusts should derive greater benefit from being included in the research with the large blocks.

We have already held preliminary informal discussions with several Ngāti Pikiao land trust representatives about the objectives of the Research Project which includes the Rotoiti 15 Trust, Taheke Paengaroa Trust, Tokerau A 14B 2 Trust, Haumingi 18 Trust, Waipapa 2B2 Trust and others.

We also hope to speak with Te Rūnanga o Ngāti Pikiao, the Ngāti Pikiao Iwi Trust, the Ngāti Pikiao Environmental Society, other Ngāti Pikiao land trusts, Miraka Ltd, Ngatahi and Kokakotaea Ltd and if we have sufficient resources, Māori Land Court officials.

### How the Research will be Conducted?

The research is a short qualitative action research project that involves two key components:

- Interviews with trustees and leaders involved in Te Arawa land trust and Waiariki collaborations, scale-ups and/or active management; and
- A small series of workshops with at least 18 or more small to medium and large Te Arawa Māori land trusts.

Participation in the research is voluntary. The team will approach potential participants in either of the two key components and will seek their formal consent to participate in the research project. Once confirmed, the research team will coordinate both the interviews and workshops.

### What the Project will be asking Participants to do

Participants will be asked to take part in an **interview** of approximately one hour in length. It will be semi-structured and based around the key research questions. These will take place during **April and May 2015**.

Prior to the **trust workshops**, trust participants will be asked to provide base information to draft a profile of their organisation including the trust's objectives, composition, assets, governance, management, financial performance and the position of each trust. Workshops will be conducted **over March and April 2015**. The research team will then conduct a small series of other workshops with the trusts. Workshops are expected to take up to approximately two hours in length and will be conducted **between May and July 2015**.

It is expected that the interviews and workshops will take place at the Trusts' premises, or at an alternative location agreed to by both the Trust and research team.

2.2 Briefly outline your methods.

### **Kaupapa Māori Co-Production**

A kaupapa Māori approach will be employed to carry out this research through a co-production model that enables enduring partnerships between MIGC and the University of Waikato, and Te Arawa hapū and iwi and Te Arawa land trusts to achieve multi-dimensional wellbeing for the land trusts and their respective shareholders.

Our method requires that we provide Te Arawa land trustees, other Ngāti Pikiao board members and collectives leaders with a cover letter and participant information sheet (**attached**). We will hold open hui initially to ensure that we attract a range of views. The hui will be advertised in local newspapers and through email list servers and other local media. At these hui, participants will be given the Participant Information Sheet and Consent Form and we will allocate time for a question and answer session in relation to the Participant Information Sheet and Consent Form.

The research will moreover employ mixed methods structured into three stages as follows:

1. Stage 1 will consist of mini-case studies with at least 18 Māori land trusts/collectives and will focus on identifying existing models of practice, organisation of governance and management, and challenges enhancing performance. Case studies are a useful method for investigating one or a small number of social entities or situations about which data are collected using multiple sources of data and developing a holistic description through an iterative research process.
2. Stage 2 will comprise a literature review and ten interviews with key informants and will seek to clarify the challenges in Stage 1 as they relate to the focus areas: activating management and collaboration. Key informants can moreover, be drawn from a range of successful Māori case studies including other Ngāti Pikiao entities, Miraka Ltd (a consortium of land trusts in Taupo), Ngatahi (a consortium of land trusts in Te Whakatohea), and Kokakotaea Ltd (an iwi-owned forestry company aligned with Ngatahi).
3. Stage 3 will involve stakeholder workshops with Trusts in the Waiāriki region to discuss which approaches to collaboration and active management best suit their context.

For each of these sessions, participants will be given the Participant Information Sheet and Consent Form and we will allocate time for a question and answer session in relation to the Participant Information Sheet and Consent Form.

The project will moreover, be framed by Kaupapa Māori principles, will focus on Māori development, and be conducted within Māori communities in the Waiāriki region. The involvement of Te Pūmāutanga is critical to the success of this project and in being able to translate the research findings into real outcomes in the community.

#### **Interviews with Māori Land Court Judges:**

Depending on time and available resources, we may seek meetings with Māori Land Court Judges and other Māori Land Court officials through our cover letter and Participant Information Sheet, to seek their insights regarding the research project. If carried out, these interviews will be one-on-one with the Primary Investigator.

2.3 Describe plans to give participants information about the goals of the research or related activity.

This will be provided in the cover letter and Participant Information Sheet. At each interview (whether open hui or one-on-one interviews) we will allocate time for a question and answer session in relation to the Participant Information Sheet.

2.4 Identify the expected outputs of this research or related activity (e.g., reports, publications, presentations).

The output from this research will be a quality report on Optimising Economic Performance of Ngāti Pūkiao Land Trusts in the Waiāriki Region through active management and governance, and effective models of collaboration. It is probable that articles and presentations will be another outcome of the research. In addition, our research team will hold a symposium in November to disseminate the research findings within the Waiāriki District.

Identify who is likely to see or hear reports or presentations arising from this research or related activity.

The edited Report will be available free to the Public online. Copies will be provided to the subjects (trustees and others) who participate in the Project, the Ngāti Pūkiao land trusts, the Bay of Connections Economic Strategy committee, Te Pūni Kokiri, MBIE and other Government Departments with an interest in the research. Any resulting journal article will be available online through law databases or in law libraries. The edited Report will be also be available in University libraries and bookshops and is likely to be used by law students, and law practitioners and iwi and hapū.

2.5 Identify the physical location(s) for the research or related activity, the group or community to which your potential participants belong, and any private data or documents you will seek to access. Describe how you have access to the site, participants and data/documents. Identify how you obtain(ed) permission from relevant authorities/gatekeepers if appropriate and any conditions associated with access.

#### **Interviews with Māori Land Trustees:**

These we expect will be held in the traditional area of the Ngāti Pūkiao hapū concerned and this is likely to be in their offices. The Researchers and trustees will determine the appropriate setting, timing and location for the meetings. Initial contact will be via email and phone. But this will be followed up by the formal cover letter and participant information sheet.



The potential groups to be interviewed include Ngāti Pikiao land trustees of the Rotoiti 15 Trust, Taheke Paengaroa South 5 Trust, Tokerau A 14B 2 Trust, Haumingi 18 Trust, Waipapa 2B2 Trust, Okere 1E Trust, Taumanu Land Trust and the Rotoiti 6 & 7B Trust to start with.

We also hope to speak with Te Rūnanga o Ngāti Pikiao, the Ngāti Pikiao Iwi Trust, the Ngāti Pikiao Environmental Society and other Ngāti Pikiao land trusts, Miraka Ltd, Ngatahi and Kokakotaea Ltd in their respective offices or other appropriate places.

### **Interviews with Māori Land Court Officials:**

Resources and time permitting, if these occur, they will be in the relevant Māori Land Court offices in Rotorua and elsewhere within the Waiāriki region. Initial contact will be via email and phone. But this will be followed up by the formal cover letter and participant information sheet again depending on resources and time.

### **3. Obtain participants' informed consent without coercion**

3.1 Describe how you will select participants (e.g., special criteria or characteristics) and how many will be involved.

We will select participants on the basis of their responsibilities as trustees on Ngāti Pikiao land trusts, and others involved as leaders in 'successful' collaborative Māori governance models such as Miraka Ltd and, depending on time and resources, with Māori Land Court Government officials working in the field.

We will seek to speak with Ngāti Pikiao land trustees who are financially successful in terms of economic development of their respective trusts. We will moreover, speak with Ngāti Pikiao trustees who appear to be struggling with active management, collaboration initiatives and economic development. At the same time, we expect to hear a range of divergent views on active Ngāti Pikiao trustee management and governance of trusts and collaboration initiatives and so will seek to ensure different voices are incorporated into the research. We anticipate interviewing perhaps 18 Ngāti Pikiao Māori Land trustees. To that end, we will initially hold open meetings, advertised in advance through local newspapers, email contacts and radio and television panui.

3.2 State clearly whether this is an application under section 10 of the Ethical Conduct in Human Research and Related Activities Regulations: Large Random Sample Surveys.

No.

3.3 Describe how you will invite them to participate.

### **Interviews with Māori:**

We have already held preliminary informal discussions with several Ngāti Pikiao land trustees about the objectives of the Research Project.

Initial contact will be via email and phone. We will then provide trustees with a cover letter and participant information sheet (**attached**). We will hold open hui initially to ensure that we attract a range of views. The hui will be advertised in local newspapers and through email list servers and other local media. At this hui participants will be given the Participant Information Sheet and Consent Form and we will allocate time for a question and answer session in relation to the Participant Information Sheet and Consent Form.

In addition, there will be focus group sessions and one-on-one interviews with Ngāti Pūkiao trustees. For each of these sessions, participants will be given the Participant Information Sheet and Consent Form and we will allocate time for a question and answer session in relation to the Participant Information Sheet and Consent Form.

### **Interviews with Māori Land Court Officials.**

Resources permitting, we may seek meetings with Māori Land Court judges and other Māori Land Court officials through our cover letter and Participant Information Sheet, to seek their insights regarding the research project but depending on time and resources. These interviews will be one-on-one with the Primary Investigator.

3.4 Show how you provide prospective participants with all information relevant to their decision to participate. Attach your participant information sheet, cover letter, or introduction script. See document on informed consent for recommended content. Information should include, but is not limited to:

- what you will ask them to do;
- how to refuse to answer any particular question, or a) withdraw any information they have provided at any time before completion of data collection or b) withdraw any information they have provided at any time prior to analysis being completed on the data / the research being sent for publication;
- how and when to ask any further questions about the study or get more information.
- the form in which the findings will be disseminated and how participants can access a summary of the findings from the study when it is concluded.

This information will be provided in the participant information sheet and consent form (**attached**).

3.5 Describe how you get their consent. (Attach a consent form if you use one).

A consent form is attached below.

3.6 Explain incentives and/or compulsion for participants to be involved in this study, including monetary payment, prizes, goods, services, or favours, either directly or indirectly.

No incentives are provided.

#### **4. Minimise deception**

If your research or related activity involves deception – this includes incomplete information to participants -- explain the rationale. Describe how and when you will provide full information or reveal the complete truth about the research or related activity including reasons for the deception.

Not applicable.

#### **5. Respect privacy and confidentiality**

5.1 Explain how any publications and/or reports will have the participants' consent.

All participants will be provided with a Consent Form and Participant Information Sheet.

5.2 Explain how you will protect participants' identities (or why you will not).

As outlined in the Consent Form and Participant Information Sheet, participants' identities will be kept confidential unless a participant chooses to be identified.

5.3 Describe who will have access to the information/data collected from participants. Explain how you will protect or secure confidential information.

Only the Research Project three researchers and research assistants will be privy to the notes, documents, and recordings. After completion of the Research Project, notes and documents will be destroyed and recordings erased. The Primary Investigator will keep transcriptions of the recordings and a copy of notes taken but will treat them with the strictest confidentiality. Confidential information will be stored in a locked cabinet in the MIGC Law Faculty office. No participants will be named in the publications and every effort will be made to disguise their identity. An exception will be made for those cases where the participant wishes to be identified in the Report.

#### **6. Minimise harm to participants**

'Harm' includes pain, stress, emotional distress, fatigue, embarrassment and exploitation.

6.1 Where participants risk change from participating in this research or related activity compared to their daily lives, identify that risk and explain how your procedures minimize the consequences.

We do not expect any risk of harm to participants

6.2 Describe any way you are associated with participants that might influence the ethical appropriateness of you conducting this research or related activity – either favourably (e.g., same language or culture) or unfavourably (e.g.,

dependent relationships such as employer/employee, supervisor/worker, lecturer/student). As appropriate, describe the steps you will take to protect the participants.

All of the researchers are Māori and are advocates for Māori rights in New Zealand and internationally. Dr Joseph, as Director of MIGC, and Jonathan Kilgour and Arapeta Tahana who are both familiar to Māori in the Te Arawa Region, all have experience engaging with Māori for research purposes and in a manner consistent with tikanga Māori. These factors we expect will be beneficial to the Research Project in terms of engaging with Te Arawa Māori.

6.3 Describe any possible conflicts of interest and explain how you will protect participants' interests and maintain your objectivity.

The Researchers are conscious of the need for impartiality. To address this, the Research Project aims to obtain information from a range of trustees and participants involved with Ngāti Pikiao land trusts not only from Ngāti Pikiao. This includes leaders of collaborative management and governance models such as Miraka Ltd, and, resources permitting, Māori Land Court officials.

In terms of conflicts of interest, Arapeta Tahana is from Ngāti Pikiao which means he has obvious conflicts of interest in this research which he has openly declared. Furthermore, MIGC is collaborating with Te Pumautanga O Te Arawa which represents a number of Te Arawa hapū in the region; hence tribal conflicts of interest are inevitable. To counter these tribal conflicts of interest however, Dr Joseph as well as Ms Rewi Renee are not from Ngāti Pikiao and so provide a high degree of the required impartiality and professionalism for carrying out this research appropriately.

## **7. Exercise social and cultural sensitivity**

7.1 Identify any areas in your research or related activity that are potentially sensitive, especially from participants' perspectives. Explain what you do to ensure your research or related activity procedures are sensitive (unlikely to be insensitive). Demonstrate familiarity with the culture as appropriate.

All of the lead Māori researchers are aware of and sensitive to cultural issues that may arise in the context of researching with Ngāti Pikiao and other Māori participants given their established track record of working with Māori.

7.2 If the participants as a group differ from the researcher in ways relevant to the research or related activity, describe your procedures to ensure the research or related activity is culturally safe and non offensive for the participants.

In relation to the Research Project's engagement with Māori, the Researchers will take steps to ensure the setting, timing and process is appropriate and approved by Ngāti Pikiao and other Māori representatives. The Researchers will respect and adhere to local kawa and tikanga. We will ensure that the information is not overly legal and technical and is set out in layperson's terms.

# Participant Information Sheet

Project Title



**Te Teterē Kōkiri o te Ata: Optimising Economic Performance of Māori Land Trusts in the Waiāriki Region**

Information Sheet

## About the research

*Te Teterē Kōkiri o te Ata* refers to the early morning hunt of the Mako shark.<sup>xix</sup> Like the Mako, Te Arawa people hunt for opportunities to feed and nurture their people.

The 2 key research questions of this project are:

1. How can active management enhance the economic performance of Māori land trusts?
2. What models of collaboration can Māori land trusts use to enhance economic performance?

This project aims to identify how Te Arawa people, through Te Arawa Māori land trusts under the Te Ture Whenua Māori Act 1993 can seek better opportunities to enhance their economic performance for example through effective collaboration, scaling-up and creating capacity to actively manage and govern Te Arawa trust functions and assets. The project aims to explore how some Te Arawa land trusts that passively manage some of their trust functions and assets might create capacity to move to more active management of their trust functions and assets.

Many Te Arawa land trusts often subcontract or lease management of assets or functions to third parties as a way of efficiently engaging the right capability to achieve their economic development goals. While this practice serves immediate needs, more active management of trust functions and assets may create greater economic benefit. However, due to a range of factors such as a small asset base or lack of capability, Te Arawa land trusts may continue to opt for passive management as a better option.

The aim of this research is to identify the key success factors to enhance the economic performance of a sample of Te Arawa Māori land trusts by increasing active management of assets; and to identify potential and effective models of collaboration that enhance economic performance.

## Benefits of the Research

This research will help provide insights into how small to medium sized Te Arawa Māori land trusts can collaborate or create scale to improve economic opportunities for themselves and their beneficiaries. The researchers acknowledge that each trust will be different and that the findings of the research may not necessarily suit all Māori land trusts. However, the project aims to provide insights to assist Te Arawa land trusts to consider how they might improve their economic performance through collaboration, active management and/or scalability.

Furthermore, this project is an action research project. The project itself aims to work with the participating trusts to seek immediate opportunities for the respective trusts. The research team will work with a number of Te Arawa trusts to identify what viable options are available to enable them to enhance their economic performance which could translate into real initiatives for the trusts. However, given the research project limitations particularly time - it is only a year-long project; the achievements of the action research will be limited to what is achieved within the timeframe.

### Which Te Arawa Māori Land Trusts?

The research will be conducted with Māori land trusts from the Ngāti Pikiao rohe within the Te Arawa tribal confederation. The research team has purposively selected Ngāti Pikiao land trusts as a sample group in light of recent discussions amongst Ngāti Pikiao entities to explore collaborative models and initiatives that enhance Ngāti Pikiao's economic development. The research project then will assist Ngāti Pikiao to identify initiatives to enhance economic performance and development objectives. The significance of the project however is much broader and will also assist other Māori land trusts throughout Te Arawa and the country to achieve active management and collaborative models that enhance economic performance.

### How the research will be conducted?

The research is a short qualitative action research project that involves two key components:

- Interviews with similar initiatives that involve collaboration, scale-ups and/or active management; and
- A small series of workshops with eight small to medium Te Arawa Māori land trusts.

Participation in the research is voluntary. The team will approach potential participants in either of the two key components and will seek their formal consent to participate in the research project. Once confirmed, the research team will coordinate both the interviews and workshops.

### What the Project will be asking participants to do

Participants will be asked to take part in an **interview** of approximately one hour in length. It will be semi-structured and based around the key research questions. These will take place during **April and May 2015**.

Prior to the **trust workshops**, trust participants will be asked to provide base information to draft a profile of their organisation including the trust's objectives, composition, assets, governance, management, financial performance and the position of each trust. Workshops will be conducted **over March and April 2015**. The research team will then conduct a small series of other workshops with the trusts. Workshops are expected to take up to approximately two hours in length and will be conducted **between May and July 2015**.

It is expected that the interviews and workshops will take place at the Trusts' premises, or at an alternative location agreed to by both the Trust and research team.

### What are my rights as a participant?

In order to ensure the success of the programme, the research team will endeavor to address and allay any concerns about the research goals, content and processes before the research commences. Participation in

this research is voluntary and any individual or organisation may opt to not take part in the research at any time. Participants will be asked to give consent prior to the interview, and maybe asked to also give consent at a later stage.

The researchers will seek the consent of participants regarding their recorded information and how the researchers utilise their respective information in any documents for the project.

The information collected will be used by the researchers to write a research report 'Te Tetere Kōkiri o te Ata: Optimising Economic Performance of Māori Land Trusts in the Waiāriki Region.' All participants will be provided with a copy of the final Report in paper or electronic form which will be by the end of January 2016. The Report will also be made available on the Te Piringa Faculty of Law Waikato University website at: <http://www.waikato.ac.nz/law/>

It is possible that other articles and presentations may be the outcome of the research. In addition to the Report, the researchers will hold a symposium in November 2015 on 'Optimising Economic Performance of Māori Land Trusts in the Waiāriki Region' that may result in other publications that address the key Research Project questions. Material gathered from participants may also be used in other publications written by the Research Project Researchers. Only the Research Project researchers and their Research Assistants will be privy to the notes, documents, and recordings. After completion of the Research Project, notes, and documents will be destroyed and recordings erased. The Primary Investigator will keep transcriptions of the recordings and a copy of notes taken but will treat them with the strictest confidentiality. No participants will be named in the publications and every effort will be made to disguise their identity. An exception will be made for those cases where the participant wishes to be identified in the Report.

### **Declaration to Participants**

If you take part in the study, you have the right to:

Ask any further questions about the study that occurs to you during your participation;

Be given access to a summary of findings from the study when it is concluded; and

(Tick one or the other)

EITHER,

Refuse to answer any particular question, and to withdraw from the study before completion of data collection;

OR,

Refuse to answer any particular question, and to withdraw from the study at any time

### Who is involved in the research?

The research is being undertaken by Te Mata Hautū Taketake, the Māori and Indigenous Governance Centre at the University of Waikato, and Te Arawa Tangata of Te Pūmāutanga o Te Arawa; and is funded by Ngā Pae o Te Māramatanga, the Māori Centre for Research Excellence, at Auckland University. The team is comprised of the following:

Dr Robert Joseph	Jonathan Kilgour	Arapeta Tahana
Maui Hudson	Christina Diamond	Renee Rewi

### Contact

If you have any questions or concerns about the research, please contact any of the people below.

Name	Dr Robert Joseph	Arapeta Tahana	Jonathan Kilgour
Role	Primary Investigator	Lead field researcher	Co-investigator
Phone	07 838 4466, ext 8796	07 348 3599	
Mobile	022 070 3275	021 348 748	021 955 339
Email	rjoseph@waikato.ac.nz	Arapeta@gha.co.nz	jonathan@pareconsulting.co.nz

### Who's Responsible?

If you have any questions or concerns about the project, or seek further information, or clarification about any point raised by the Research Project either now or in the future, please feel free to contact the Research Project Primary Investigator:

Dr Robert Joseph  
Senior Lecturer  
Te Piringa Faculty of Law  
Waikato University  
Private Bag 3105  
Hamilton 3240

Ph: (07) 838-4466 x 8796  
Mobile: 0220703275  
Fax: (07) 838 4417  
Email: rjoseph@waikato.ac.nz



# Consent Form for Participants



THE UNIVERSITY OF  
**WAIKATO**  
*Te Whare Wānanga o Waikato*

## Te Tetera Kōkiri o te Ata: Optimising Economic Performance of Māori Land Trusts in the Waiāriki Region

### Consent Form for Participants

I have read the **Participant Information Sheet** for this study and have had the details of the study explained to me. My questions about the study have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I also understand that

Tick either option a) or option b)

- a) I am free to withdraw from the study before completion of data collection, or to decline to answer any particular questions in the study. I understand I can withdraw any information I have provided up until the researcher has commenced analysis on my data; or
- b) I am free to withdraw from the study at any time, or to decline to answer any particular questions in the study. I understand I can withdraw any information I have provided up until the research being sent for publication

I agree to provide information to the researchers under the conditions of confidentiality set out on the **Participant Information Sheet**.

I agree to participate in this study under the conditions set out in the **Participant Information Sheet**.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

### Additional Consent as Required

I agree / do not agree to my responses to be tape recorded.

I agree / do not agree to my images being used

I agree/ do not agree to my name and responses provided being used

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Researcher's Name and contact information:

Supervisor's Name and contact information: (if applicable)

## Cover letter

Tēnā koe,

ngā mihi o te wā ki a koe.

### **Te Tetere Kōkiri o te Ata: Optimising Economic Performance of Māori Land Trusts in the Waiāriki Region**

I am writing to invite members of your Māori Land trust to meet with our Researchers to talk about our Research Project at a time and place that is suitable for you.

The Research Project is funded by the Ngā Pae o te Māramatanga Centre for Research Excellence. It is a twelve-month project led by Dr Robert Joseph, Senior Lecturer and Director, Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre at Te Piringa Faculty of Law, Waikato University. The Research Project is also supported by two Co-Researchers, Arapeta Tahana (GHA Consultants) and Jonathan Kilgour (Pare Consultants). Our biographies are attached to this letter.

#### **What is this research project about?**

This project aims to identify how Te Arawa Māori land trusts under the Te Ture Whenua Māori Act 1993 can seek better opportunities to enhance their economic performance for example through effective collaboration, scaling-up and creating capacity to actively manage and govern Te Arawa trust functions and assets. The project aims to explore how some Te Arawa land trusts that passively manage some of their trust functions and assets might create capacity to move to more active management of their trust functions and assets.

Many Te Arawa land trusts often subcontract or lease management of assets or functions to third parties as a way of efficiently engaging the right capability to achieve their economic development goals. While this practice serves immediate needs, more active management of trust functions and assets may create greater economic benefit. However, due to a range of factors such as a small asset base or lack of capability, Te Arawa land trusts may continue to opt for passive management as a better option.

The aim of this research is to identify the key success factors to enhance the economic performance of a sample of Te Arawa Māori land trusts by increasing active management of assets; and to identify potential and effective models of collaboration that enhance economic performance.

The Researchers therefore wish to speak to Te Arawa Māori land trustees to gain information for the Research Project.

#### **Participant Information Sheet**

More detailed information about the aim of this Research Project; what will you have to do and how long will it take?; what will happen to the information collected? Information about the researchers; and other matters are outlined in the attached Participant Information Sheet.

In the meantime, if you have any questions or comments, please do not hesitate to contact me.

Nāku noa,

Nā, Dr Robert Joseph

Director

Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre

Waikato University

Private Bag 3105

Hamilton

Ph: (07) 838-4466 x 8796

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Fax: (07) 838 4417

#### **Annex – Information about the Researchers.**

##### **Dr Robert Joseph – Lead Researcher**

Dr Joseph of Tainui, Tuwharetoa, Kahungunu and Ngāi Tahu descent, was admitted as a Barrister and Solicitor of the High Court of New Zealand in 1998, he is a senior lecturer at Te Piringa-Faculty of Law at the University of Waikato, and he is the Director of Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre at Waikato University. Dr Joseph was a senior research fellow for the Te Mātāhauariki Research Institute and a senior researcher for Dr Linda Tuhiwai Smith.

Dr Joseph is a licensed researcher for the Crown Forestry Research Trust and Waitangi Tribunal working on the Rohe Pōtae (WAI 898), Taihape Rangitikei ki Rangipō (WAI 2180) and Porirua ki Manawatū (WAI 2200) claims, he has delivered Māori governance training to Māori tribal leaders; and he was consulted for his Māori and Indigenous governance expertise with the Government and private sector group *He Kai Kei Aku Ringa*, Te Puni Kōkiri and the Ministry of Business, Innovation and Employment, the New Zealand Law Commission, Transparency International, Te Kauhanganui o Waikato Inc., the Institute of Governance and the Centre for First Nations Governance in Ottawa, Canada; the Permanent Forum on Indigenous Issues at the United Nations in New York, and at Harvard University in Massachusetts, USA.

Dr Joseph is a legal consultant and director for the research company Hohonu Ltd; he was Vice-President of The Battle of Ōrākau Heritage Society Inc., he was a past chair of the Awhina Whānau Trust, the Te Hurihanga Youth Horizons Trust, the Kia Ngawari Trust and he is currently a trustee for the Tuwharetoa Hapū Forum for the Tuwharetoa Settlement Trust. Dr Joseph moreover, recently completed his qualifications to be an Independent Environmental Commissioner for Ngāti Raukawa.

### **Arapeta Tahana – Lead Field Researcher**

Arapeta Tahana of Ngāti Pīkiao descent and was brought up on the shores of Rotoiti amongst the tribal lands of Ngāti Pīkiao of the Te Arawa tribal confederation. Arapeta understands the potential of Māori business and the barriers that challenge development which drives his focus of learning and applying knowledge that lifts Māori economic performance. Arapeta has over 10 years experience as a consultant and business owner across a range of businesses in the Waiāriki Region.

Arapeta has been a part time professional consultant for Tahana Ltd over the past decade working on strategic Māori development projects. Tahana Ltd specialises in Māori development that weaves professional expertise with a strong understanding of Te Ao Māori to deliver planning, engagement and capacity building initiatives for Māori organisations, local government and Iwi. Arapeta is currently a director of Whariki Developments Ltd which company is driving an innovative project exploring commercial and sustainability opportunities of freshwater crayfish in the Rotorua lakes.

Arapeta moreover, facilitated workshops with the trustees of the Waitangi 8 Trust to develop their land and geothermal hot springs. He is a lead Field Researcher for GHA Chartered Accountants & Consultants in Rotorua; he was a trustee of the Waitangi 3 Trust, a trustee of Te Kura o Te Koutu Board of trustees, and he is a trustee of the Rotoiti 15 Trust which is an Ahu Whenua with 8,000ha of land, \$30 million in assets and annual profits in excess of \$1 million, for over 10,000 beneficial owners. The Trust has commercial interests in Forestry, Farming, Kiwi Fruit and Financial Instruments and is also part of a collective of local Trusts undertaking geothermal power exploration in partnership with Mighty River Power. Arapeta has held community development roles with the Porirua City and Rotorua District Councils and is a current Iwi Elected Member of the Te Arawa Standing Committee for the Rotorua District Council which has the responsibility of advising the Council on matters that have significant impact on the assets and wellbeing of Te Arawa Iwi and Māori within Rotorua.

### **Jonathan Kilgour – Co-Investigator**

Jonathan Kilgour is of Ngāti Rereahu, Maniapoto and Ngā Rauru descent and he has an MBA(Dist), LLM (Hons), LLB, and BSocSc (Political Science and Māori). Jonathan is currently enrolled in the PhD programme at Australia National University in Canberra. Mr Kilgour has 15 years experience in the public and private sectors in governance, management, advisory and analytical roles. Jonathan is a Global Ambassador to the International Association of MBAs, a member of the Waikato Management School Centre for Corporate and Executive Education Alumni Board, he is the Research and Projects Manager for the Waikato College for Research and Development, and a Director of Pare Consulting Limited. Jonathan is currently a Strategy and Research Manager for the subsidiary Te Arawa Tangata of Te Pūmāutanga o Te Arawa Trust in Rotorua. Jonathan was a policy manager and senior analyst for Te Puni Kokiri (TPK) for 2 years; he was a senior advisor and general manager for Identity Services and Strategic Development at Internal Affairs for 2 years, and an analyst for Statistics New Zealand for 1 year. Jonathan has been involved in various governance training programmes and research projects including whānau ora projects, evaluating the Maniapoto-Raukawa alliance whānau footprint model and evaluating the growing Māori assets fund for TPK.



*Te Pae Tawhiti*

**Consent Form for Participants**

I have read the **Information Sheet** for this study and have had the details of the study explained to me.

I understand that:

- my organisation will be identified as part of a brief case study and that information I provide may be used in the final report to Ngā Pae o Te Māramatanga;
- the data from this interview will be used to compile case studies and a report;
- I am free to withdraw from the study at any time, or to decline to answer any particular questions in the study;
- I will be given an opportunity to review the case study before it is included in the research;
- I will be provided a final copy of the case study for my own purposes;
- my information will be stored securely and confidentially by the research team; and
- I may contact Dr Robert Joseph, the Principal Investigator, if I have any queries or concerns about the project: [rjoseph@waikato.ac.nz](mailto:rjoseph@waikato.ac.nz) or (07) 838 4466 extn 8796.

By signing this consent form, I am satisfied that my questions about the study have been answered and I understand that I may ask further questions at any time.

I agree to participate in this study as explained in the **Information Sheet** form, and consent to:

- having the audio recorded for note-taking purposes only;
- a brief case study being produced as part of the research;
- a final report being produced for Ngā Pae o Te Māramatanga, using the information I provide in this interview; and
- my organisation being identified in the research.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Organisation: \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix 4: Te Pae Tawhiti Suggested Research Questions Team Approach

### Research Questions

The research questions, as stated in the proposal are:

- How can good governance and active management enhance the economic performance of Māori land trusts?
- How has good governance and active management advanced business development and profitability?
- What models of collaboration can Māori land trusts use to enhance economic performance?
- What are the critical success factors for making active management and collaborative initiatives successful?

The objectives of the research are to:

- identify the key success factors to enhance the economic performance of Māori land trusts; and
- identify potential models of collaboration.

### Interview Questions

The interview questions stem from the research questions (above), with the aim to (a) identify the key success factors in a *known* initiative or collaboration; and (b) identifying their model of collaboration. The additional element, drawn from the first Ngāti Pikiao hui, is identifying the process to create/implement the collaboration (i.e. identify change management advice). The following draft questions that emerge. Note that the questions in brackets are alternative lines of enquiry about the same subject matter.

Question(s)	Data sought
<b>In your words, can you please explain the collaboration or initiative?</b>	Description of the collaboration or initiative
<b>Why did you collaborate/ undertake the initiative? (What were the key opportunities from the collaboration or initiative? Why did you choose to collaborate in this way?)</b>	Motivations and drivers to collaborate
<b>How is the collaboration structured? (What is your model of collaboration?)</b>	Model of collaboration Methodologies for collaboration
<b>What were the perceived benefits of collaboration? (At the beginning, what were the anticipated benefits of collaboration?)</b>	Perceived impact
<b>What have been the actual impacts? (Can you quantify or provide evidence of these?)</b>	Actual impact Specific evidence of impact Changes made during implementation/ emergence

What were the key things that made the collaboration successful? (What advice would you give to others who are thinking of collaborating in the same way?)	Key success factors
What were the key barriers to the collaboration (at the start and now)? (How did you/ do you overcome those barriers)?	Key barriers Change management
Thinking about change management, what change management processes did you go through and why (governance, management, beneficiary/ shareholder/ stakeholder or other)?	Change management strategies and process
What advice would you give to others about collaboration? And change management?	Final advice for others exploring collaboration

### Selection Process

The following document sets out the proposed selection frame and method for Te Pae Tawhiti.

#### *Selection Frame*

The first stage of engagement highlighted eight key areas of opportunity for Ngāti Pīkiao. These eight areas can be used as a frame for identification and selection of participants for interview in the second stage of the research (of similar initiatives). These eight areas are:

Shared resources	Collective procurement
Collective investments	Leveraging influence
Shared information portal and platform	Collaboration for social, environmental and cultural outcomes
Shared accounting, secretarial and advisory services	Lifting performance of underutilized and underperforming land blocks

As areas of research interest, the study would need to identify at least one, and at most two, successful initiatives that cover these areas.

In addition to this frame, participants in the first stage highlighted an interest in successful examples from Ngāti Pīkiao. At least two examples were offered as potential candidates for selection. As a result, Ngāti Pīkiao examples would be selected among these case studies. This adds value for the research as there is potential to enquire whether there are Ngāti Pīkiao-specific success factors that emerge from the interview data.



Area of opportunity	Māori example	Ngāti Pikiao example
Shared resources	Iwi Collective Partnership (shared ACE quota)	
Collective investments	Iwi Collective Partnership (collective investment in ICP company)  Te Kaha 14B2 Trust (Hamama Orchard)  Tuaropaki Power Company	Taheke 8C and Adjoining Blocks Incorporation (geothermal power plant)  RML – Rotoma Inc and several other Pikiao Trusts  Rotoiti 15 – Otukawa LLP or OTK Kiwifruit JV
Shared information portal and platform	Waikato-Tainui?	
Shared accounting, secretarial and advisory services	Ngāti Tuwharetoa - Akina	
Collective procurement	Ngāti Tuwharetoa et al - Awhina	
Leveraging influence	Ngāti Kahungunu?  Iwi leaders forum  Pukeroa Oruawhata Trust	
Collaboration for social, environmental and cultural outcomes	Waikato-Tainui?  Ngāi Tahu?  Ngāti Whatua  Tuwharetoa (aspiration only)	Te Arawa Whānau Ora
Lifting performance of underutilized and underperforming land blocks	Does Te Kaha 14B2 fit here?  Use TKG partnership to refer to above	Does Taheke 8C and Adjoining Blocks Incorporation fit here?

### *Selection Method*

We would use a purposive approach to selecting the interviews. Using the frame above we would need to identify examples in each, then purposively select (and document) which ones are the most relevant for Ngāti Pikiao (and if we can applicable to others as well, but Pikiao is our immediate need), then select them.

We would be looking for a maximum of ten to interview?

## Methodology

The research is Kaupapa Māori based, so there a number of practical steps as part of the research:

- Interviews should be conducted in a “safe” space, which should be led by the participants.
- Interviews should be approached with whakaaro Māori, so whakawhanaungatanga is useful. However, this conducted in mutually and in balance with professionalism. E.g. building rapport is important but we should respect their time and get on to the questions as soon as possible.
- Participants should be viewed as owners of the information that they provide, meaning:
  - if participants request sensitive treatment or withdrawal of data, then this is to be respected;
  - we have committed to making the final (approved) report available to participants (see draft information sheet).

### *Recruitment Approach*

Suggestions for recruitment are as follows:

- One person contacts identified contact with each initiative.
- Use phone call and email to recruit depending on contact (i.e. what would they prefer? Is this a no surprises approach).
- Take strategy to most likely gain their buy-in/ participation (e.g. if someone in the team knows the person then that person takes lead on contacting them).
- Highlight that it will take about an hour of their time and we can travel to them.

### *Interview Approach*

Thoughts about interview approach:

- Send one or two-person team? Two-person would be good from a notetaking point of view (one lead interviewer, one note taker), but if needed we can do solo to be more efficient on time/cost.
- Take Dictaphone, question guide and pre-prepared document to take notes according to questions.
- Begin with a whakawhānaungatanga/ build rapport, brief mihi, explanation of the research, provide information sheet, request consent form signed, ask if it's ok to use Dictaphone (which will be used for notetaking purposes only).
- Questions are asked in semi-structured format so it is up to the interviewer to determine if they stick to the script in conversational style or be closer to question guide.
- PROVIDE KOHA.
- Note: in some cases we might need to interview 2-3 people about one case study so we understand the roles/ perspectives of different parties to collaborative initiative, e.g. TKG Kiwifruit case study should interview:
  - Industry investors – e.g. Ian Craig who founded OPAC and provided both cash and expertise to venture
  - Trust investors – e.g. trustees on one of the blocks
  - Equity investors – e.g. investors that just put cash in (no expertise)

## Appendix 5: Te Pae Tawhiti Information Sheet

### Information Sheet

#### About the research

Te Tetera Kōkiri o te Ata refers to the early morning hunt of the shark. Like the mako, our people hunt for opportunities to feed and nurture our people.

This project aims to identify how our people, through our trusts, can seek better opportunities to enhance our economic performance – e.g. through collaboration, scaling-up or creating capacity to actively manage our trust functions and assets. It aims to explore how trusts that passively manage some of their functions and assets might create the capacity to actively manage their functions and assets.

In many of our trusts we often subcontract or lease management of assets or functions to third parties as a way of efficiently engaging the right capability to achieve our economic development goals. While this serves immediate needs, more active management of trust functions and assets can create greater economic benefit. However, given various factors, such as a small asset base or lack of capability, trusts may opt to continue passive management as a better option.

The aim of this research is to identify the key success factors to enhance the economic performance of Māori land trusts by activating governance and management capacity and to identify potential models of collaboration to enhance economic performance.

#### Benefits of the Research

This research will help provide insight into how small to medium sized Māori trusts can collaborate or create scale to improve economic opportunities for themselves and their beneficiaries. The research acknowledges that each trust will be different and that the findings of the research may not necessarily suit all trusts. However, it aims to provide guidance to help trusts consider how they might improve their economic performance through collaboration, active management and/or scalability.

Also, this project is an action research project, so the project itself aims to work with the participating trusts to find immediate opportunities for those trusts. The research team will then work with trusts to identify how those opportunities might be worked together into a real initiative for those trusts – noting, however, that the research is only a year-long project so the achievements of the action research will be limited to what is achieved in that timeframe.

#### Which Māori land Trusts will the research focus on?

The research will be conducted with Māori land trusts from the Ngāti Pikiao rohe. The research team has purposively selected Ngāti Pikiao land trusts as a sample group in light of recent discussions amongst Ngāti Pikiao entities to explore collaborative models and initiatives that enhance Ngāti Pikiao's economic development. The research will assist Ngāti Pikiao to identify initiatives to enhance economic performance and development, however the research will also assist Māori land trusts throughout Te Arawa and the country in activating management and collaborative models that enhance economic performance.

#### How the research will be conducted?

The research is a short qualitative action research project that involves two key components:

- interviews with similar initiatives that involve collaboration, scale-ups and/or active management; and
- a small series of workshops with eight small to medium Māori land trusts.

Participation in the research is voluntary. The team will approach potential participants in either of the two key components and seek their formal consent to join the research. Once confirmed, the research team will coordinate either the interviews or the workshops.

### What we are asking participants to do

**Interview** participants will be asked to take part in an interview of approximately one hour in length. It will be semi-structured and based around the key research questions. These will take place during **April and May 2015**.

Prior to **trust workshops**, the trust participants will be asked to provide base information to draft a profile of their organisations, including composition and financial performance/ position of each trust. These will be conducted in **March 2015**. Our research team will then conduct a small series of workshops with the trusts. Workshops are expected to take up to approximately two hours in length and will be conducted in **September 2015**.

### What are my rights as a participant?

Participation in this research is voluntary and any individual or organisation may opt to not take part in the research. However, in order to ensure the success of the programme, the research team will endeavour to address any concerns about the research before the research commences. If you have any questions, please do not hesitate to ask our research team.

Once the final report has been completed, participants will receive a copy of the research findings. This will be by the end of January 2016.

### Who is involved in the research?

The research is being undertaken by Te Mata Hautū Taketake, the Centre for Māori and Indigenous Governance (MIGC) at the University of Waikato, and initially Te Arawa Tangata, the charitable arm of Te Pūmāutanga o Te Arawa; and subsequently GHA Consultants and is funded by Ngā Pae o Te Māramatanga, the Māori Centre for Research Excellence. The team is comprised of the following: Dr Robert Joseph; Jonathan Kilgour; Arapeta Tahana; Dr Jason Mika, Te Puritanga Jeffries and Mylene Rakena.

### Contacts

If you have any questions or concerns about the research, please contact any of the people below:

Name	Dr Robert Joseph	Arapeta Tahana	Jonathan Kilgour
Role	Primary Investigator	Lead field researcher	Co-investigator
Phone	07 838 4466, ext 8796	07 348 3599	
Mobile	022 070 3275	021 348 748	021 955 339
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## ENDNOTES

- <sup>i</sup> Māori Economic Development Panel, *He Kai Kei Aku Ringa: The Crown-Māori Economic Growth Partnership Action Plan 2012-2017* (2012) and Māori Economic Development Panel, *He Kai Kei Aku Ringa: The Crown-Māori Economic Growth Partnership Strategy to 2040* (2012) online at <http://www.mbie.govt.nz/what-we-do/Māori-economic-development>.
- <sup>ii</sup> *Māori Economic Development Strategy: He Mauri Ohoho: Our People, Our Wealth, Our Future* (Bay of Connections Economic Strategy in Partnership with Te Puni Kokiri, 2014). Online at <http://www.bayofconnections.com/sector-strategy/Māori-economic-development/>
- <sup>iii</sup> *Te Ture Whenua Māori Act 1993 Review Panel Discussion Document* (March 2013) and *Te Ture Whenua Māori Act 1993 Review Panel Report* (Poutū-te-Rangi 2014). Online at <http://www.tpk.govt.nz/documents>
- <sup>iv</sup> *Māori Agribusiness in New Zealand: A Study of the Māori Freehold Land Resource* (Ministry of Agriculture and Forestry, 2011) online at <http://www.tetumupaeroa.co.nz/file123353>. See also Kingi, T, *Reconciling Customary Ownership and Development: Māori Land Ownership and Land Management in New Zealand* (Institute of Natural Resources, Massey University, Palmerston North, 2007) and Price Waterhouse & Coopers, *Growing the Productive Base of Māori Freehold Land* (Ministry for Primary Industries, February 2013). See also Nana, G, Stokes, F & Molano, W, *The Asset Base, Income Expenditure and GDP of the 2010 Māori Economy* (BERL Report, Te Puni Kokiri, Wellington, 2011).
- <sup>v</sup> Māori Economic Development Panel, *He Kai Kei Aku Ringa: The Crown-Māori Economic Growth Partnership Action Plan 2012-2017* (2012) and Māori Economic Development Panel, *He Kai Kei Aku Ringa: The Crown-Māori Economic Growth Partnership Strategy to 2040* (2012) online at <http://www.mbie.govt.nz/what-we-do/Māori-economic-development>. See Nana, G, Stokes, F & Molano, W, *The Asset Base, Income Expenditure and GDP of the 2010 Māori Economy* (BERL Report, Te Puni Kokiri, Wellington, 2011).
- <sup>vi</sup> Torivio Fodder, Robert Joseph & Priscilla Davis-Ngatai, *Ka Takahia ano o Tātou Tapuae: Retracing Our Steps: A Māori Governance Overview and Literature Review* (Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre, Waikato Print, University of Waikato, Hamilton, 2014).
- <sup>vii</sup> <http://dictionary.reference.com/browse/development>
- <sup>viii</sup> <http://www.zespri.com/companyinformation/shares>
- <sup>ix</sup> <http://asia-knowledge.tki.org.nz/Business-case-studies/Case-study-3-Zespri>
- <sup>x</sup> Free equity is calculated as cash balance plus profit.
- <sup>xi</sup> Rangitihī Pene from Te Arawa gifted the use of this kupu whakarite for the title of this research project.
- <sup>xii</sup> *Māori Economic Development Strategy: He Mauri Ohoho: Our People, Our Wealth, Our Future* (Bay of Connections Economic Strategy in Partnership with Te Puni Kokiri, 2014). Online at <http://www.bayofconnections.com/sector-strategy/Māori-economic-development/>
- <sup>xiii</sup> *Māori Agribusiness in New Zealand: A Study of the Māori Freehold Land Resource* (Ministry of Agriculture and Forestry, 2011) online at <http://www.tetumupaeroa.co.nz/file123353>. See also Kingi, T, *Reconciling Customary Ownership and Development: Māori Land Ownership and Land Management in New Zealand* (Institute of Natural Resources, Massey University, Palmerston North, 2007) and Price Waterhouse & Coopers, *Growing the Productive Base of Māori Freehold Land* (Ministry for Primary Industries, February 2013). See also Nana, G, Stokes, F & Molano, W, *The Asset Base, Income Expenditure and GDP of the 2010 Māori Economy* (BERL Report, Te Puni Kokiri, Wellington, 2011).
- <sup>xiv</sup> *Te Ture Whenua Māori Act 1993 Review Panel Discussion Document* (March 2013) and *Te Ture Whenua Māori Act 1993 Review Panel Report* (Poutū-te-Rangi 2014). Online at <http://www.tpk.govt.nz/documents>.
- <sup>xv</sup> *Māori Agribusiness in New Zealand: A Study of the Māori Freehold Land Resource* (Ministry of Agriculture and Forestry, 2011) online at <http://www.tetumupaeroa.co.nz/file123353>. See also Kingi, T, *Reconciling Customary Ownership and Development: Māori Land Ownership and Land Management in New Zealand* (Institute of Natural Resources, Massey University, Palmerston North, 2007) and Price Waterhouse & Coopers, *Growing the Productive Base of Māori Freehold Land* (Ministry for Primary Industries, February 2013).
- <sup>xvi</sup> Māori Economic Development Panel, *He Kai Kei Aku Ringa: The Crown-Māori Economic Growth Partnership Action Plan 2012-2017* (2012) and Māori Economic Development Panel, *He Kai Kei Aku Ringa: The Crown-Māori Economic Growth Partnership Strategy to 2040* (2012) online at <http://www.mbie.govt.nz/what-we-do/Māori-economic-development>.
- <sup>xvii</sup> Idem.
- <sup>xviii</sup> Torivio Fodder, Robert Joseph & Priscilla Davis-Ngatai, *Ka Takahia ano o Tātou Tapuae: Retracing Our Steps: A Māori Governance Overview and Literature Review* (Te Mata Hautū Taketake – the Māori and Indigenous Governance Centre, Waikato Print, University of Waikato, Hamilton, 2014).
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