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# **Success Factors for Community Organisations in Tai Tokerau (Northland) New Zealand**

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**A thesis submitted to Auckland University of Technology  
in fulfilment of the requirements for the degree of  
Doctor of Philosophy (PhD)**

**2010**

**School of Health Science  
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## **Attestation of authorship**

I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person (except where explicitly defined in the acknowledgements), nor material which, to a substantial extent, has been submitted for the award of any other degree or diploma of a university or other institution of higher learning.

## Abstract

This project was prompted by a concern that an unacceptable number of Northland non-profit community organisations were failing, causing distress to the communities they serve and a loss of taxpayer monies. I could find no reliable source of information about the size and effectiveness of the health and social services provided by community organisations in the Northland region or any documented understanding of the difficulties they face. This project, therefore, explored the issues confronting non-profit community organisations delivering services to the community in the areas of health and social services in Northland. It aims to identify the factors that contribute to the success of community organisations with a view to assisting them to identify and overcome the difficulties they face. A mixed-method study based on the development design outlined by Greene, Caracelli and Graham (1989) was used to answer the research question: What factors make a community organisation successful? The development design facilitated four sequential phases purposely chosen for their ability to produce sufficient information within each phase to inform the next phase, as follows:

1. Phase 1 was a demographic profile of community organisations. The purpose was to produce a current and accurate document to inform Phases 2, 3 and 4 of the project. The inclusion criterion was that the community organisation was to be non-profit and deliver health or social services to the communities of Northland. A total of 1177 organisations were identified.
2. Phase 2 involved qualitative key informant interviews of community organisation representatives (n=12). The participants were chosen by random selection from the Phase 1 database. The purpose of the interviews was to identify the reported reasons for the success or difficulties experienced by their organisation, with a view to informing the development of a mail survey. The twelve interviews included three interviews within each of the four selected organisations: one each from a board member, manager and staff member. The data were then analysed using an inductive approach to develop themes. The purpose was to

reduce the data into a set of summary themes that could be used to inform the Phase 3 mail survey. Twenty-eight survey themes were constructed.

3. Phase 3 was the development, piloting and distribution of a survey sent to 900 members of 300 health and social service community organisations in Northland, representing board, management and staff. On completion of the survey (n=222) the data was analysed to identify underlying dimensions using an exploratory factor analysis with principal components analysis and varimax rotation (used because the orthogonal rotations made the loadings clearer). Three key factors were extracted. Cronbach's alpha was used to refine the factors into three scales which were used for the subsequent analyses. Analyses included comparison by: position within the organisation (of board, management or staff); geographical location within Northland (of Whangarei, Kaipara and Mid-Far North); and service type (of health or social services). The first four to five items in each scale gave the best indication of the features essential for a successful community organisation. The three scales and associated items were as follows:

- Effective board, management and staff relationships
  - ~ establishing a working relationship with the local community that is based on mutual trust and support;
  - ~ clear lines of responsibility within the organisation;
  - ~ the presence of mutual respect and support between board, management and staff;
  - ~ clear and appropriate job descriptions; and
  - ~ a clear and achievable mission statement.
- Good external links with government and community
  - ~ the level of performance of government departments that work with community organisations;
  - ~ government departments understanding the difficulties faced by community organisations;
  - ~ there being sufficient volunteers to provide the help needed by community organisations; and

- there being sufficient people with the skills and experience needed to run community organisations in the community.
- Funding insecurity
  - managing staff burnout;
  - alleviating funding uncertainty;
  - securing adequate funding; and
  - educating volunteers.

(Funding insecurity is a negative factor but overcoming this becomes a success factor).

These three factors for success have strength in that they were common to all groups, in all regions, both sectors and by status and came directly from the members of community organisations themselves.

Board members showed significantly more agreement with Scale 2 measuring “good external links with government and community” compared with managers and staff members  $F(2,219)=6.91, p<0.001$ . This reflects their strategic role. The differences were small and non-significant in other comparisons among position, geographical locations, and service type.

4. Phase 4 was a hui to discuss, challenge and confirm the research findings. The three factors for success were used as the basis for discussion. The hui was attended by representatives of Northland community organisations and the government departments that provide funding for community organisations in Northland. The attendees participated in a workshop where four groups were formed: board members, managers, service delivery staff and funders. The critical components of a successful community organisation were confirmed.

This project sought to increase the body of knowledge pertaining to community organisations in the areas of health and social services. It has highlighted difficulties including the haphazard way the sector has evolved, the problems of accounting for the distribution of funds and for measuring

success. The results of this project have shown that success for Northland community organisations depends on three main factors:

1. Having the ability and skills to build and maintain effective board, management and staff relationships.
2. Establishing and maintaining good external links with government and the community.
3. Managing funding insecurity.

Central to achieving maximum benefit from an organisation's human resources is the board, management and staff relationships. The main factors in establishing such relationships are clear lines of responsibility between governance, management and staff and developing clear role definitions that are supported by job descriptions. In addition, the project has identified many features which, if understood and acted upon by individuals establishing a community organisation or who are already involved in community-based service provision, will greatly improve their likelihood of success.

## Acknowledgements

I wish to acknowledge the support I have received throughout this project. In the first instance, I would like to thank my primary supervisor Dr Deb Spence, Joint Head of Nursing, Division of Health Care Practice, AUT University and David R. Thomas, Emeritus Professor, Social and Community Health, University of Auckland: both of whom have provided expert guidance, critical support and encouragement throughout the years of the project. I also wish to thank Neil Binnie (Statistician) for advice on questionnaire development early in the research planning process.

My grateful thanks go out to the many Northlanders who gave me their time and knowledge to inform the project.

I wish to acknowledge and thank Terri-Lynn Mitchell for her patience, commitment and expertise in formatting the thesis. Her support has been invaluable. I am also grateful to Marie Heald for her inspirational insight; Beth Neill for her knowledge and support; Laraine Martin and Lynne Butcher for their help and advice with the database development; and Wayne Lawrence for his design work. My thanks also to Ryan Bruce for his ongoing encouragement.

Finally, I would like to thank my wonderful family: Joe, Harry and Rory Darkins and Beryl Storey, whose constant support and encouragement kept me on track to complete this project.



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# Chapter 1

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## Introduction

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My background as a registered nurse working in the primary health and social sector in Northland over many years has enabled me to develop a range of mentoring skills that assist organisations who care for people in the community setting as they strive for community service development.

This project was prompted by a concern that an unacceptable number of Northland non-profit community organisations were failing, causing distress to the communities they serve and a loss of taxpayer monies. In addition, I could find no reliable source of information about the size and effectiveness of the health and social services provided by community organisations in the Northland region or any documented understanding of the difficulties they face.

Embarking on this project seemed timely as statistics indicated that the health and social status of Northlanders was declining (Reti, 2004). In contrast, other estimates indicated that the number of community organisations in New Zealand was increasing (Bradford & Nowland-Foreman, 1999; Cribb, 2005; Ministry of Economic Development, 2007; Salter, 2004; Tennant, Sanders, O'Brien, & Castle, 2006).

This project explores the issues confronting non-profit community organisations delivering services to the community in the areas of health and social services in Northland (Figure 1.1, p. 2). The aim is to identify the factors that contribute to the success of community organisations with a view to assisting them to identify and overcome the difficulties they face.

## 1.1 The Northland region

The Northland region is one of the most rural regions of New Zealand. When the planning of this project commenced in 2003, the available census statistics indicated that Northland had a population of 148,440, made up of 55,845 (37.6%) in the Kaitiaki and Kaikohe areas (referred to as the Mid-Far North in this project), 74,463 (50.2%) in the Whangarei District and 18,132 (12.2%) in the Kaipara District (Statistics New Zealand, 2001) (Figure 1.2, p. 3). Only 34.9% of the Northland population live in urban areas (Statistics New Zealand, 2001). Life expectancy was 74 years for males and 80.1 years for females (Statistics New Zealand, 2001). There were 36,117 families in Northland with 21% of these being one-parent families. The whole of New Zealand figure for one-parent families was 18.9% (Statistics New Zealand, 2001).

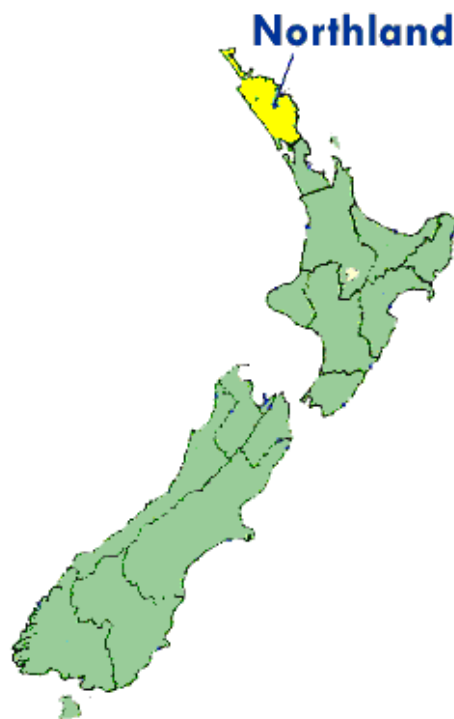


Figure 1.1 Map of New Zealand showing Northland

The largest iwi (see Glossary of Māori Terms, p. 175) in New Zealand is the Ngāpuhi of Northland. Thirty-one percent (31%) of the Northland population is Māori (46,016). Therefore Northland has twice the national average proportion of Māori people (15%) (Statistics New Zealand, 2001).

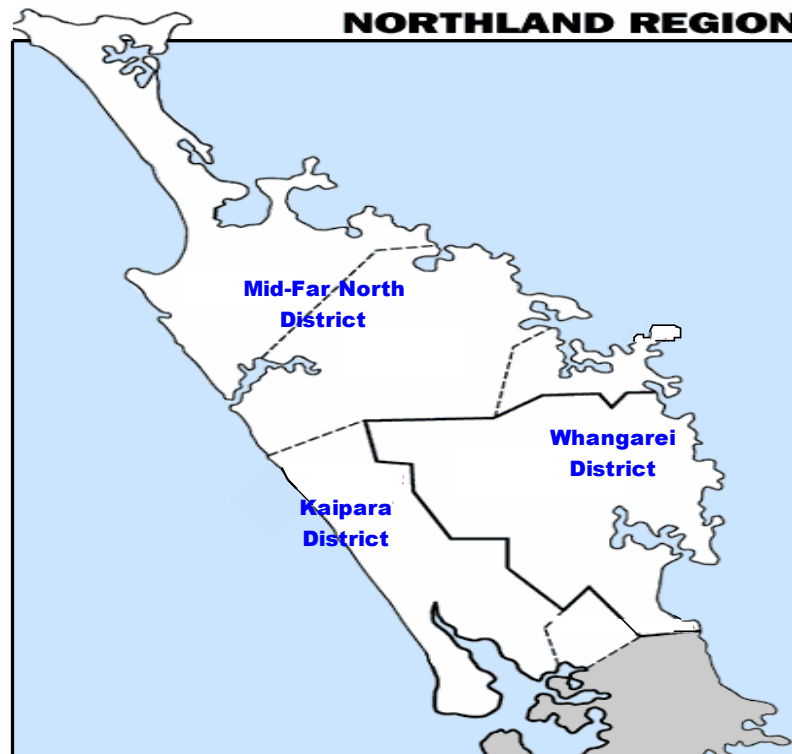


Figure 1.2 Northland region of New Zealand

Northland's health and social statistics are of concern. In particular, Māori have a higher representation in the lower socio-economic groups when compared with the majority of the New Zealand and Northland population (Reti, 2004). This is evidenced in several key indicators (Statistics New Zealand, 2001; Reti, 2004). Life expectancy for Māori is 9.1 years less than New Zealand Europeans (Statistics New Zealand, 2004). Household overcrowding is high (25.8%) compared with just 6% of European households; 20% of households have no access to telephones and only 18.1% have internet access (Ministry of Social Development, 2007). A lower household income is also experienced by Māori in Northland, the median being \$20,900, which is approximately \$10,000 per year

less than the New Zealand average of \$33,335 (Statistics New Zealand, 2001). Northland also has high needs in the area of income support with 30% of Māori people aged between 20-65 years requiring support because of unemployment levels that are traditionally amongst the highest in New Zealand (New Zealand Community Funding Agency, 1996; Statistics New Zealand, 2001; Reti, 2004). The reasons for the continuing disparity for Māori are complex but it is argued that contributing factors include the general state of the economy, a lack of employment opportunities, personal determination, educational achievement levels, and individual and family choice (Office of the Controller and Auditor-General, 1998).

A lack of regional data that accurately documents the extent of community need for health and social services exacerbates this situation (Reti, 2004). A study by the Northland District Health Board (2001a) confirmed an abundance of hospital-based statistical information but not regional community data. However, more recent work in these areas has enabled some broad conclusions. Reti (2004) associated social deprivation in Northland with poor health and reduced social well-being when he assessed the New Zealand Health Strategy objectives and concluded that the regional data presented a “deteriorating picture for Northland” (p. 3). He found that Northland, when compared with the New Zealand average, continued to show unfavourable levels of socio-economic determinants (Table 1.1, p. 5) especially in the areas of: reduced access to private and public transport; limited access to telephones; poor standards of housing; high unemployment levels and low educational achievement levels. The 2001 Census confirmed that unemployment in Northland had reached 10.2% compared to the rest of New Zealand at 7.5%. In addition only 27.5% of youth aged 15 years had successfully obtained qualifications when leaving school compared with 32.2% for New Zealand as a whole (Statistics New Zealand, 2001). The Northland Maps of Deprivation are in Appendix A (p. 208).

Poor health and social status is also particularly noticeable in Northland’s rural sector, which is home to approximately 96,634 people (Statistics New Zealand,



2001). Social determinants such as those in the previous paragraph often contribute to non-attendance for medical treatment, lower understanding and uptake of health education and a higher than average incidence of family violence and abuse of alcohol and drugs (Reti, 2004). Alarming, a recently updated report indicates that Northland's suicide rate stands at 39 deaths per 100,000 persons which is three times the national rate of 13 deaths per 100,000 persons with hospitalisations from self harm per 100,000 population increasing from 119 in 1999 to 206 in 2006 (Ministry of Social Development, 2007).

**Table 1.1 Socio-economic determinants of poor health**

1.	Communication	People with no access to a telephone
2.	Income	People aged 18-59 receiving a means tested benefit
3.	Employment	People aged 18-59 unemployed
4.	Income	People living in households with equivalised <sup>1</sup> income below an income threshold
5.	Transport	People with no access to a car
6.	Support	People aged <60 living in a single parent family
7.	Qualifications	People aged 18-59 without any qualifications
8.	Owned Home	People not living in own home
9.	Living Space	People living in households below equivalised <sup>1</sup> bedroom occupancy threshold

Despite these unfavourable statistics, Northland continues to have a strong community work ethic. Northlanders contribute a greater than average number of hours in voluntary work over and above paid employment (Northland District Health Board, 2001a; Child, Youth and Family Service, 2002). Ashton and Seymour (1988) suggest that the spontaneous giving and willingness of people to participate seen in the voluntary sector is often found in democracies like New Zealand. Volunteers have a capacity for "compassion, kindness and caring" (Wilkinson & Bittman, 2002, p. 19). New Zealand-wide volunteer participation is unusually high (67% of the total non-profit workforce); significantly higher than other countries such as Australia and Great Britain (48%) (Sanders, O'Brien, Tennant, Sokolowski & Salamon, 2008).

<sup>1</sup> Equivalisation methods are used to control error for family composition in Table 1.1. Sourced from: Statistics New Zealand. (2006). Identifying nonprofit institutions in New Zealand. The International Journal of Not-For-Profit Law, 8(3), 59-102.

## **1.2 Background to issues facing Northland's non-profit community organisations**

In New Zealand, community organisations deliver many health and social services drawing primarily on government funds to do so. Despite this, little research exists on performance, quality and effectiveness. Numerous discussions with members of community organisations, combined with information obtained from government employees involved in the approval and monitoring of community organisations contributed to the development of the research question. It was apparent from these conversations that most community organisations do not work collaboratively with other similar organisations, and in many cases, are not aware of the existence of other organisations. Some government departments appear to have current knowledge only of the community organisations they fund. Monitoring and recording systems are limited and do not provide a full picture of government contracting with the community sector (Cribb, 2005). Thus the number and the exact nature of services available to the community are unknown (Milward, 1996). Without coordinated regional or local monitoring of the growth and changes in community-based service delivery, community organisations can start up in an ad hoc manner with little knowledge of the activities of other community organisations in their geographical area. Moreover, some areas are relatively well served while others are underserved. One directory of community services based in a Mid-North town listed over 50 social service organisations for a population of 4000. Other areas appeared to have few services.

Despite the lack of monitoring and meaningful record keeping, Cribb (2005) and Tennant et al. (2006) confirm that there is a growing reliance on the community sector by the government for the delivery of public services. Factors include the pressures of modern society causing a breakdown in the structure of the traditional nuclear family and growth in aged and immigrant populations leading to a higher workload for the sector (Cribb, 2005; Tennant et al., 2006). Thus, improved understanding of the community sector is timely because these

researchers predict an increased future role for community organisations in the delivery of public services.

However, there are major problems inherent in placing such reliance on the community sector. Community organisations can cease operation ‘overnight’, leaving staff unemployed and the community they served stranded. This is particularly significant because of the detrimental effect such events have on the communities of New Zealand. These effects can be seen in the steady stream of closed organisations and accusations of fraud and mismanagement highlighted in the New Zealand media (Dinsdale, 2002; Gifford, 2006; Laird, 2007a). One high-profile example of such closure in Northland was the case of Te Hau Ora O Te Tai Tokerau (THOTT). This organisation, which provided family support services and education-based programmes that were working to provide early childhood support and resolution of family violence, closed suddenly in 2002. The organisation had failed to meet its contractual obligations with the government and was alleged to have been responsible for a loss to the taxpayer of several millions of dollars (Dinsdale, 2002). An investigation resulted in the withdrawal of government funding and the closure of the organisation. THOTT subsequently went into liquidation and the matter was put into the hands of the Official Assignee to administer the insolvency (Dinsdale, 2002).

In a more recent example, the Solicitor-General ordered an investigation into the Whangarei Hearing Association Incorporated following allegations of misappropriation of funds. The association was “hijacked” by management who “were supposed to be helping the hearing impaired” (Laird, 2007a, p. 3). The subsequent official inquiry was under the terms of Section 28 of the Charitable Trust Act 1957. It was alleged that the management of the community organisation invited several of their ‘friends’ to manipulate the voting so that the incumbent board members were replaced at the Annual General Meeting (Laird, 2007a). The court subsequently put the organisation into liquidation and a police investigation commenced.

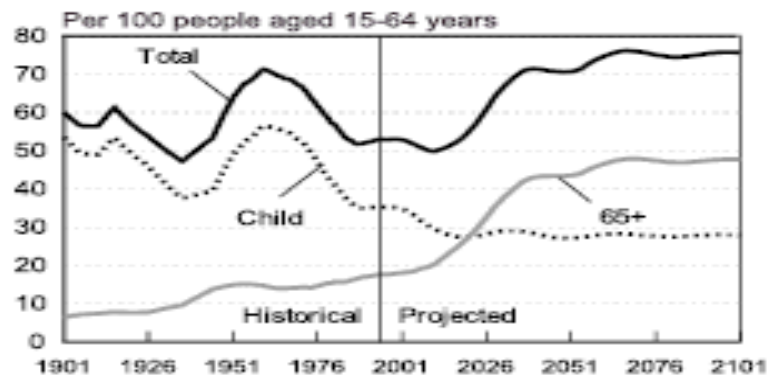
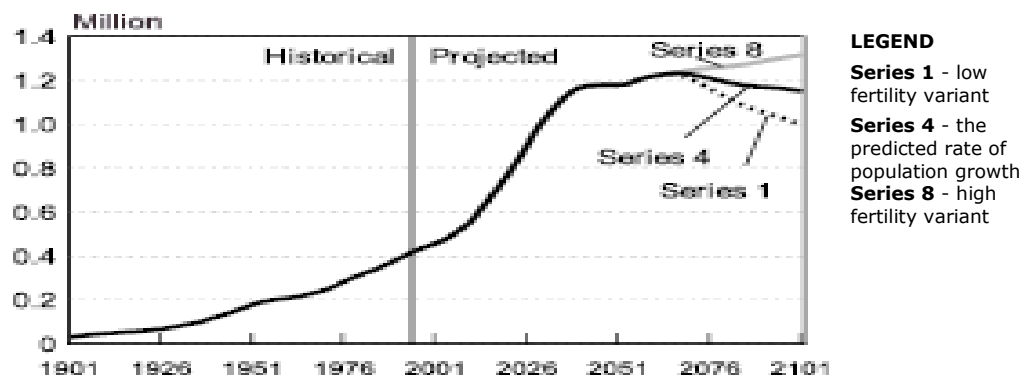
Another case in 2006, investigated at the request of government funders, involved a comprehensive review of Ngapuhi Iwi Social Services. This organisation, based in Kaikohe in the Mid-North, was responsible for delivering iwi-based social services to Ngapuhi whanau and was receiving \$2,000,000 a year from government-funded contracts. The subsequent review resulted in a referral to the Serious Fraud Office (Gifford, 2006).

Each of these high-profile failures of community organisations has resulted in substantial losses to the taxpayer, loss of employment to local staff and loss of vital services to the local communities they served. A more comprehensive discussion of the funding, contracting, governance and management difficulties facing Northland community organisations will be provided in Chapter 2. The situation for community organisations is not expected to get easier, in fact quite the opposite, and as processes become more complicated the chances of failure are increased.

Several authors predict increasing difficulties for the New Zealand community sector. The demand for services is increasing as more health and social care is carried out by the non-profit sector (Reti, 2004; Majumdar, 2004). The ageing population and an increasing level of welfare dependency in New Zealand are also factors (Figures 1.3 and 1.4, p. 9). For example, population statistics for Northland indicate 14.4% of the population is aged over 65 years with the New Zealand average at 12.3% (Statistics New Zealand, 2004). Trends such as this will be exacerbated as clients with more complex health needs are referred to the sector for care (Majumdar, 2004). The lack of residential beds for people suffering from Alzheimers disease is one example. In Northland this situation is compounded by pressure on clients admitted to public hospitals to be cared for in the community setting (Foster, 2007). Moreover, higher levels of skill will be required from providers as clients' needs and expectations increase (Malcolm, Rivers & Smyth, 1993).

I concluded that the many issues facing community organisations required further research. Of particular concern to me was the disruption caused when

organisations fail. These failures, when placed alongside several authors' references to a lack of coordination and appropriate monitoring systems of the community sector, coupled with the ad hoc growth of the sector in New Zealand and internationally, are disturbing. The predicted increase in the needs of the New Zealand population, especially in terms of health and welfare dependency, along with the increasing numbers of elderly people, also made this research timely. I believed the issues were serious and needed investigating.



<sup>2</sup> Figures 1.3 and 1.4 sourced from: Statistics New Zealand. (2008a). *Changing face of New Zealand's population*. Retrieved 3 July, 2008, from <http://www.stats.govt.nz/products-and-services/Articles/popchan-Sep2000.htm>

### 1.2.1 Development of the research question

In my various roles in the community sector I have had numerous discussions with members of community organisations who have sought help with the difficulties they face. This, combined with information obtained from government employees involved in the development, approval and monitoring of community organisations, contributed to my desire to seek further understanding of the non-profit sector. No one was able to confirm how many community organisations there were either in New Zealand or in Northland. Some geographical areas in Northland seemed to have a paucity of services whereas others had several organisations delivering similar services. This, along with the lack of international, New Zealand, and more specifically, Northland-based research into the non-profit community sector, contributed to the development of my research question. In order to proactively assist community organisations, I decided to research the factors required for success. Adopting this focus facilitated a systematic and logical approach to understanding the successes and difficulties faced by Northland community organisations.

This project explored the issues confronting non-profit community organisations delivering services in the areas of health and social services in Tai Tokerau (Northland), New Zealand. Identifying the factors contributing to the success of community organisations would potentially assist community organisations to identify and overcome the difficulties they faced. The research question became: *What factors make a community organisation successful?*

This research question is congruent with the writing on organisational success by Egan (1993) which identified the essential criteria for effective operation mainly in the business sector. This is discussed in more detail in Chapter 2.

### 1.2.2 Justification for the research topic

Preliminary research outlined in Section 1.1, p. 2, coupled with a search of international literature, confirmed my suspicion that there is a worldwide gap in knowledge relating to the number, function and effectiveness of community

health and social service organisations. The exception is the Comparative Non-Profit Sector Project directed by Lester Salamon of the Johns Hopkins University. Commenced in the early 1990s in 13 countries, this research had spread to more than 40 countries by 2000 (Salamon & Sokolowski, 2000). However, despite the large amount of data obtained from this research Salamon and Sokolowski (2000) caution that the sector still remains the “lost continent on the social landscape of modern society” (p. 1.). This warning is particularly poignant because internationally, the non-profit sector engages approximately 40 million people and has approximately 190 million volunteers with an annual expenditure gauged at \$US1.3 trillion (Bilzor, 2003). Of the countries studied thus far by the Johns Hopkins University researchers, the Netherlands has the largest percentage of non-profit workforce (12.6%) when compared with total employees from all other sectors: Ireland, 11.5%; Belgium, 10.5%; Israel, 9.2%; the United States, 7.8%; Australia, 7.2%; and the United Kingdom, 6.2% (Salamon & Sokolowski, 2000). They report that approximately two-thirds of all employment in the sector is in three main areas, those of education (30%), health (20%) and social services (18%). The international literature is discussed in more detail in Chapter 2 (p. 21).

When the project commenced I found little New Zealand-based research into the non-profit health and social services sector. One study was of the non-profit primary community health care sector by Crampton, Davis, Lay-Yee, Raymont, Forrest and Starfield (2005), which confirmed a paucity of research and no comprehensive data on the types of funding streams available to the non-profit primary community health care sector.

The deficit in available factual information greatly inhibits the development of the partnership between community organisations and the government (Cribb, 2005). From the perspective of this project, the paucity of local research exists despite the growing evidence of increasing inter-sectoral involvement between central government, local government, non-government organisations and the community (Northland District Health Board, 2001a). Official statistics need to

be more accurate because policy development requires information that is current, reliable and based on empirical evidence (Cook, 1999).

I expect that the findings of this project will contribute valuable information for Northland and assist in creating a framework for successful organisations that could be replicated in other areas of New Zealand.

### **1.3 Key research definitions**

To achieve consistency and a clear understanding of the key terms used within this project a glossary of Māori terms is listed on page 175.

Internationally, the terminology used in reference to community organisations is varied. Moreover, the informal way in which such organisations are developing, their rapid growth and the interchangeable terms used to describe them both internationally and in New Zealand have created some confusion (Baxter, 2002; Ministry of Social Development, 2001; Robinson, 1993; Tennant et al., 2006).

#### **1.3.1 Terminology used to describe community organisations and the sector**

The terms used include: voluntary organisation, community organisation, non-profit, non-government organisation (NGO), voluntary organisations, charitable sector, independent sector, non-government sector, and non-governmental sector (Statistics New Zealand, 2006; Tennant, 2001; Tennant et al., 2006). Other descriptions include: international non-government organisation (INGO); environmental non-government organisations (ENGO); quasi-autonomous non-government organisation (QUANGO) (Willems, 2006). References are also made to ‘third sector organisations’ meaning that they are independent of the government and have different characteristics to public and private sectors, but are integral in the provision of care to the community (Anheier, Rudney & Salamon, 1992; Robinson, 1993; Salamon & Anheier, 1996; Tennant et al., 2006).



### *Description of community*

The minimum definition of ‘community’ refers to all the people living within a specific geographical area (Abercrombie, Hill & Turner, 1994; Thompson, 1995). Community encompasses all people who live within a geographical area who are clustered in groups that are characterised by socio-economic status, race, tribal affiliations and/or life-style choice (Figueira-McDonough, 2001). For the purpose of this research, ‘community’ comprises those communities within Tai Tokerau (Northland).

### *Description of community organisation*

The term ‘community organisation’ is used in this current project to describe non-government organisations (NGOs), including Māori iwi organisations. The internationally agreed definition endorsed by Statistics New Zealand is that: the community organisation is organised to the extent it can be separately identified. It is non-profit and does not distribute any surplus to those who own or control it; the organisation is required to be institutionally separate from the government, self-governing (in control of its own destiny) and non-compulsory, meaning that its membership and participation are voluntary (Statistics New Zealand, 2007).

The research definition of non-profit organisations for international research carried out by the Johns Hopkins University is “the set of entities that are organised, private, not-profit distributing, self governing, and non-compulsory” (Nowland-Foreman, 2006, p. 3). Salamon and Anheier (1996) describe the important philosophical features of community organisations as: having a focus on promoting the public good; pursuing social fairness or justice; displaying honour in their regard for others rather than for self; and using evidence-based practice when giving their advice, support and help.

The Johns Hopkins International Classification 1 of community organisations (Salamon & Anheier, 1996) includes services in the fields of:

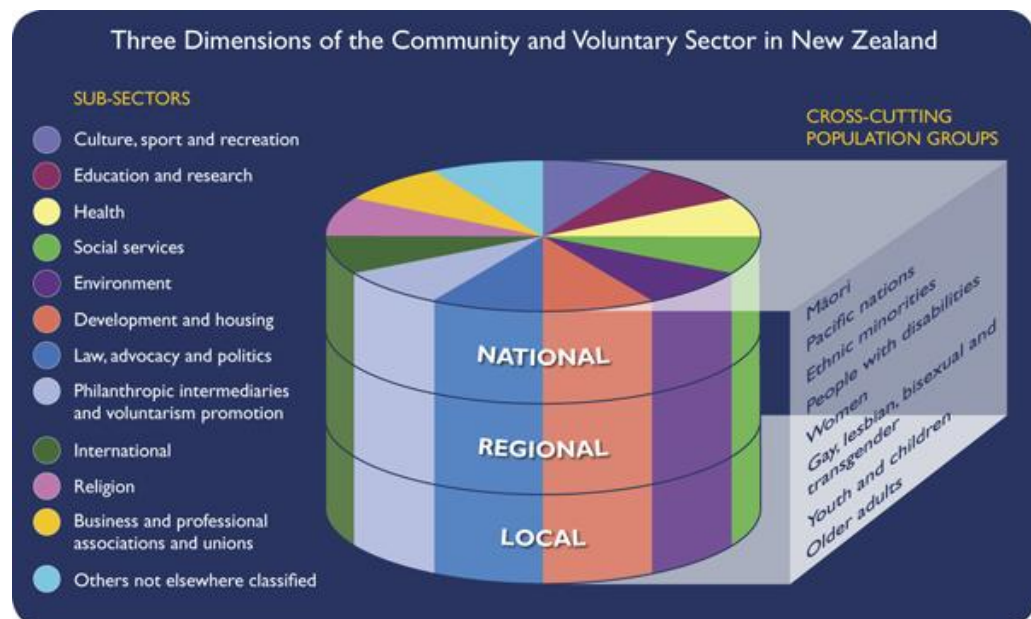
- art;
- business and professional organisation, and unions;
- culture;
- education and research;
- environment;
- health and social services;
- housing and development;
- human rights (and the protection of);
- international activities; and
- philanthropy with voluntary participation.

### *The role of the non-profit sector in New Zealand*

The non-profit sector (made up of community organisations) provides a wide range of services to communities and is driven by the values of the members with an ultimate purpose of realising a social mission, not profits (Salamon & Anheier, 1996). Community organisations play many different roles in society. Smith and Lipsky (1993) emphasised the important qualities that make a community. These include the sense of inclusion and belonging, inclusion in community activities and a deep understanding of the true value of community. Community organisations are “tangible, significant manifestations of community” (Smith & Lipsky, 1993, p. 22). They have unique goals, values, and objectives that make them valuable in their own right (Statistics New Zealand, 2007). Every action in a community organisation is ultimately directed to serving the clients or consumers of the service (Office for the Community and Voluntary Sector, 2009). This ranges from direct provision of services to individuals, groups and to the environment to offering support and self-help by members to members. Included are advocacy; education and research and community business. Community organisations play a key part in the economic, social, cultural and environmental life of New Zealand on a local, regional and national level (Delahunty, 2008).

People in communities often come together to form organisations to carry out purposes that have not been recognised by any other institution to address unmet community need. The work, therefore, is innovative, often risky and occasionally controversial, as it puts them at the cutting edge of social, political, economic and environmental development of society (Delahunty, 2008). Two different sub-sectors make up the general functions of a non-profit community organisation in New Zealand, on a national, regional and local level (Ministry of Social Development, 2008; Office for the Community and Voluntary Sector, 2008):

- Service type community organisations that deliver direct services such as education, health, housing, community development; and social services; and
- Expressive type community organisations that provide avenues for the expression of culture, arts, religion, civic promotion, advocacy, recreation and sport, environmental protection; and business, labour, religious, and professional representation (Office for the Community and Voluntary Sector, 2008).



**Figure 1.5 Dimensions of New Zealand's community and voluntary sector**  
(Ministry of Social Development, 2008; Office for the Community and Voluntary Sector, 2008, p.2.)

My project has focussed on community organisations within the health and social services in Northland. Services include: public health education, age-related services, health support services and mental health services. Social services include: individual and family education services, abuse prevention services, information and advice services, emergency housing, family support and counselling and rehabilitation services.

Contributing to the lack of knowledge of the community sector has been the minimal legal controls that have allowed community organisations to be set up or to cease operation in an unregulated way. Recent research, both internationally and in New Zealand, has resulted in more emphasis being placed on the understanding and regulation of the sector.

In New Zealand, most community organisations have the legal status of an incorporated society or an incorporated charitable trust. They are non-governmental and operate on a non-profit basis. The main similarities between these two legal structures are their ability to employ personnel, receive financial grants and to enter into contracts with government agencies. Key differences include their size, charitable status, the makeup of their membership, their decision-making methods and their accountability requirements.

### *A successful organisation*

The minimum definition of ‘success’ outlines the achievement of an aim or an outcome that is favourable (Thompson, 1995). Friedman and Lyne (1999) describe success within an organisation as achieving all, or the majority of set objectives. They argue that “success and failure are not watertight compartments, but there are degrees of success and failure” (p. 7) along a continuum ranging from total success through to complete failure. The criteria for a successful organisation for this project was influenced by the work on organisational success by Egan (1993). His work has been adapted into a model of organisational success by Impact Consulting Business Psychologists (2007) (see Figure 2.2, p. 27).

The criteria for a successful community organisation used within this project were an organisation:

- that had been operating within Northland for more than five years;
- with an annual staff turnover of less than 20%;
- that had a history of proven client satisfaction;
- which met their contractual obligations with funders; and
- that was able to appropriately account each year for monies received by financial reporting and audited accounts.

### *Difficulties*

‘Difficulties’ have been defined by Thompson, (1995) as hindrances to progress. In an organisational sense, Friedman and Lyne (1999) use difficulty or failure to describe situations in which the majority of initial objectives are not met and there are no significant benefits noted; and therefore sustainability is not assured.

For the purposes of this project, a failed organisation is one that has ceased operation in Northland within the last five years (prior to 2005) because of difficulties such as high staff turnover; service delivery failures; an inability or reluctance to meet contractual obligations with funders and being unable to appropriately account for monies received.

## **1.4 Intended research outcomes**

This project seeks to increase the body of knowledge pertaining to community organisations in the areas of health and social services. This will be achieved by identifying the factors required for a successful community organisation and increasing understanding of the issues and problems confronting such organisations. The information will assist government department policy-makers, planners and funders by providing validated data. Complete and validated data has previously not been available (Majumdar, 2004). This will also assist government decision-makers in the targeting and quantifying of their funding decision-making. In turn, this has the potential to improve health

and social outcomes through enhancing community development. The project design is also one that can be replicated to add to the body of knowledge on community organisations for other regions of New Zealand and internationally.

Upon completion of this project I plan to use the findings to develop a multi-purpose guide that will:

- assist Northland families in locating and accessing local community services;
- assist with the alignment of those services for families; and
- help inform policy-makers, planners of services and funders of health and social services for the future.

The Ministry of Social Development in Northland has expressed interest in this research and I have been able to draw on their expertise and support in the form of advice and encouragement.

## 1.5 Research structure

A four-phase study using a mixed-method approach based on the development design as outlined by Greene et al. (1989) was chosen to answer the research question. The research consists of four phases, with each phase building on the findings of the previous phase. This is represented in Figure 1.6, next:



Figure 1.6 The four-phase project

The project is presented in seven chapters as follows:

### **Chapter One: Introduction**

Chapter One introduced the project and described the Northland region of New Zealand. A background to the issues in Northland that prompted the project was provided. The research topic was justified and the intended outcomes of the study are presented. Definitions of key terms were outlined.

### **Chapter Two: Literature review**

This chapter reviews the literature pertaining to community organisations. Its purpose is to contrast the project within the context of published documents related to the research question: *What factors make a community organisation successful?* A model of success by Impact Consulting Business Psychologists (2007) is outlined. A background to structural reform of health and social service delivery in New Zealand is provided. International and national influences on Northland are critiqued and discussed alongside information gleaned in my role in the Northland community sector. This chapter highlights gaps in knowledge and research and difficulties faced by community organisations on international, national and local levels.

### **Chapter Three: Theoretical and methodological framework**

This chapter provides a review of relevant methodological literature. Decisions relating to the use of a mixed method design are justified and the paradigm debate, theoretical stance and epistemology are discussed in relation to this project.

### **Chapter Four: Research methods**

This chapter outlines the methods used to answer the research question. Selection criteria and processes are discussed and ethical considerations are outlined. Data collection, analysis and the validity and reliability of the method for this four-phase study are explained and justified and limitations discussed.

The chapter is presented under the sections of the four phases of the study:

- Phase 1: A demographic profile of community organisations in Northland;
- Phase 2: Key informant interviews;
- Phase 3: Mail survey; and
- Phase 4: A hui to challenge/confirm the findings.

### **Chapter Five: Findings**

This chapter presents the findings from each of the four phases of the project.

### **Chapter Six: Discussion of the findings**

In the discussion chapter, the findings are presented as an integrated whole. A point-by-point analysis justifying how the findings answer the research question is provided. The three key findings: effective board, management and staff relationships; good external links with government and community; and funding insecurity are then compared with the extant literature. The limits of the project are discussed in this chapter.

### **Chapter Seven: Conclusion**

This chapter provides an explanation and model of the factors that make a community organisation successful in Northland and makes a comparison of the differences in the factors for success between the non-profit and for-profit sectors in light of this project. This final chapter concludes the project and includes recommendations.



## Chapter 2

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### Literature review

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The purpose of this literature review is to locate the project within the context of published documents and personal communication from members of Northland community organisations relating to the research question: *What factors make a community organisation successful?*

The key words and phrases used to guide the online search of Google Scholar, Academic Index, INNZ and the Australia/NZ Reference Centre were: ‘non-profit organisations’, ‘third sector organisations’, ‘community organisations’, ‘organisational success’ and ‘difficulty’.

Databases accessed included health and social service research from Academic Search Premier, Australia/NZ Reference Centre, EBSCO MegaFile Premier, OVID, Health and Wellness Resource Centre, OUP Journals, JSTOR, InfoShare (Statistics New Zealand), Academic One File, A+Education, Emerald Management Extra, Index New Zealand (INNZ), ProQuest Dissertations and Theses, ProQuest and Social Science Journals. Government websites accessed included the Ministry of Health, Ministry of Social Development, Department of Internal Affairs, Regional and District Councils in Northland, Child, Youth and Family Service, and Northland District Health Board.

In this chapter, factors contributing to success and difficulty for community organisations are discussed under the following themes:

- empirical research on organisational success;
- Impact Consulting Business Psychologists model of organisational success;

- background to structural reform of health and social service delivery in New Zealand;
- international research into community organisations;
- New Zealand research into community organisations; and
- internal and external difficulties for community organisations in Northland.

## **2.1 Research on organisational success**

There is an acknowledged deficit of research in the non-profit sector (Anheier, 1990; Cribb, 2005; Herzlinger, 1996; Salamon & Anheier, 1996). In addition, the non-profit sector has traditionally been missing from international economic statistics (Leigh, 2006; Wallis & Dollery, 2006). In contrast there is an abundance of international research in the for-profit environment, including defining success factors. Although researchers link success to a variety of factors, they concede that determining what makes a successful for-profit organisation is often elusive (Wilson, Desmond & Roberts, 1994; Harmon, Fairfield & Wirtenberg, 2010).

In the main for-profit sector success research links the level of success of an organisation directly and primarily with its financial profitability (Flamholtz & Aksehirli, 2000; Flamholtz & Hua, 2002). Emphasis is placed on factors such as the organisations market share, the effectiveness of marketing strategies and advertising campaigns. When reporting on the organisations performance the Chief Executive Officer or Business Correspondents' will invariably state that the organisation had a successful year if profits are up. More for-profit organisations too, are associating greater financial success with developing ethical corporate social responsibility (Booz, Allen & Hamilton, 2005; Briggs & Verma, 2006; Burke & Logsdon, 1996).

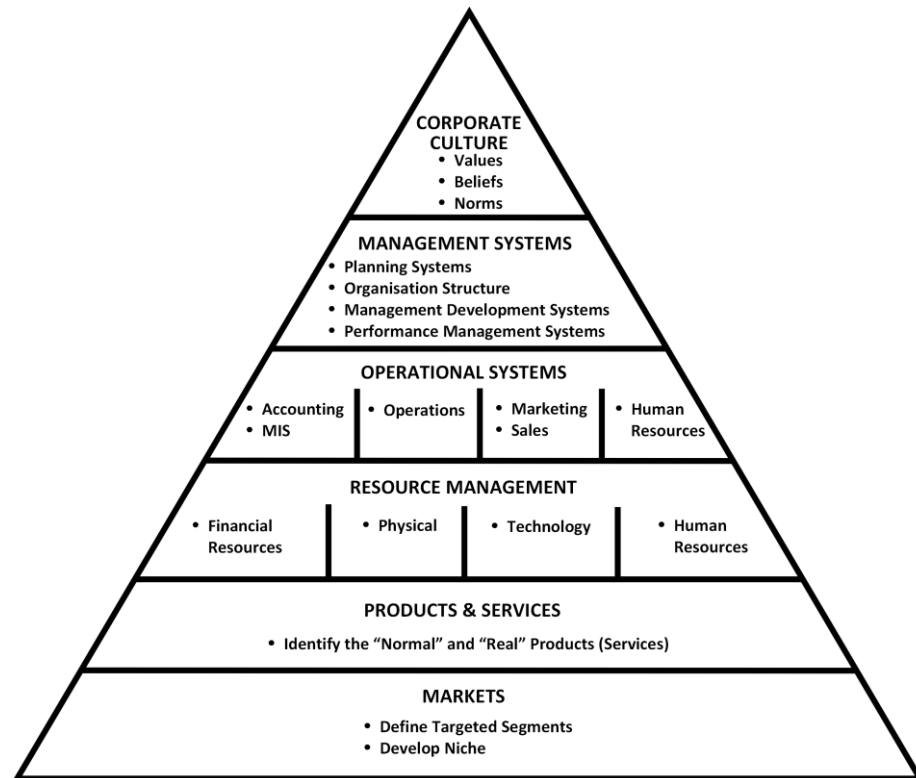
For-profit sector researchers though prioritise success in a variety of ways including establishing:

- Effective human relationships within business partnerships; a collaborative approach that continuously creates new organisational value that is focused on the future; and current and dynamic systems that evolve progressively to yield benefits for all partners (Kanter 1994).
- A clear understanding of the manufacturing systems; a framework that allows all employees to do their job effectively and creating a positive work attitude (Wilson, Desmond & Roberts, 1994).
- Processes that place the responsibility for quality control on all employees; a workplace culture that emphasises excellence in employee training, employee relations and streamlines operating processes (Baker, Starbird & Harling 1994).
- Competent leadership; meeting and achieving defined strategic goals; gaining public recognition; achieving longevity; meeting the needs of members; equitable decision making in structure and process; commitment to unity and cause; and developing and maintaining mutual trust and respect. (Mizrahi & Rosenthal 1996).
- Performance measures, adherence to organisational mission, effective marketing, praising positive attributes amongst staff and strategies that meet customer requirements (Eaton, 2010).
- Careful strategic alignment that enhances the fit between the business environment and the intended business processes and complimented by a policy of continuous improvement (Trkman, 2010).
- Adherence to the business plan or strategy (Levinson, 2010).
- A strong human resource system with the ability to develop cohesive organisational structures; financial stability and an understanding of global issues (Harmon, Fairfield & Wirtenberg 2010).

I then drew from the extensive research by Flamholtz and Aksehirli (2000), who empirically tested several authors' work to establish a model for success in the for-profit sector. Included were Aldrich (1979), Brittain and Freeman

(1980), and Freeman and Hannan (1983), whose research determined that success centered on finding and defining the market niche in a continuously changing market environment. Starbuck (1965) emphasized the need for systems to reflect the daily operation of the organisation, with consideration of the specific organisational culture. Research by Burns and Stalker (1961) and Midgeley (1981) promoted the need to target services and products for a clearly defined niche market in order to be profitable. Pfeffer and Salancik (1978), Brittain and Freeman (1980) and Carroll and Yangchung (1986) all researched the resources required by an organisation to operate successfully in the market place: these included the development of effective internal practices, including recruitment policies and production strategies and nurturing external links to enhance market collaboration and flexibility.

Flamholtz and Aksehirli (2000) hypothesised a link between success and financial performance. They therefore analysed financial and non-financial systems within eight multinational industries, including those providing information technology, international transport, and fashion and food provision. Their research culminated in a holistic framework (the pyramid of organisational development) that included six key indicators of successful operation (Figure 2.1, p.25). Flamholtz and Aksehirli (2000) concluded that there was a link between the use of this model and the financial performance of a for-profit organisation and argued that the management role was integral in making this model work because of the managers involvement in strategic planning and development. Additional examination of the Pyramid of Organisational Development model carried out by Flamholtz and Hua (2002) provided further evidence of a link between adherence to the pyramid model and financial success in the corporate world.



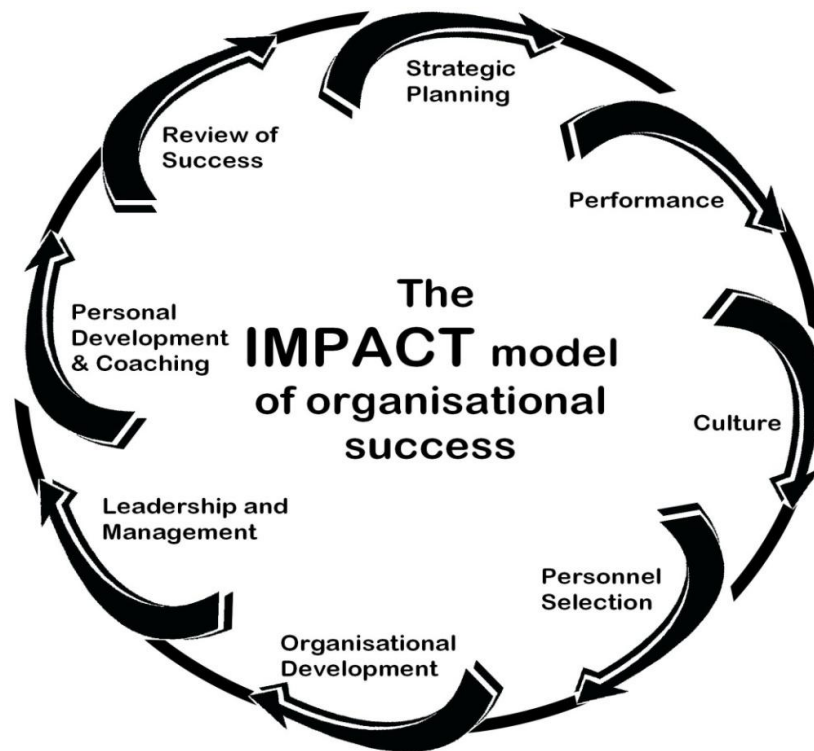
**Figure 2.1 The Pyramid of Organisational Development**  
(Flamholtz & Aksehirli, 2000)

I decided to research further to see if I could find a model that was used in both the corporate and non-profit sector that could inform my project. I found that the Impact Model of Organisational Success was currently being utilised as a tool for organisational success in Great Britain, in both the commercial and non-profit arena (Impact Consulting Business Psychologists, 2007). For example, Impact Consulting Business Psychologists (2007) report successfully assisting a large international for-profit organisation by developing team processes, defining roles and teaching organisational behaviour strategies. They also provided support to a large Primary Care Trust assisting with strategies to improve team building and manage conflict.

I considered that this assistance was crucial in that Primary Care Trusts have a commissioning function and a providing function and are tasked with making decisions about funding and the type of services that hospitals provide. Primary Care Trusts are responsible for service quality in assisting the population of their region in the areas of health and wellbeing. To do this they must have a cohesive infrastructure. I decided that the areas in which the Impact Model of Organisational Success was being utilised were significant and decided to research this model further to inform my project.

## **2.2 Impact Model of Organisational Success**

Further research of the Impact Model of Organisational Success, highlighted that it was currently being utilised as a tool for organisational success in Great Britain and was built from the work of Professor Gerard Egan, who has significantly influenced the field of organisational studies and psychology. His extensive research has resulted in published systems and strategies for organisational success. Egan's work is one of many that have centred on the for-profit business world to create systems that add strength and value to organisations (Brennan, 1993; Collins & Porras, 2000; Csikszentmihalyi, 2003; Egan, 1993; Egan, 2002; Sims, 2002; Young, 1993). The criteria identified as essential to organisational success by Egan (1993) are widely accepted. A team of business psychologists have synthesised Egan's work for training and education purposes, producing a model that identifies factors organisations need to consider in order to be effective (refer Figure 2.2 and Table 2.1, p. 27), and have evaluated and refined this model through their professional consulting practice in the United Kingdom (Impact Consulting Business Psychologists, 2007).



**Figure 2.2 The Impact Model of organisational success**  
(Impact Consulting Business Psychologists, 2007)

**Table 2.1 The eight essentials of organisational success**

<i>Strategic planning</i>	Whereby the main long term targets and goals of the organisation are strategically identified. This involves identifying the vision of where the organisations want to be and the criteria of success required to achieve this.
<i>A performance strategy</i>	That identifies what needs to be done operationally within the business and the extent to which the set goals of the organisation have been achieved.
<i>Culture</i>	Which involves the correct identification of the values, beliefs and norms that impact on the organisation. These include conflict resolution, job satisfaction and team bonding.
<i>Personnel selection</i>	Involves techniques which ensure that up to date methods are included when selecting personnel.
<i>Organisational development</i>	Which includes determining the development required to meet set objectives that include everyone in the organisation.
<i>Leadership and management</i>	Which involves effective leadership and management that provides direction and a co-ordinated approach to development, and encourages constant motivation of staff throughout the organisation.
<i>Personal development and coaching</i>	Which is considered to be extremely important in assisting individuals and organisations to obtain a commercial advantage. This category includes both individual and organisational development.
<i>Review of success</i>	Which includes an evaluation and review process of the success of the organisation and its effect on the strategic vision of the organisation with regular employee, stakeholder and consumer feedback and analysis of organisational strengths, weaknesses, opportunities and threats.

*Impact Consulting Business Psychologists (2007)*

The Impact Model has been tested in a wide variety of organisations in the United Kingdom including the public and private sectors, and government and business settings (Impact Consulting Business Psychologists, 2007). From the evidence presented, some of these organisations appeared to have similar organisational and legal structures to those in the New Zealand and Northland settings, although they are larger in terms of staffing levels, client numbers and budgets. I decided to compare the Impact Model of Organisational Success with the factors for success resulting from my research into the non-profit sector in Northland. I reasoned that issues of success and failure for United Kingdom organisations were congruent with the New Zealand setting because health and social service management in New Zealand is derived from the British system. Applying the Impact Model of Organisational Success to the New Zealand context required me to study the available socio-political literature in order to understand the significant structural reforms that have influenced community organisations in New Zealand and in Northland. It is to this topic that I now turn.

## **2.3 Background to structural reform of health and social service delivery in New Zealand**

Prior to the 1980s, the New Zealand government was the main provider of services in the areas of health and social services (Tennant, 2007). However, public sector reform over the last 25 years has led to a broadening of the service delivery base both in New Zealand and worldwide. During this period successive New Zealand governments have steadily decentralised the responsibility for providing social welfare, and to a lesser extent health-related services, to community organisations (Boston, Martin, Pallot & Walsh, 1991; Majumdar, 2004). Community organisations are now frequently involved in delivering public services and ensuring government objectives for these sectors are met (Barrett, 2001; Office of the Controller and Auditor-General, 2006).



### **2.3.1 The significant reforms of the 1980s in New Zealand**

The fourth Labour government of 1984 to 1990 embarked on a significant reformation of the economic strategies and management structures in New Zealand (King, 2003; Rudd & Roper, 1997). According to King (2003) and Trotter (2007), Labour was not united in this direction at this time. Differences in philosophies amongst senior Labour politicians resulted in a three-way split. Some ministers urged an approach of conserving past policies. Others took a radical neoliberal stance and a third group supported change but were driven to protect the values of a caring New Zealand (Easton, 2004). The “New Right” policies (Janiewski & Morris, 2005, p. 1) based on economic rationalism originating from the theories of classical liberalism and neoliberalism dominated (Rudd & Roper, 1997). Hackell (2007) suggested that the changes that resulted derived from political differences rather than strong adherence to neoliberal policies. Moreover, the belief that New Zealand was economically secure was lost as economic security was undermined (Janiewski & Morris, 2005). Hackell (2007) describes three defining phases of neoliberal influence in New Zealand. The first was in the Labour reforms of the 1980s, the second the redesign of the welfare state by National in the 1990s and the third was the struggle between the Labour party in opposition and the National-led minority government of the late 1990s.

In its pure form, neoliberalism is promoted as the mechanism for global trade and investment, in the belief that nations can prosper and develop in a fair and equitable way (Kegley, 2007; Nozick, 1974). The ideology is that free markets balance naturally through the pressures of market demands thereby encouraging successful market-based economies (Shah, 2007). The two essential principles of neoliberalism, as an ideology, are the promotion of freedom anchored in the individual and the private sector, and that successful economic growth is dependent on the liberalization of markets (Pryke, 1999). Advocates for neoliberalism reject the welfare state (Kegley,

2007) on the basis that each person has the ability to look after themselves (Tenbensen & Gauld, 2001). Because of the neoliberal mindset, policy makers rallied against the perceived high level of government spending on health, social services and education (McClure, 1998). In 1988 and 1989 three major pieces of legislation, the 1988 State Sector Act, the 1989 Public Finance Act and the 1989 Reserve Bank Act were passed in the New Zealand Parliament (Treasury, 2007). The implementation of these Acts significantly altered the culture of government in New Zealand in that they brought about a separation of policy and service delivery (Tennant, 2007). The Department of Māori Affairs was disbanded and, following many changes by successive governments, Te Puni Kokiri (the Ministry of Māori Development) was established in 1992 to replace Manatu Māori (the Ministry of Māori Affairs) and Te Tira Ahu Iwi (the Iwi Transition Agency) (Cheyne, O'Brien & Belgrave, 2000).

The substantial structural changes of 1984 to 1999 caused by the economic reforms were reflected in erratic growth performance (Reserve Bank of New Zealand, 2007). Attention to workforce planning especially in the health sector was minimal (Martin & Salmond, 1991). The new Labour leader David Lange inherited “a close to bankrupt economy” from the National party leader Robert Muldoon (McClure, 1998, p. 231). Critics described the welfare state as being the cause of current problems, rationalising that “social welfare removed the people’s ability to be self sufficient” (McClure, 1998, p. 233). During 1991, the economic reforms of the Labour government of 1984 were intensified by the new National government (Randerson, 1992). The expectation following the Labour government’s resounding defeat in the general election of October 1990 was one that allowed the continuation of the reformation of the welfare state (Boston, Dalziel & St John, 1999). Changes in the health and social sectors were fast and substantial (Boston et al., 1999). Castles and Shirley (1996) argue that the fourth labour government merely provided the platform for significant social welfare change, with the most radical and substantial changes occurring in the era of the 1990 National government.

The National government introduced extensive social changes resulting in major transformations of most aspects of welfare (Blank, 1994; Boston et al., 1999; Randerson, 1992). This was to have a severe effect on the communities of New Zealand. In a nutshell, the rationale for these decisions was based on the belief that the public sector was too large; that it absorbed too great a proportion of gross domestic product (GDP) and more “equitable modes of delivering social assistance” were needed (Boston, 1992, p. 1). The then Minister of Finance, Ruth Richardson, was quoted as expressing views that the “heart of the country’s problems was the crushing burden of government spending” (Richardson, 1991, p. 7) and that there had been “years of chronic overspending by the state” (Richardson, 1990, p. 17). Boston (1992) describes this political shift as setting a direction whereby all people are encouraged to participate in the community, and therefore to feel that they belong.

This change of tack by the National Party in government resulted in substantial cuts in the value of welfare benefits, and increased targeting in the areas of health and education and income maintenance (Boston et al., 1999). Alongside this were radical changes in the way that social assistance was delivered, especially in housing and health care (Boston et al., 1999).

### **2.3.2 The effect of radical policy change on New Zealanders**

Poverty levels in New Zealand more than doubled, from 4.3% of the population to 10.8%, between 1984 and 1993 (Stephens, Waldegrave & Frater, 1997). The public perception was that the government was intent on transferring the responsibilities of the state for the provision of care and financial support of the needy to family and voluntary organisations (Boston, 1992). This included the needs of children, and the sick, unemployed and elderly (Boston, 1992). The change of government policy resulted in church and community groups raising concerns on behalf of the poor (Randerson, 1992). The Anglican Church introduced seminars to assist communities to contribute to building a more ethical, caring and humane economy (Randerson, 1992). However, the ideal of a fair and just society addressing

the needs of the population in a way that was fair and equitable, through a combination of state and community input was not new (Boston, 1992). The difficulty for politicians in this area has always been the question of role and balance. In meeting the needs of the population, what role should the state play and to what extent, versus that of the community? This question has generated a debate that has spanned more than a century (Boston, 1992; Royal Commission on Social Policy, 1988). To further complicate the nature of the debate, the rights and responsibilities of the nuclear family, extended family, iwi and hapu, as well as the responsibilities of people for each other, and the role of community organisations in society have also been included (Boston, 1992).

Boston et al. (1999), claim that Bolger's (1990) social policy philosophy was a failure, evidenced by the reduction in disposable incomes. They further argued that up to 30% of beneficiaries received substantial cuts to the nominal value of all but the invalid's benefits. The age of eligibility for gaining a pension was raised from age 60 to 65 (Boston & Dalziel, 1992), and a targeted system of student allowances resulted in the introduction of means testing of the students' parents' income (Boston et al., 1999). The cumulative effect of these measures was increased poverty (Randerson, 1992).

The decentralisation of services by the government also created a number of other significant and adverse influences on the relationship between state and community service providers. It led to a "purchaser/provider split" and a greater emphasis on the contracting out of services to the community sector (Sowry, 1999, p. 3). The reduction in the direct role of the state in service provision resulted in the loss of many public servants possessing vital "institutional and local community knowledge" (Tennant, 2007, p. 193). This happened despite the belief that many charities (community service providers) did not have the proven credentials to provide effective community care (Janiewski & Morris 2005). The withdrawal of the state from the health and social sectors of community service delivery left a gap in

the marketplace (Kelsey, 1993) but this gap was quickly filled by an increase in the establishment of community organisations (Tennant, 2007). The communities of New Zealand found themselves in a situation where there were an increasing number of community organisations and a decreasing number of public servants with the knowledge and experience to monitor, administer, and if needed, police the industry (Cribb, 2006).

This new era in community service provision created a competitive environment for community organisations based upon legally binding contracts between the provider and the government (Rudd & Roper, 1997; Tennant, 2007). Community organisations competed against each other for access to a shrinking pool of funding (Rudd & Roper, 1997; Tennant, 2007). Numerous small, local contracts were replaced by fewer, larger contracts (Tennant, 2007). The 1984 to 1990 Labour Government was followed by a series of governments of differing political persuasions. These were National, then the National-New Zealand First Coalition followed by the National-led Government between 1990 and 1999. During this nine-year period principles were established that resulted in a reduction in public expenditure for health, social services and education (King, 2003). New Zealand community organisations were required to become more business-like and professional in their operation, or risk failure (Tennant, O'Brien & Sanders, 2008).

“Neoliberalism, then, is not a static project, but its ideology continues to strongly influence policy thinking” (Beer, Clower, Haughtow & Maude, 2005, p. 50-51). I noted that empirical research by Mulroy and Tamburo (2004) on the political, social, and economical effects of neoliberalism in the community sector showed increased negative effects in the areas of organisational relationships, adherence to the mission and/or philosophy of the organisation, and influenced demographic changes in target populations. This caused an increased dependence on community organisations as more communities failed to cope. However, despite the influence of an unhelpful

environment, the community sector continues to grow—a testament, perhaps, to the altruistic nature of the New Zealand public.

The economic effect of this era (1980s and 1990s) has promoted an unregulated free-market, with less government involvement and more market freedom (Janiewski, & Morris, 2005). The resulting gaps in services have prompted the growth of the community sector to meet community need. Efforts by the community to provide essential services have resulted in an abundance of community organisations, many of whom work in isolation from other similar organisations, rather than within a collective community plan. By reducing state intervention, neoliberalism as a philosophy has increased the pressure on poor and vulnerable communities previously reliant on government benefits (Bargh, 2007; De Angelis, 2003; Janiewski, & Morris, 2005). These groups are not in a position to fend for themselves and thus have caused increased reliance and pressure on community services (Janiewski, & Morris, 2005; Thrift, 1999).

Tennant et al. (2008) argue that neoliberalism has created tensions between government agencies and the community sector and refer to the 1980s and 1990s as a time of anguish for community organisations, as they attempted to mould their relationship with the government as the main funder, and still retain their separateness and sense of community purpose. Although this era saw government funding increase for community organisations, and an attempt to build a closer relationship between government and the sector, it bought with it a loss of community autonomy. Contracts were designed to meet government priorities and were closely monitored by government officials for compliance. The effects were significant. Community organisations were forced to reflect on their core purpose and mission, and to decide whether to continue their relationship with government funders, or to maintain their independence (Tennant, et al., 2008). Some changed their focus, developed services in line with the requirements of government contacts and drew extensively on government funding (Tennant, et al.,

2008). In doing so, many deviated from their original charitable purpose. This dilemma has caused concern for Māori organisations too (Bargh, 2007).

Neoliberalism has not served Māori well. It incorporates practices and policies which extend the market mechanisms into areas of the community previously organised and governed in other ways (Bargh, 2007). The daily living conditions of Māori have not improved under neoliberal philosophy because it continues to exploit people by allowing “elite small groups to determine priorities for a whole community, whole nation, a whole region” (Sykes, 2007, p.115). Health and social statistics indicate that Māori remain in the lower socio-economic groups when compared with the majority of the New Zealand population (Reti, 2004). This is despite the growth of assistance to their communities via community organisations. The difficulties that New Zealand experienced with the advancement of neoliberalism followed similar approaches found in Australia and Great Britain, where neoliberalism has had a detrimental effect on community organisations in these countries too.

### *The effect of Neoliberalism on the Australian Community Sector*

In Australia the effect of neoliberalism is considered dire (Cook, Dodds & Mitchell, 2003): “After 25 years, neo-liberalism has been a stark failure” (Salamon, 1995, p.60). The philosophy of neoliberalism has had little to do with helping communities and is more about the promotion of individual gain and social control (Edwards, 2005). Whereby, in the past, welfare dependency was acceptable and the norm, the neoliberals’ philosophy has placed shame and fault on the less able in communities (Voyce, 2004). “The meaning of charity has shifted from one of local assistance (from notions of decency and compassion perhaps inspired by religious ideals) to the notion that the best way to give assistance is to provide self-help through punitive measures” (Voyce, 2004, p. 401). This is attributed to social policies that have encouraged economic rationalism, with a focus on individuals rather than their social context within their community (Edwards, 2005). This promotion of direct investment into the community allowed a dangerous practice, whereby the wealthy decided what was best for the community

(d'Indy, 2000). Social values, their meanings and interpretation, were no longer important (Brohman, 1995) and the welfare state was reduced, with emphasis placed on individual responsibility and self-care and where the communities' poor fared much worse than the wealthier and able (Edwards, 2005). Cook et al. (2003) explain that in this era, the main role of government in regards to welfare was to spend taxpayer funds to develop social entrepreneurs. Increased unemployment has resulted in an underclass developing within communities and an increased need for community support. The result is an increase in community organisations as more and more stress is placed on Australia's welfare system (Cook et al., 2003).

### *The effect of Neoliberalism on the Community Sector in Great Britain*

According to Hay (2004), neoliberalism has had a profound economic effect on community organisations that serve the population in Great Britain. This is at a time when, more than ever, government is relying on community organisations to provide welfare services (Brown, 2004). This situation arose from the philosophy of neoliberalism of the Conservative governments of the 1980s and 1990s and was initiated to counter the perceived bureaucracy within the welfare sector (Brown, 2004). The effect stems from a commitment by the government to the removal of welfare benefits which might be seen to act as disincentives to market participation (Hay, 2004; Fyfe, 2005). Although funding was increased to support a government-community relationship, the unsatisfactory result is a loss of autonomy of choice on behalf of community organisations (Brown, 2004) and a loss of opportunity for community organisations to develop and maintain their own vision of community care (Jenkins, 2005).

Careful thinking is required before rushing further changes and development within neoliberalism when the present philosophies are in such disarray (May, Cloke & Johnsen, 2005). Helms and Cumbers (2006) conclude that "neo-liberal restructuring operates to produce different outcomes in different places but ultimately the result is similar, i.e. the fragmentation and disciplining of labour," (p.70). However, Jenkins (2005) argues that



neoliberalism has had a positive effect in the areas of encouraging a more professional approach on behalf of community service providers in order to meet the required outputs and standards of government contracts. To achieve this, increased emphasis and financial support was placed on improving relationships with the non-profit sector and corporations (Jenkins, 2005). The downside of “this professionalisation of the third sector in the UK exemplifies a global move towards a one size fits all approach, whereby local geographical and cultural knowledge is eschewed in favour of a technical managerial approach implemented by ‘experts’ ” (Jenkins, 2005, p 616).

From the forgoing it is clear that in Australia and Great Britain neoliberalism has not resulted in much of a contribution to the success and sustainability of the community sectors. In fact, it appears to have created obstacles. Initiatives such as short-term contracts and opening up the community service sector to private enterprise have had the effect of creating increased uncertainty and instability within the sector in both countries.

Following the research line of examining which factors make a community organisation successful, I investigated international research in the non-profit sector.

## **2.4 International research into community organisations**

Professor Lester M Salamon has taken a lead role in researching the non-profit sector, firstly in the United States of America (Salamon & Abramson, 1982) and latterly in a lead role in the Johns Hopkins international study. The research from the Institute for Policy Studies of the Johns Hopkins University aims to achieve an international classification and improve understanding of the role of non-profit organisations (Salamon, Sokolowski & List, 2004). Records show, that by 2006, this research had successfully provided clarity of the scope and structure of the sector. Research from the countries surveyed by 2003 showed the vast size of the non-profit sector (Bilzor, 2003). Initial data from the research demonstrates the importance of non-profit institutions by revealing preliminary findings that the non-profit

sector accounts for a substantial percentage of gross domestic product in the countries studied to date (Salamon, 2007). This puts the sector on a par with the construction and finance industries and ahead of the utilities industry in these countries (Salamon, 2007).

The New Zealand component of the research was published in August, 2008 (Sanders et al., 2008) and confirmed that Australia and Great Britain have similar non-profit sectors to New Zealand, albeit it on larger scales (Bilzor, 2003; Hems & Passey, 1998). This is evidenced by similarities in economic development and legal and political systems based on the British model (Salamon et al., 2004). It is therefore useful to summarise the findings from these two countries before looking in more detail at the New Zealand situation.

#### **2.4.1 The community sector in Australia**

The Australian non-profit sector has developed in an ad hoc manner despite being a major economic force (Australian and New Zealand Third Sector Research, 2001). Rapid growth has resulted in as many as 700,000 community organisations serving a population of 20.4 million people (Australian Bureau of Statistics, 2002). The community sector has an operating expenditure of approximately AU\$19-21 billion per year or 3.3% of gross domestic product (Australian Bureau of Statistics, 2002; Lyons, Hocking, Hems, & Salamon, 1999). Non-profit social services make up 19% of the paid workforce and 26% of the volunteer workforce utilising total revenue of AU\$3.17 billion. The non-profit health sector utilises 18% of the paid workforce and only 5% of the volunteers. Revenue for health is AU\$4462 million per year (Lyons, 2001). The numbers in the non-profit workforce receiving remuneration amount to 415,651, supported by 218,352 volunteers (Lyons et al., 1999). In contrast, the total general workforce of Australia is 10.712 million people (Australian Bureau of Statistics, 2002).

The Johns Hopkins study identified multiple problems for the Australian non-profit sector. These included: an aging workforce; a continuing decline in volunteer input; a trend where for-profit organisations were replacing non-profit organisations; and a lack of recognition of the worth of community organisations because of issues with measuring their effectiveness (Lyons et al., 1999). Other concerns include government policy changes that have moved to a more competitive model resulting in special privileges such as tax exemptions being withdrawn from the community sector (Lyons et al., 1999). The lack of consistent and systematic data gathering on the non-profit sector by government agencies is a major concern of researchers in Australia and New Zealand (Australian and New Zealand Third Sector Research, 2001; Cribb, 2005; Tennant et al., 2006). This concern is echoed by researchers from the United Kingdom (Kendall & Almond, 1999).

#### **2.4.2 The community sector in Great Britain**

In Great Britain, the non-profit sector has also developed in a rapid, varied and ad hoc way (Almond & Kendall, 1998). The sector suffered from similar effects to New Zealand during the 1980s when significant areas of health, welfare and social service delivery were shifted from state control to the community sector (Baxter, 2002). The sector remains difficult to categorise and the high growth rate in recent years (i.e. post 1990s) has been further influenced by the moving of the education sector from state control to the non-profit sector (Kendall & Almond, 1999). By 1999 when the British component of the Johns Hopkins research project results were collated, the total revenue utilised by the non-profit sector had reached £47.1 billion per year or 6.6% of GDP (Kendall & Almond, 1999). One and a half (1.5) million full-time equivalent workers were employed along with another 1.7 million volunteers (Kendall & Almond, 1999). This was at a time when the total British general workforce was 29.56 million drawn from a population of 59.2 million people (National Statistics, 2000). In the health and social sectors, volunteers far outnumbered paid employees (Davis-Smith, 1995; Kendall & Almond, 1999). Statistics from 1995 show the British health sector had 60,000 paid employees and 143,000 volunteers. This compares with the

social service sector which has 185,000 paid employees and 221,000 volunteers (Davis-Smith, 1995).

Problems identified by the Johns Hopkins research include the recent trend towards reliance on state funding and a reduction in philanthropic grants and individual donations (Kendall & Almond, 1999). A significant difficulty in the British health and social services sector is the growth of the private for-profit business encroaching on the traditional roles of non-profit organisations especially in the areas of mental health and aged care (Kendall & Almond, 1999; Laing & Buisson, 1996).

My project has highlighted that similar problems exist in the non-profit sectors of Australia and Great Britain. The main problems relate to their rapid and ad hoc growth and a lack of systematic data-gathering to inform governments and the non-profit sector. I needed to investigate the extent of similar problems in the New Zealand community sector.

### **2.4.3 The community sector in New Zealand**

A search of the literature confirmed the lack of research into community organisations in New Zealand and more specifically in Northland. However, it became apparent from the material that areas of uncertainty exist despite the government's expansion in contracting with the community sector (Nowland-Foreman, 1997). Research is now urgent because of the vast number of community organisations in existence, the ease and freedom with which they are established, and the lack of effective monitoring of their ongoing status (Nowland-Foreman, 1997).

In addition, various authors report that confusion in the community sector can be further exacerbated by the interchangeable terms used overseas and in New Zealand to describe community organisations (Ministry of Social Development, 2001; Robinson, 1993; Tennant et al., 2006) and the variations in data collection and interpretation. Consequently, the accurate

reporting of statistical information has been a problem in New Zealand (Statistics New Zealand, 2006; Tennant, 2001; Tennant et al., 2006).

#### **2.4.4 Data collection discrepancies in New Zealand**

Discrepancies occur in many areas of collecting data in New Zealand, not just in the community sector. An example of a recent loss of confidence in data reporting saw the Children's Commissioner advise caution in interpreting the 2007 United Nations Children's Fund report that ranked New Zealand last out of 23 countries in the areas of youth deaths from accidents and youth education attendance statistics (New Zealand Press Association, 2007). The Children's Commissioner argues that the data-collection methods in New Zealand are outdated, varied and incomplete (New Zealand Press Association, 2007).

Variations in data collection and interpretation are evident in the statistics outlined in the next section. Baxter (2002) explains that the heavy workload of the public sector inhibits effective collaboration, partnership and system development. It is acknowledged that system improvements are required but this involves a substantial commitment and is dependent on time, willingness and expertise (Baxter, 2002).

#### **2.4.5 Statistical reporting of community organisations in New Zealand**

Bradford and Nowland-Foreman (1999) estimated that there were an equal number of incorporated and unincorporated societies; approximately 50,000 of each. Salter (2004) confirms that statistics differ when reporting that in 2004 there were 14,919 charitable trusts and 22,646 incorporated societies registered with the New Zealand Government's Companies Office. In contrast, 2005 statistics that were embargoed by Statistics New Zealand until April 2007 record a vast increase to 97,000 non-profit institutions operating in New Zealand. This is shown in Table 2.2, p. 42. In addition to this, approximately 3000 new organisations are incorporated each year (Cribb, 2005).

**Table 2.2 Number of non-profit institutions by activity group, October 2005**

Activity Group	Activity of Non-Profit Institutions	Number	Percent
1	Culture, sports and recreation	43 220	44.6
2	Education and research	7 400	7.6
3	Health	2 210	2.3
4	Social services	11 280	11.6
5	Environment	1 310	1.4
6	Development and housing	7 580	7.8
7	Law, advocacy and politics	2 500	2.8
8	Grant making, fundraising and volunteerism promotion	610	0.6
9	International	300	0.3
10	Religion	9 890	10.2
11	Business and professional associations and unions	3 130	3.2
99	Not elsewhere classified	7 560	7.8
<b>Total</b>		<b>97 000</b>	<b>100</b>

Note: All count data has been randomly rounded to protect confidentiality. Individual figures may not sum to the totals.

*Statistics New Zealand, (2007). Counting non-profit institutions in New Zealand.*

New Zealand does not have reliable information on volunteering. Reputable sources provide varying statistics on volunteer numbers. Estimates of volunteer numbers include more than 400,000 with an economic value to society of in excess of \$3 billion and outnumbering paid employees in the sector by approximately 4:1 (Statistics New Zealand, 2007; Volunteering New Zealand, 2008) up to a total of 1, 011, 600 volunteers representing 31% of the population over 12 years of age (Statistics New Zealand, 2004; Dyson, 2008). Community health services employ 15,090 people in 2,210 organisations (2.3% of all organisations). Social services employ 31,480 people in 11,280 organisations (11.6%) (Statistics New Zealand, 2007). Overall, the non-profit sector and the volunteers who work in this area contribute \$6.95 billion to the economy of New Zealand with a 4.9% contribution to the gross domestic product (Laban, 2007).

Importantly, the Ministry of Economic Development (2007), the agency responsible for managing the registry for community organisations, advise that these numbers are underestimated. Indeed, my project enquiries in Northland discovered anomalies. An initial search of publicly available community databases such as those from the Citizen's Advice Bureau, Northland District Health Board, Council of Social Services and those publications produced by local community organisations indicated that there were 200-400 community organisations in the region in the areas of health and social services, however completion of Phase 1 of my project generated a database in excess of 1000 organisations. It would, therefore, involve extensive research to accurately determine how many are operating and how many have ceased operation. Monthly updates would be required to maintain an accurate and current database of active community organisations.

Most New Zealand research into the sector has not included the relationship between the government and the community sector (Cribb, 2005, Tennant 2001). This places both the community sector and the government in a vulnerable position (Community and Voluntary Sector Working Party, 2001) because it means that neither is adequately informed when making critical decisions such as budgetary requirements and funding allocations. Decisions based on incomplete or inaccurate information can potentially affect the success of the community sector. Greer (2006) cautions that although recent New Zealand initiatives such as those discussed in section 2.4.7 (p.44) are commendable in their intent to understand and strengthen the community sector, confusion over the value, role and trustworthiness of the sector remains.

#### **2.4.6 The New Zealand segment of the worldwide Johns Hopkins University research**

The Johns Hopkins University research project was a major initiative for New Zealand. This study was commenced in New Zealand in 2005 by Statistics New Zealand in partnership with a team of researchers from Massey

University. As part of the international project a common comparative framework was used that sought to determine the size, scope, internal structure, finances, and legal position of the sector (Statistics New Zealand, 2007). Other research objectives included identifying the legal, cultural, historical, social or political factors that encourage or discourage the development of community organisations (Statistics New Zealand, 2007). The first working paper on the New Zealand sector was launched in September 2006 (Tennant et al., 2006). Subsequently, a national report was released in 2008 comparing New Zealand's statistical and contextual information with the other 40 countries surveyed worldwide.

Tennant et al., (2006) acknowledge in their preliminary findings that there is still much work to do on bridging the gap between the interests of the government and the defined needs of the community as reflected in the community organisations who serve them. These comments by Tennant et al. (2006) led me to examine recent initiatives introduced to improve the understanding of the relationship between the government and the community sector, given that some authors caution on the progress and effectiveness of these new initiatives (Cribb, 2006; Tennant et al., 2006). These initiatives are outlined next.

#### **2.4.7 Recent New Zealand Government initiatives designed to improve the government/community relationship**

##### ***The statement of government intentions for an improved government/community relationship***

In 2001 the government signed a statement of intent that outlined its vision for strong and respectful relationships between the government and community, voluntary and iwi/Māori organisations. This statement was intended to guide decision making between the government and community sectors. Six commitments were presented including a commitment by the government to place a priority on working with the community sector to develop coordinated policies and programmes, improve consultation



processes and address the communities' funding concerns (Ministry of Social Development, 2001). Cribb (2006) warns that it remains unclear how this initiative has been monitored and evaluated by the government, and therefore, to date, there is no way of measuring the outcomes and level of success of this initiative.

### *The Charities Act 2005*

The Charities Act 2005 was introduced to provide a legal structure to improve accountability and public confidence in the charitable sector (Ministry of Economic Development, 2004). The Act established the Charities Commission with an aim to provide a coordinated attempt to register and monitor charitable organisations in New Zealand. Registration of charities is now required to retain tax benefits on the grounds of charitable purpose (Charities Commission, 2007). The Charities Act 2005 does not replace the established Charitable Trusts Act 1957, the Incorporated Societies Act 1908 or the Companies Act 1993, whose function have traditionally been to register charities and companies (Charities Commission, 2007). Establishing and maintaining a registration and monitoring system is the major aim, alongside providing support and education on good governance and management (Charities Commission, 2007). Despite the attraction of tax-exemption status to community organisations, registration response rates have been slow (Goudie, 2008; Pullar-Strecker, 2007). Only 1000 community organisations were registered by September 2007 due in part to difficulties with the computer system purchased to process the applications (Pullar-Strecker, 2007). This \$1.8 million computer system was identified as unsuitable and was scrapped (Goudie, 2008; Pullar-Strecker, 2007).

By January 2008, 2142 community organisations had registered. These were mainly from the sectors of education, research and training (Charities Commission, 2008). Northland statistics indicate that, to date, 99 community organisations have been successfully registered (Charities Commission, 2008). Considering the estimated 97,000 charitable organisations in New Zealand, the progress of this initiative is slow. Further scathing comments

came from Goudie (2008) who described the registration rate as “appalling slow” and equating to a registration rate of approximately 41.2 per week (p. 1). Goudie also expressed concern that the Charities Commission was set up without careful planning and policies, which resulted in the delays outlined here. Unnecessary stress has been the consequence for community organisations who fear that, without current registration, their tax status would be adversely affected (Goudie, 2008). The Charities Commission has stated that it will not meet its own deadline of processing all registrations received by July 1 2008 with only 3121 organisations registered by March, 2008 and 360 new applications being received per week (Pahau, 2008)<sup>3</sup>.

### *The Office of the Community and Voluntary Sector*

Another recent government initiative was the formation of the Office of the Community and Voluntary Sector in 2003. Overseen by the Ministry of Social Development, its role is to assist in developing policy specific to the voluntary sector and enhance a positive working relationship with voluntary organisations. This role is challenging due to its wide brief and the small staff employed to achieve it (Cribb, 2005). Nevertheless, on a positive note, information is beginning to be recorded in a more structured manner (Charities Commission, 2005; Tennant et al., 2006). As a result, a summary of 12 main groups that illustrate the range of community organisations in New Zealand is now available (Table 2.2, p. 42).

Despite this advance, the existence of community organisations that are unregistered has also created a gap in statistical information relating to the number of community organisations (Tennant et al., 2006). Legal registration of a community organisation in New Zealand is required only if the organisation wishes to apply for contracts with government or funding from philanthropic or other sources (Tennant et al., 2006). Contributing to the general underestimation of organisation numbers are the large number of

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<sup>3</sup> As of July 2010, the latest update indicates that 24,747 charities are now registered, which is still only one-third of the estimated 97,000 charitable organisations in New Zealand (Charities Commission, 2010).

apparently formal societies and other bodies that have not kept up their registered status and are therefore not included in the registry statistics (Boston et al., 1999; Ministry of Economic Development, 2007). Examples also include some of the formal iwi/Māori organisations, and those organisations registered under the Māori Trusts Board Act 1995, the Māori Community Development Act 1962 and Te Ture Whenua Māori Land Act 1993 (Boston et al., 1999; Ministry of Economic Development, 2007). Successive governments have not restricted the areas of operation of community organisations, except for controls on criminal activities and restrictions under the Terrorism Suppression Act 2002 (Tennant et al., 2006).

Further confusion relates to the diverse types of legally registered non-profit organisations (Charities Commission, 2005). Registration options for community organisations in New Zealand are outlined and discussed in the next section.

### **2.3.8 Registration options for community organisations in New Zealand**

The structural features common to community organisations are complex. They include a degree of institutional reality signified by having legal status, organisational goals and boundaries (Salamon & Anheier, 1996). An institutional identity separate from that of the state and non-profit status are required (Statistics New Zealand, 2006) but the distinctions between the different types of charitable trusts are confusing (Family and Community Services, 2006; Nicholson, 2006). Non-profit status requires that profits are put back into the organisation to provide for the core business of helping others (Salamon & Anheier, 1996).

The ability to be self-governing to control the organisation's activities and behave in an autonomous way is also required (Statistics New Zealand, 2006). There are more than 34 general laws that affect the way community organisations must operate. These include workplace health and safety, human rights, human resources, employment of volunteers, intellectual

property and privacy legislation (The New Zealand Federation of Voluntary Welfare Organisations and the Office for the Community and Voluntary Sector, 2006). Hence it is clear that successfully operating a community organisation is complex.

However, gaining incorporated status means that an organisation is a separate legal entity and can enter into contracts, loans, and property transactions without designated position-holders being made personally liable for any debts (Cribb, 2005). The risk of personal liability is higher for unincorporated organisations because these organisations do not come under government legislation and can be set up with a minimum of two individuals who are personally liable for the actions of the organisation (Tennant et al., 2006).

Several variations in structure are found in the community sector in New Zealand. The two main legal categories are those of the incorporated society and the charitable society or trust.

### *The incorporated society*

The most common structure is the incorporated society, which is registered under the Incorporated Societies Act 1908 after the Registrar of Incorporated Societies approves the application for incorporated status (Tennant et al., 2006). A minimum of 15 adult members or five corporate members is required in the group, or a mix of both. The main conditions are non-profit status and a purpose that is within the law. This formation is suited to small non-profit groups and clubs that are membership or volunteer based and have strong community links (Family and Community Services, 2006). Advantages include democratic membership opportunities and an efficient structure based on the decision-making process of the members of the committee or by attending members at a general meeting (Community Net Aotearoa, 2008). If the initial purpose of the society was not charitable then surplus assets can be distributed amongst the members (Community Net Aotearoa, 2008). A major disadvantage is the potential difficulty of recruiting

and retaining a minimum of 15 members (Community Net Aotearoa, 2008). There is also the risk of the committee being overturned at the annual general meeting thereby limiting the opportunity for long-term decision making and succession planning unless provision has been made in the rules to address this (Family and Community Services, 2006).

### *Charitable society or trust*

The Charitable Trusts Act 1957 incorporates non-profit organisations formed for charitable, religious or educational purposes. Such organisations can be societies (with a board of five adult members) or trusts (with a minimum of two adult trustees). This structure is complicated because, although incorporation is at the discretion of the Registrar of Incorporated Societies, in some instances organisations which are not exclusively charitable are registered (Tennant et al., 2006). Advantages of the society-based version are considered to be that for more complex or larger groups the framework for governance is more suitable with only five adult members required to govern (Family and Community Services, 2006). Disadvantages include the compulsory charitable purpose that excludes profits being distributed to members and the confusion that can ensue in distinguishing between the types of charitable trusts (Community Net Aotearoa, 2008). The trust-based registered charitable organisation has the advantage of limited liability and the stability of keeping the control amongst a few trustees. The danger can be the potential lack of accountability as the control lies with the trustees. Accountability to the membership base can therefore be lost and there is a risk that the trust will become dysfunctional because of autocratic and/or fixed views (Community Net Aotearoa, 2008).

### *Other configurations of charitable, non-profit organisations*

In addition, other configurations of charitable, non-profit organisations include: companies registered under the Companies Act 1993; Friendly Societies incorporated under the Friendly Societies and Credit Unions Act 1982; Industrial and Provident Societies under the Industrial and Provident Societies Act 1908 (Tennant et al., 2006).

### *Māori organisations*

Māori legal organisations include the formal iwi/Māori organisations such as those registered under the Māori Trusts Board Act 1995, the Māori Community Development Act 1962 and Te Ture Whenua Māori Land Act, 1993 (Ministry of Economic Development, 2007). Māori non-profit organisations can be unincorporated or incorporated, and contain some legal structures that are specific to Māori. For example, the Te Ture Whenua Māori Land Act 1993 enables five different types of trusts with different rules and purposes including Ahu Whenua Trust, commonly a Māori land trust but often used for commercial purposes (Inland Revenue Department, 2002). Its main role is to promote the use and administration of land in the interest of its owners. Whanau trusts have a role to bring together Māori land interests for the benefit of the whanau and descendants. Putea trusts are formed to allow owners of uneconomical and small financial interests such as farms and fisheries to pool together for the mutual benefit of the members. Whenua Topu trusts are iwi- or hapu-based with a role designed to facilitate the use and administration of the land in the interest of the iwi and hapu (Ministry of Economic Development, 2007; Inland Revenue Department, 2002). This type of trust is used for receiving Crown land as part of any settlement. Finally there are Kaitiaki trusts, established solely for individuals who are minors or have a disability, and who are unable to manage their own affairs (Inland Revenue Department, 2002).

The number of Māori service providers increased from almost zero to more than a thousand within the 20 years following 1984 (Durie, 2005). Concerns have been voiced by Māori that the rules contained in all these legal structures conflict with the fundamental need of Māori to structure all decision-making around the needs of iwi and hapu (Tennant et al., 2006). Difficulties with working within this legal format have been particularly voiced by the Ministry of Māori Development (Te Puni Kōkiri) in the areas of negotiating and settling Treaty of Waitangi claims (Law Commission, 2006).

In 2006, a new format, that of the Whaka Umanga (Māori Corporations) Bill was developed in an attempt to assist Māori organisations to manage communal assets better (Law Commission, 2006). The Bill, if made into law, would enable more workable legal entities to be established by tribal groups (Law Commission, 2006). This proposed new legal format seeks to address problems that have arisen for Māori organisations under the current legal environment of setting up community trusts and incorporated societies (Horomia, 2007). Although Māori have adapted to working within the present legal structures of trusts and incorporated societies, these structures do not always enable them to operate in an optimal, transparent and efficient way (Horomia, 2007). Supporters of the Bill say that for too long Māori have had to compensate for the confusing legal deficits by introducing unwieldy structures to best accommodate the many activities of the group (Horomia, 2007). This has resulted, in many circumstances, in the duplication of limited resources and a lack of understanding of the structures adopted by Māori to compensate for the present legal deficits relating to registration of trusts and incorporated societies in New Zealand (Horomia, 2007). However this Bill, if introduced, is voluntary and has its detractors including some Māori who do not see any necessity for more legislation and feel that they can manage their own assets in their own way (Hei Hei, 2007). By 2009, the Whaka Umanga (Māori Corporations) Bill was awaiting its second reading (New Zealand Parliament, 2009).

In summary, the current legal structures required of community organisations are complicated (Family and Community Services, 2006; Nicholson, 2006) and do not suit all, especially some Māori organisations (Law Commission, 2006; Horomia, 2007). In addition recent government initiatives to support and clarify the sector have been met with some scepticism (Cribb, 2006; Goudie, 2008; Pullar-Strecker, 2007).

Despite the positive aspects of recent initiatives there remains a lack of systematic reporting mechanisms (Tennant et al., 2006). However, the ultimate legal criterion set by government is that their financial resources are

used in an effective way that optimizes the benefit to the general public (Office of the Controller and Auditor-General, 2006). In principle, funds are allocated on this basis. It is also recognised that community groups collectively seek more funds than are available (Office of the Controller and Auditor-General, 2006).

The next step in my project was to attempt to access an accurate account of the funding of community organisations in New Zealand and more specifically in Northland, especially in my area of interest, health and social services.

### **2.3.9 Access to accurate and consistent funding information**

Funding to the community sector has increased significantly in recent years (Cribb, 2005; Tennant et al., 2006). However, information on the exact amount of funding provided to community organisations remains sketchy (Cribb, 2006; Tennant et al., 2006). Much of it is based on estimations from international comparisons of 'fee for service' and corporate donations, because specific New Zealand information is not available (Tennant et al., 2006). Based on data from 2002, estimates of the amounts received by the community sector are substantial and total approximately \$2 billion: approximately \$960 million from central government, supported by approximately \$710 million from local government grants, philanthropic organisations (such as lotteries, and gaming machines), community trusts, personal donations and bequests (Robinson & Hanley, 2002; Tennant et al., 2006). In addition, figures show an estimated \$80 million in corporate donations and \$250 million in fee-for-service payments (Robinson & Hanley, 2002; Tennant et al., 2006).

Unfortunately this information did not provide a sufficiently detailed understanding of the funding of community organisations to inform my research. I could not obtain a breakdown of regional funding totals, funding totals for health and social services and the funding distribution between legal status (that is, charitable societies and trusts, incorporated and



unincorporated societies). In order to gain more specific information I made a personal request to Ministry of Social Development for information on the total amount paid to community social service organisations in New Zealand and, more particularly, Northland each year. I was informed that \$471 million (GST exclusive) is paid yearly to social service providers throughout New Zealand in contracts held by the Child, Youth and Family Service and Ministry of Social Development. This equates to approximately \$10 per year per head of population. Financial information specific to Northland was not available because “...the information is not collated centrally and major research involving a manual search of more than 3000 contracts would be required to obtain this information” (P. Hughes, personal communication, December 20, 2006).

A similar request made to the Ministry of Health for information on the total amount paid to community health organisations in both New Zealand, and, more specifically, Northland each year, was refused under section 18(f) of the Official Information Act 1982 because the information is not readily available: “...the information requested cannot be made available without substantial collation or research. Health PACs systems do not distinguish the commercial status of the organisation being paid” (D. Chin, personal communication, November 13, 2006).

It is noted that the refusal, under section 18(f), of requests for information is supposed to be the last resort if all other provisions in the Act do not provide a reasonable basis for managing the administrative burden of processing the request (Ministry of Justice, 1997). Guidelines outline that reasons for refusal can include: major concerns around the national security or defence of New Zealand; the maintenance of the law; trade secrets and commercial confidentiality; personal privacy; legal professional privilege; the health and safety of the public; the effective conduct of the decision making and policy advice processes of government; and the administrative capacity of the organisation concerned to process a request (Ministry of Justice, 1997).

Thus it appears that the systems of reporting and recording data still do not allow for the provision of complete information. Details are not centrally collated (Boston et al., 1991; Cribb, 2005). Individual government departments choose with whom they contract (Boston, Walsh, Pallot & Martin, 1996; Cribb, 2005) and contracting can happen in isolation from other government departments.

A high-profile example of the difficulty compounded by this type of system deficiency resulted in the inquiry by the Auditor-General into the public funding of organisations including the Pipi Programme associated with Donna Awatere Huata (Member of Parliament). The inquiry raised several questions including the “integrity of the systems used by the individual funding agencies”, and “cross-sectoral issues—such as the prevention of double dipping” (Office of the Controller and Auditor-General, 2003, p. 5). In this case five different funding agencies provided funds to the Pipi or associated programmes (Office of the Controller and Auditor-General, 2003).

To date I have been unable to find any literature that details actions to address this issue. Difficulties in obtaining information relating to the community sector are in part explained by the way that the public management sector has evolved. The catalyst was an economy in crisis during the neoliberal era of post-1984, as outlined on page 31. Debt reduction was considered the better long-term investment for society as a whole (Department of Treasury, 1987). The resulting drive to cut expenditure in many areas including the health, education and social sector has had a long-lasting negative effect (Crawshaw, 1994).

Information gathered over the last 10 years from members of Northland community organisations suggests that tension exists between the community sector and government. Pressure mounts on community organisations to provide community care while the processes of accountability between the government and the community sector continue to be less than effective

(Cribb, 2005). Policies and service-delivery mechanisms are needed to strengthen cross-sectoral collaboration in both funding and reporting (Sowry, 1999).

Although it is generally acknowledged that problems within a community organisation are almost always interlinked, two main types of difficulties have become apparent. These are ‘external’ difficulties (those that are outside the organisation and often beyond its control) and ‘internal’ difficulties (those that occur within the structure of the organisation). Northland information gathered in my community role is discussed in the following section.

### **2.3.10 Northland difficulties attributed to external factors**

Northland community organisations face a range of difficulties that can be attributed to external factors. These include accessing sustainable funds, meeting funding accountabilities, balancing contractual requirements versus the mission of the organisation and concerns over the encroachment of ‘for-profit organisations’ into the community organisation sector.

#### ***Accessing sustainable funds***

Many members of organisations in Northland have indicated that funding insecurity coupled with unrealistically short terms of contract have the potential to de-motivate community-spirited workers, limiting the rewards for people working in this area. A recent example in Northland is a government initiative that funds social service organisations to support their staff through tertiary training in social work. The contract requires the organisations to continue to employ the staff for three years post-graduation. However, most government contracts are short term (for one year only) causing this contractual arrangement to be untenable. This adversely affects the ability of the organisation to provide medium-term employment opportunities for staff and produce effective medium and long-term planning (Matheson, Howden-Chapman & Dew, 2005). Short-term government

funding is predominant in the community sector and creates a ‘catch 22’ situation where, because of the absence of sufficient sustainable funding, staff training cannot be achieved (Family and Community Services and the Office for the Community and Voluntary Sector, 2006, p. 3).

This situation can also contribute to high staff turnover because staff who work in community organisations recognise a more stable environment and increased opportunity for job security and professional development in the private sector (Matheson et al., 2005). Research by Cervin (2001) emphasised the negative impact on community organisations of the insecurity of the funding relationship. Funding insecurity can affect structure and autonomy (Cervin, 2001), the ability to be true to the mission (Nowland-Foreman, 2000a), and sometimes even the very sustainability of community organisations (Malcom et al., 1993).

### *Meeting funding accountabilities*

Research confirms that the government is the major funder of the voluntary sector in the areas of health and social service in New Zealand (Cribb, 2005; Northland District Health Board, 2001b; Robinson & Hanley, 2002). The government purchases services from community organisations through legally-binding contracts designed to meet specific criteria (Robinson & Hanley, 2002). Accounting to government for funds received is prioritised in contracts that are extremely regulated and rigidly drawn (Harris, 2001).

Members of Northland organisations have expressed concern that stringent reporting requirements and tight regulations adversely impact on the working environment because the process has become too bureaucratic, complicated and difficult. Government departments decide how much money will be made available for service procurement, which services will be purchased, from which provider and in what quantity (Cribb, 2005). This funding arrangement is formal. Accountability and reporting criteria are strict and described by Cribb (2006, p. 163) as “hard accountability” or output based and rigidly structured. Aimers and Walker (2008) note the

negative influence of neoliberalism on the relationship between the community and the community organisation, owing to an increased emphasis on meeting government requirements rather than community need.

There is also concern in Northland that, in the competitive market for obtaining funds, an organisation that can show increased outputs (numbers of clients seen within a certain timeframe) may obtain funding at the expense of a similar organisation that provides smaller outputs but places emphasis on outcomes of quality care; quality care equates to positive results for health and social improvements in reducing social inequalities (Phang, 2006). For example, a large health organisation that saw 367 clients in one week with no planned follow-up contrasted with another organisation that saw 125 clients but had quality follow-up measures in place for ongoing monitoring and evaluation of outcomes. When the government reporting forms were completed, the former organisation appeared more effective and received funding yet no outcomes or ongoing monitoring mechanisms were required on the reporting form.

Research by Phang (2006) concluded that output measures are more suited to the commercial setting of goods and services, arguing that in the caring professions they are meaningless because they misrepresent complex human tasks and critical progress measurement. Furthermore, according to Shick (2003) and Cribb (2005), successive governments have been unable to agree on clearly specified and measurable systems, standards and outcome reporting mechanisms. This failure to decide on standard outcome measures across the community sector has prevented community organisations from establishing their place and assessing their progress within government policy goals for health and social wellbeing (von Tunzelmann & Murphy, 1998). Difficulties include a lack of consistent and transferable policies between government departments and the continual rounds of government reform after every election (von Tunzelmann & Murphy, 1998). Thomas (2001) advises that definitive outcome measures that are valid and

trustworthy are the key to a good health policy framework. However funding-for-outcome projects have been tried by governments with a view to improving understanding and achieving a better match by aligning the purpose of the community group with the definition of the contract (Pomeroy, 2007). In the main, though, outcome measures have proved difficult to devise in a meaningful way that accurately reflect the diversities of the community (Phang, 2006) and still align with the hard accountability of government funding objectives (Cribb, 2005).

An example of what Cribb (2005) describes as hard accountability was evidenced in a recent government contract tender which contained such strict reporting criteria that several Northland community organisations were wary of applying for the contract. As verbalised by a manager of a Northland community organisation, to apply would have exacerbated the 'David and Goliath relationship' because the contract conditions would be impossible to meet. The tender contained a clause that stated that the funder would strictly control all client entry and referral criteria to the successful community organisation. Required tasks would be rigidly outlined with no leverage for variation or client entry based on client request or family need. Non-compliance with the conditions of the contract would result in termination of funding. Again, reporting requirements were frequent and based on outputs (attendance numbers). Researchers have described this type of contracting as: a loss of freedom to choose how best to meet client needs (Clerkin, 2002); a loss of community independence (Nowland-Foreman, 2000a); detracting from local communities finding their own solutions to improving outcomes in health and social inequalities (Matheson et al., 2005); building unnecessary tension between the funder and the organisation (Cribb, 2005); and causing mistrust between the organisation and the funder (Van Slyke, 2002). The community organisation decided not to apply for the contract citing that the choice was to adhere to the mission of their organisation or change their way of caring for their community.

Another example that caused concern involved a funder refusing to pay for a client volume and rate that allowed a community organisation to maintain their quality standards and to meet the financial target set by the board of trustees to maintain a viable income level. This was despite the organisation providing a subsidy at its own expense for up to 125 more client visits per month than funding allowed. These extra client visits were as a result of the funder's needs assessment service referring the clients to the community organisation. This placed the community organisation under financial strain while it sought other avenues of funding. The rigidity of this "take it or leave it" approach to contracting is thus a barrier to the building of effective relationships between the funder and community organisation (Cribb, 2005, p. 168).

### *Contractual requirements versus mission*

A mission statement defines the value that the community organisation intends to contribute for its clients and stakeholders (Courtney, 2001; Moore, 2000). The value of community organisations is in the delivery of essential community services (Cribb, 2005; Gregory, 1995). Because of their direct community involvement, community organisations have the potential to raise awareness of new trends and alert the government to community problems at an early stage (Gregory, 1995, Moore, 2000). However, community organisations view their responsibility and accountability, in the first instance, to their clients rather than to the government funder (Cribb, 2005). By changing their original mission to suit government funders they risk being accused of caring more for their survival than for their cause (Moore, 2000). Deviation from the original mission in order to fit the funder's vision of community need has become an issue for many Northland community organisations. The paramountcy of adherence to the original mission has had to be weighed up against the need to gain contracts in order to survive, and in some instances the contract terms have restricted their ability to respond appropriately to the community they serve. Nowland-Foreman (2000b) describes this as "mission drift" (p. 18) whereby the funder has a direct influence on what services and programmes the community organisations

can provide. Salamon (1995) explains that the danger for community organisations is that trying to meet funder requirements puts “a strain on other important features of the organizations, such as their reliance on volunteers, their sense of independence, their frequently informal and non-bureaucratic character, and their direction by private citizens along lines that these citizens think appropriate” (Salamon, 1995, p. 111). There are concerns for the future autonomy of community organisations because of government policy that decides what communities need rather than supporting community evolved organisations that seek to find solution for their own community needs (Jenkins, 2005). The risk for community organisations is a loss of autonomy and independence (Cribb, 2006).

Northland community organisations also express the view that they have difficulty with government contracts because they are output-based rather than focussing on providing services that meet community need (Cribb, 2005; Cribb, 2006; Nowland-Foreman, 2000a; Van Slyke, 2002). Described as “mission distortion” by Nowland-Foreman (2000b, p. 18) this situation creates a philosophical dilemma in how to align contractual funding requirements with the mission or core purpose of the organisation (Harris, 2001). This dilemma is significant because, in essence, an organisation’s existence is defined in the mission statement (Bartol, Tein, Matthews & Martin, 2005) and the mission statement allows the development of the systems and processes that guide the organisation to be successful (Egan, 1993).

Another recent example communicated by the board members of a Northland community organisation involved a programme that had been developed by the staff and approved by the management and board in response to significant client needs in the area of family counselling. The need was for family group counselling but the only government funding options available were for individual counselling programmes. This presented a dilemma for the organisation. They could either remodel their programme to suit the funding criteria and apply for the funding, or adhere



to their mission of responding to client needs and try to find alternative funding from the philanthropic sector to meet the cost of the programme. The community organisation chose the latter option as it allowed them to provide the programme albeit it on a smaller scale. After the first year they report encouraging outcomes, measured by client and family feedback and an improvement measurement scale they have devised for the programme.

*Encroachment of for-profit organisations into the community organisation sector*

The practices of neoliberalism have affected job quality and retention in the non-profit sector, as the sector has struggled to adjust to changes in its external environment caused by governments' withdrawal from the direct provision of services. This has opened up opportunities for for-profit organisations to impinge on work traditionally provided by the non-profit sector (Hall & Banting, 2000).

Members of Northland community organisations have expressed concern that such private profit-making organisations are competing for contracts previously held by the community sector in Northland. This is particularly distressing to non-profit organisations that have faithfully provided quality care within their community, met the output measures requested by the funder including the measures they have set themselves within the mission goals of their organisation. The for-profit sector has greater financial resources because of national and international financial support. Their greater financial resources allow them to undercut the cost of service provision of the community organisation. However, members of Northland community organisations and many of the community members they serve express concern that, by gaining government contracts, the for-profit sector is effectively transferring taxpayers' money from government coffers to the bank accounts of overseas conglomerates. Overseas conglomerates have been encouraged by neoliberal policies of privatisation and corporatisation to function competitively in an arena that was traditionally the domain of the non-profit sector (Bargh, 2007).

An Australian-based for-profit health company that was awarded an elderly day care contract by the local District Health Board serves as a recent example (Laird, 2007b). This new contract is for the delivery of day care services from the lounge of an old people's home. The contract was previously held for several years by a small, non-profit trust in a purpose-built community day-care facility delivering a range of services that the elderly frail, disabled and dementia clients enjoyed attending. Despite the trust delivering a quality service, acknowledged by the District Health Board itself and backed up by yearly client and caregiver feedback surveys, the District Health Board still made the decision to allocate the contract to the new provider. The only funded choice for these clients is to attend day care at the rest home. This outcome has upset the community, clients and caregivers, and many clients are refusing to "have their day out at a rest home" and remain unfunded at the day care centre (Laird, 2007b, p. 3). The members of the community organisation involved are now concerned about the future sustainability of their organisation because of the difficulty in accessing funds to support the operation of the centre. Elderly clients and their families are angry that there was no consultation prior to the decision being made. Staff and board members have also expressed concern that the tender process breaches the government's 2001 statement of intent for a strong and respectful relationship between the government and the community sector, as discussed previously in Section 2.4.7 (p.44).

The concern of community organisations that 'for-profit' organisations are encroaching on services that have previously been provided by 'non-profit' sector is not unique to Northland and New Zealand. As previously discussed in more detail, concerns have been raised in both the United Kingdom and Australia that there is a trend where for-profit organisations are replacing non-profit organisations (Almond & Kendall, 1998; Laing & Buisson, 1996; Lyons et al., 1999; Woodward & Marshall, 2004).

In addition to the external difficulties that have been outlined above, information obtained from numerous reports in the national and local press

over recent years reveals that community organisations are also experiencing problems or failing because of internal difficulties. These will be discussed in the following section.

### **2.3.11 Northland difficulties attributed to internal factors**

Two important issues that contribute to internal difficulties within Northland's community organisations are boundary difficulties in the governance role and difficulties in the management role.

#### ***Boundary difficulties in the governance role***

Information from some managers and staff members of Northland community organisations reveals that their respective boards are exceeding the governance role by involving themselves in the day-to-day role of management. This practice causes friction and a 'blurring' of the respective areas of responsibility which, in turn, affects the ability of managers to carry out their roles in an efficient and timely manner. Such practices can also cause financial and legal problems and/or cause an organisation to lose sight of its main purpose and its responsibilities to the people who benefit from its service (Te Puni Kokiri, 2005).

Tensions between governance and managerial roles are increasingly being recognised in the literature, including allegations of poor management and governance, a lack of accountability and mismanagement of funds (Dinsdale, 2002). In Northland, the review of Ngapuhi Iwi Social Services highlighted a breakdown in the boundaries between governance and management within the organisation, which resulted in a loss of accountability and control (Gifford, 2006). The Whangarei Hearing Association Incorporated official inquiry also recommended the need for strong and consistent governance, adherence to a clearly articulated vision and clearly defined rules for the board, management and staff (Laird, 2007a).

The Board of Trustees, as the highest authority in any community organisation, is charged with responsibility for the governance of the organisation (Collins & McLaughlan, 2001). Governance is the overarching process that enables a Board of Trustees to function as a unit to direct the organisation (Egan, 1993). At its core, governance is about strategic leadership (Te Puni Kokiri, 2005), a responsibility of board members that cannot be understated (Egan, 1993). The essential skills required of board members in their governance role are the ability to: think strategically about the organisation; monitor and plan the finances; work with, understand, develop and guide management in a cohesive and supportive way; and promote the organisation to the funders and the community it serves (Lorange, Morton & Ghoshal, 1986). Good governance instils stability within an organisation by ensuring that day-to-day management is congruent with the organisation's goals and secures a strong future by continuously steering the organisation towards its vision (Egan, 1993). Good governance does not include over-involvement in day-to-day management. Management is the expertise and style of implementation used by staff to translate governance policy into programmes and services (Collins & McLaughlan, 2001).

### *Difficulties relating to the management role*

The review of Ngapuhi Iwi Social Services in Northland highlighted a breakdown in the boundaries between governance and management within the organisation which resulted in a loss of accountability and control. As a result of the outcome of the review, the entire board and the chief executive officer were dismissed (Gifford, 2006). Egan (2002) stresses that, to be effective, management needs to become a profession but unfortunately, at present, it is seen as only a job to many. Careful planning is needed to create professional management systems that provide managers with the frameworks, methods, models and the skills needed to add value to their role (Egan, 2002). Bartol et al. (2005), argue that community organisations stand or fall largely as a result of how decisions are made, the standard to which all decisions are carried out and the quality of the leadership. However, many organisations suffer from being under-led and over-managed (Gordon &

Silver, 2007; Wallis & Dollery, 2006). Leadership involves flexibility, subtleness and skill: “Leaders achieve the organisation’s goals through the work of others, without relying on their position, power or ability to influence others” (Dwyer, 2005, p. 252).

Integral to the leadership role is a responsibility for the guardianship of an organisation’s credibility and reputation so that funding is acquired and sustained (Dwyer, 2005; Gordon & Silver, 2007; Wallis & Dollery, 2005). Members of several Northland community organisations have communicated their concerns about lack of leadership. Consequences have included loss of contracts, staff requiring stress leave, staff requesting mediation, loss of faith in the processes of the board and the government instigation of financial audits.

In summary, this chapter has reviewed literature relating to community organisations. It has exposed shortcomings and identified tensions derived from legislative and policy initiatives and ideology. It has identified gaps in systems and data collection that justify undertaking research in this field. There is a paucity of research into the community organisation sector at international, national and regional levels. Organisations are facing difficulties that may be exacerbated by a lack of understanding and synthesis of data. This project is timely and will contribute to overcoming the difficulties currently faced by community-based health and social services in Northland.

The next chapter reviews the theoretical and methodological literature to justify the framework selected to answer the research question: *What factors make a community organisation successful?*

## Chapter 3

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# Theoretical and methodological framework

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This chapter describes the theoretical and methodological framework used to explore the research question: *What factors make a community organisation successful?*

The philosophical framework that underpinned this project is post-positivism. Post-positivism allows the theoretical and technical aspects of quantitative and qualitative research within a single study (Crotty, 1998). Decisions relating to the use of a mixed-method design in the context of post-positivism are discussed in this chapter. This includes the relationship between theory and research, paradigm debate, the use of mixed-method enquiry and the development design. The influence of Kaupapa Māori research is outlined, and the alternative methodologies considered and dismissed are discussed.

Post-positivism incorporates scientific reasoning with our perceptions of the world as it really is (Fischer, 1998). Mertens (2005) informs that post-positivists agree that “...a reality does exist but that it can be known only imperfectly because of the researcher’s human limitations. Therefore, researchers can discover ‘reality’ within a certain realm of probability” (p. 9). I adopted the post-positivist stance for my project because it allowed objectivity and the integration of mixed-method enquiries (Crotty, 1998).

### 3.1 Relationship between theory and research

My argument for the use of inductive and deductive enquiry is centred on the premise that there is relatively little research available on the community sector in general and more specifically on what factors make a community organisation successful. I support Kibel’s (1999) claim that the gap in

research on, and knowledge of, the community sector is exacerbated by a systematic inability to measure the good that the sector does. This may be related to funders and researchers traditionally focussing only on “colourless data” such as quantitative numbers or outputs only (Kibel, 1999, p. 3) and is consistent with Wheatley and Kellner-Rogers’ (1996) view that the information gained from research needs to create greater possibilities because: “...we often tend to limit our explorations of what’s possible by surrounding ourselves with large amounts of information that tell us nothing new” (p. 26). Inductive (qualitative) research facilitates the provision of a description of participant experiences, without determining these experiences prior to the fieldwork being undertaken (Patton, 1988). Deductive enquiry enables theory to be refuted or verified by empirical hypothesis testing (Crotty, 1998). Although the focus of the current project is not to test hypotheses (especially when there is a deficit of current knowledge available about the community sector), Creswell (2009) confirms that deductive enquiry allows for the confirmation of exploratory findings which, followed by further inductive enquiry can investigate explanations that were unanticipated.

A research strategy that combines both inductive and deductive inquiry in this project should allow accounts of real experiences of working in the Northland community sector to be gathered and analysed. At the outset of this project I sought to generate current and detailed data that would, when subjected to rigorous testing, answer the research question. I believed that by designing the project in this way and by adopting such an approach that I would be able to use the findings to assist community organisations to face and solve difficulties in the future.

### **3.2 The paradigm debate**

Patton (1988) enhances understanding of paradigm choice by emphasizing that one of the reasons for describing alternative research paradigms is to sensitize researchers to the ways in which the methodological narrow-mindedness, obtained from their social experiences, reduces “their

methodological flexibility and adaptability” (p. 118). Two paradigms have emerged to underpin the methodology: interpretivism and post-positivism. Interpretivists clarify the meaning of a phenomenon by using descriptions of the unique meanings used by people in particular situations that do not generalize but are instead based on each case being treated as a “universal singular” (Denzin, 1989, p. 270).

Post-positivism goes further in that it allows the integration of quantitative and qualitative approaches to effectively explore the research question. The advantages and problems of mixing qualitative approaches have been debated at length (Crotty, 1998) over concepts such as causal links and the “nature of reality” (Tashakkori & Teddlie, 2003, p. 3).

In discussing the theory of knowledge embedded in methodology, Greene and Caracelli (1997) acknowledge several positions in the argument for and against mixing paradigms and methods. These include the more traditional approaches such as the dialectic stance where paradigms are made up of sets of interconnected philosophical assumptions in regards to methodology, values, knowledge and reality involving truth through logical debate (Greene & Caracelli, 1997). More recently, an alternative paradigm stance, where the mixing of methods is embraced, challenges traditional inquiry paradigms for no longer always being relevant to practice (Greene, 2007). These new stances are based on the pragmatic position which recognises that, although there are philosophical differences between paradigms, they can be mixed together because of their interdependence to allow investigation that can supply answers in a social enquiry (Greene, 2007; Greene & Caracelli, 1997). They are considered “descriptions of, rather than prescriptions for” the research (Greene & Caracelli, 1997, p. 8). However, Rocco, Bliss, Gallagher and Perez-Prado (2003) have criticised the lack of explicit discussion of the use of the chosen mixed methodology when reviewing mixed method research studies. Thus it is essential that philosophical underpinnings are carefully considered.



Within the positivist paradigm, truth is believed to reside in the object and is only revealed through scientific methods (Lincoln & Guba, 1985). From an ontological perspective, positivists believe that there is a single reality with an epistemological view that the knower and the known are independent (Tashakkori & Teddlie 2003). Patton (1990) further explains that in reasoning from the deductive, logical stance positivists place an emphasis on arguing from “the general to the particular, or an emphasis on a priori hypotheses or theory” (p. 7). He argues that positivism has now been surpassed by post-positivism (Patton, 1990). The reasons given for the demise of positivism include the dispute over its value in determining the nature of reality (ontology); the science of the process and grounds of knowledge (epistemology); and the roles of values in the enquiry (axiology) (Reichardt & Rallis, 1994; Tashakkori & Teddlie, 1998).

The entities in this current project are the community organisations. Part of the research interprets the experiences of members of the participating community organisations from their perspective (Seung, 2007). However, as evidenced in research by Cribb (2005), community organisations also have “structural realities” such as a physical address and are in a state of constant evolution and development by the people who work in them and by the changing needs of the communities they serve (Cribb, 2005, p. 75).

In order to justify the use of a mixed method approach for the current project notice was taken of Creswell, Plano Clarke, Gutman and Hanson (2003) who combine many features of researchers’ work into a single definition of a mixed-method study, as one which

...involves the collection or analysis of both quantitative and/or qualitative data in a single study in which the data are collected concurrently or sequentially, are given a priority, and involve the integration of the data at one or more stages in the process of the research (Creswell et. al, cited in Tashakkori & Teddlie, 2003, p.212).

It is argued by several researchers that this definition is not all-encompassing because it is unable to account for studies where the theoretical framework

expands into a larger vision than first anticipated, or where the distinction between qualitative and quantitative design is not so clear (Creswell, 2009; De Vaus, 1995; Tashakkori & Teddlie, 2003). Lincoln and Guba (1985) argue that post-positivism is a result of a twentieth century paradigm shift which recognises that there are competing and multiple views and truths within science. It is now generally accepted by both qualitative and quantitative researchers, that post-positivism in social and behavioural research has the ability to better reflect the nature and conduct of such research (Greene & Caracelli, 1997; Patton, 1990; Polkinghorne, 1983; Reichardt & Rallis, 1994; Tashakkori & Teddlie, 2003).

Before discussing my use of a mixed method inquiry, it is important to outline the individual importance of both qualitative and quantitative research.

### **3.2.1 The philosophical underpinnings of qualitative and quantitative research**

Qualitative inquiry allows for the richness of experience that could not have been obtained from quantitative methods (Bradford & Stratford 2000). It is contextual research and seeks depth, rather than breadth, to emphasise meanings and aims to discover how and why people behave, think, and make meaning (Ambert, Adler, Adler & Detzner, 1995; Jick, 1979). The research paradigm, therefore addresses questions of “meaning, interpretation and socially constructed realities” (Newman, Ridenour, Newman & De Marco, 2003, p.170) and intends to build “a complex and holistic picture, formed with words” (Bielefeld, 2006, p.398). Researchers allow the research situation to guide research procedures in order that they may maximise access to human experiences (Baxter & Eyles, 1997).

Qualitative researchers can be found in many disciplines and fields, using a variety of approaches, methods and techniques (Bradford & Stratford, 2000; Peshkin, 1988). The range of inquiry is vast and can include field

observations, analysis of texts and documents, interviews and participant observation data in order to understand and explain social phenomena (Peshkin, 1988). Some of these methods are closely related to particular epistemologies; whereas others, such as the interview, cut across theoretical perspectives (Snizek, 1976). When using interviews the researcher needs to determine what they hope to achieve, for example to develop understanding, make predictions, promote transformation or social change or deconstruct topics (Roulston, 2010). The primary commitment is to build empirical research (Ambert et al., 1995). For the research to be evaluated, however, there must be clarity of design and transparency of findings (Baxter & Eyles, 1997).

In contrast quantitative research “hypothesises relationships amongst variables that are measured frequently in numerical and objective ways” (Newman, et al., 2003, p. 170). Its ultimate strength is in the structure of the experiment and its findings, which are expressed in formal research reports (Peshkin, 1988). The focus is on objectivity, as it seeks precise measurement and analysis of target concepts where answers can be generalised to other situations (Creswell, 2009). Quantitative measurement can strengthen research by providing “observable, measurable facts” (Glesne & Peshkin, 1992, p. 6). However, quantitative research approaches can vary from the academically focused highly structured research, where methods are linked to the positivist paradigm, to loosely structured studies of particular problems where methods are tools that are chosen for practical reasons (Bielefeld, 2006). The aim is to classify features, count them, and construct statistical models in an attempt to explain what is observed (Gill & Johnson, 2002; Guba, & Lincoln, 2005). There are no inherently right or wrong, or good or bad uses of quantitative methods: variety is acceptable and it is the research question that determines the best method (Bielefeld, 2006). Although quantitative data is efficient and able to test hypotheses, it can miss contextual detail as the researcher tends to remain objectively separated from the subject matter (Bielefeld, 2006). Mixed method enquiry adds strength as

it encourages the discovery of inconsistencies in the research (Greene, et al., 1989).

### **3.2.2 The use of mixed-method enquiry**

A mixed-method enquiry allows the use of more than one investigative approach in single studies, therefore collecting different types of data (Creswell, 2009; Creswell & Plano-Clark, 2007; Greene & Caracelli, 1997; Greene et al., 1989; Johnson & Onwuegbuzie, 2004; Mertens, 2005; Morgan, 1998; Morse, 2005; Morse & Richards, 2002; Tashakkori & Teddlie, 2003). Thurston, Cove and Meadows (2008) stress that the vital consideration in method choice is the ability of the method/s chosen to answer the research question. The ultimate goal of using a mix of both qualitative and quantitative material is to develop a better understanding and explanation of the social world (Cameron, 2009). Researchers' opinions vary on the need for mixed-method enquiry but many agree that for social service research a single method is no longer sufficient (Denzin, 1989). Mixed-method research is an effective option to bridge any gaps between quantitative and qualitative research (Onwuegbuzie & Leech, 2004). Advocates for the use of a mixed-method approach argue that many practicing researchers would like to see methodologists continue to develop techniques that are more relevant to actual practice (Johnson & Onwuegbuzie, 2004). The social science field is now so complex that combining different types of methods often adds strength (Greene & Caracelli, 1997) and assists in countering bias (Patton, 1997).

As explained by Tashakkori and Teddlie (1998), a decision is required when using mixed-methods over whether it is best to use both qualitative and quantitative paradigms in a single study or to use different methods of a single paradigm. When discussing health research, LoBiondo-Wood and Haber (1994) advocate the usefulness of mixing qualitative and quantitative methods in whatever sequence is deemed appropriate to measure patient health outcomes. When discussing research methodology in the non-profit sector Schneider (2008) acknowledges that "quality research chooses

appropriate methods for a given research question, often combining various disciplinary approaches to address a given problem” (p.392).

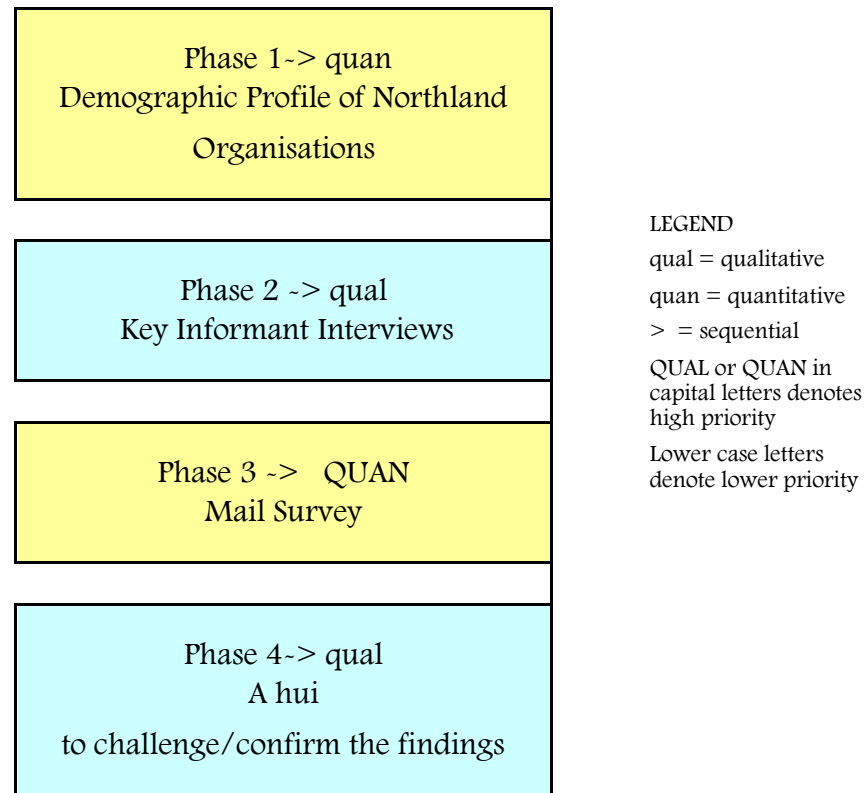
I examined the work of researchers like Guba and Lincoln (1989), Crabtree and Miller (1999), Greene et al. (1989), Greene and Caracelli (1997), Morse and Richards (2002); Johnson and Onwuegbuzie, 2004; and Creswell (2009), who advocated that mixed-method research requires a carefully planned focus. Other considerations central to design choice include assuring research measurement and design validity, that the design is built around theory and ensuring that there is consistency between design and the research question (Newman & Benz, 1998; Thurston et al., 2008). This includes the initial preparation deciding the purpose of each part of the research, including a clear understanding of the research plan, research aim and the research question to focus the study in context (Newman & Benz, 1998; Thurston, Cove & Meadows, 2008). In addition, because of the complexity of the design and the use of both qualitative and quantitative approaches, sampling techniques, data collection and data analysis must be appropriate to collectively build to allow the research question to be answered (Crabtree & Miller, 1999; Guba & Lincoln, 1989; Morse & Richards, 2002). Careful attention was therefore given to the planning of my project so that it was logical, comprehensive and thorough (Datta, 1994; Fielding & Fielding, 1986; Lincoln & Guba, 1985; Johnstone, 2004; Patton, 1997).

I knew that the methods of data collection, when combined, needed to add strength and validity to the completed research (Crotty, 1998), especially as the subject is an under-researched area. I decided that mixing both qualitative and quantitative methods would increase the scope and comprehensiveness of the study (Newman et al., 2003). I believed qualitative tools would help define and expand the thematic areas of enquiry and that quantitative analysis would add strength to the qualitative findings by establishing facts and trends numerically. This was intended to give perspective across all results (Morrow, Nguyen, Caruana, Biggs, Doan &

Nong, 2009; Tashakkori & Teddlie, 2003). The use of qualitative and quantitative phases at particular points of the research that cumulatively answers the research question is acceptable practice (Guba & Lincoln, 1989; Morse & Richards, 2002).

I also decided on mixed methods because it allowed a logical inquiry that is three-fold in that it includes the use of “induction (or discovery of patterns), deduction (testing of theories and hypotheses), and abduction (uncovering and relying on the best of a set of explanations for understanding one's results” (Johnson & Onwuegbuzie, 2004, p. 17). As explained by Creswell (2009), four factors shape the procedures in mixed methods studies. These are “timing, weight, mixing and theorizing” (p.208).

The paucity of available knowledge into the non-profit sector confirmed the need for ‘sequential timing’ (Greene et al., 1989; Creswell, 2009) because it allowed each phase to inform the next phase. The ‘weighting’ or priority given to the qualitative/quantitative mix prioritised the QUAN Phase 3 mail survey (Creswell, 2009). Creswell (2009) describes that the ‘mixing’ of the data is often difficult. Each phase of my project is separate but connected, whereby the analysis of each phase informed the next phase, as outlined in (Figure 3.1, p. 75). According to Creswell (2009), the final consideration in mixed-method research is to consider the theoretical perspective that guides the research. As social science research into the non-profit sector, this project fits in the post-positivism paradigm. It is aligned to a sequential explanatory design (Creswell, 2009), whereby the Phase 2 qualitative interviews (qual) were designed to inform the more weighted Phase 3 (QUAN) mail survey. Two extra phases were added: Phase 1, because of the paucity of research into the non-profit sector and the lack of a reliable database; and Phase 4 because of the interest there was in the research from Northlanders, and out of courtesy to the participants. I felt confident with the design because mixed-method research is not a limiting form of research and has the potential to be creative and expansive and in the sequence needed to answer the research question (Johnson & Onwuegbuzie, 2004).



**Figure 3.1 Sequential Explanatory Design**  
(Creswell, 2009, p.209)

### 3.2.3 Incorporating the concept of Kaupapa Māori research philosophy

Prior to commencing this project I consulted with the Māori community and gained permission from Kaumatua and Kuia before seeking ethical approval for this work. In essence, according to Henry and Pene (1999) the term Kaupapa Māori incorporates the traditional Māori ways of “doing, being, and thinking, encapsulated in a Māori world view” (p.8). I therefore wanted to understand where Kaupapa Māori methodology was positioned within and alongside the general research spectrum of New Zealand based research. For Māori the traditional research view is that: “Kaupapa Māori methodologies

are fundamentally and unapologetically subjective. Just as participants are overtly located within whanau, hapu, iwi and waka traditions (see Glossary of Maori Terms, p. 175), so too is the researcher or facilitator explicitly located within these systems, structures and ways of being” (Milne, 2005, p. 8).

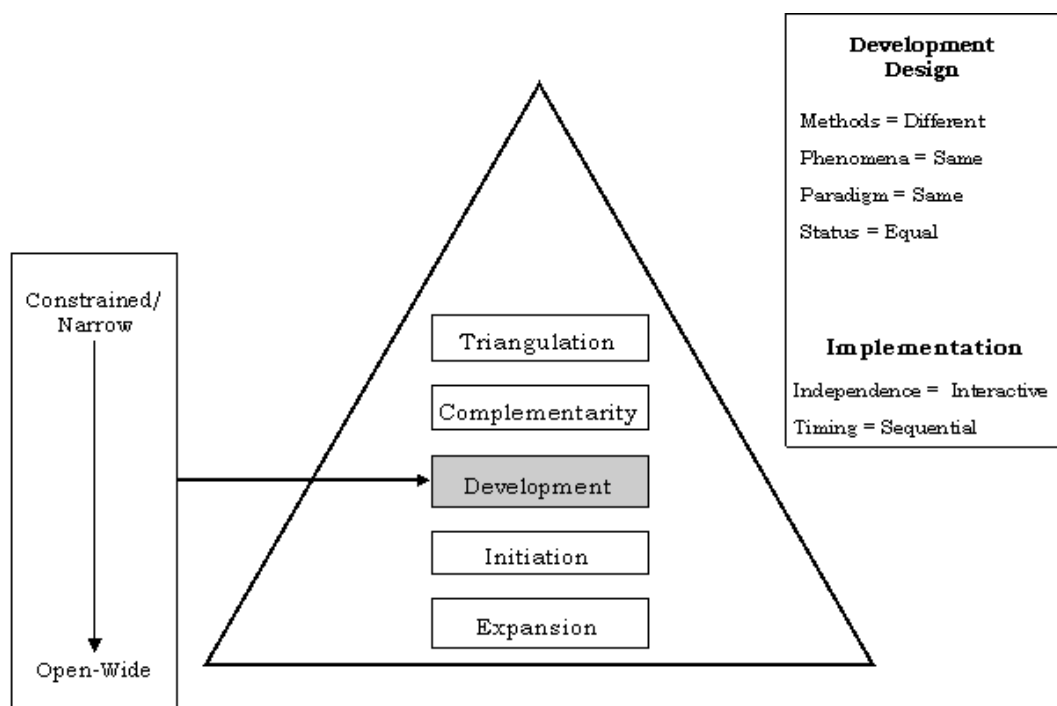
As explained by Mead (2003), in research the principle of tika (appropriate behaviour) is paramount in all aspects of the research development and process, and acknowledges the importance of traditional attitudes in research practice. Reid (2006) argues that contemporary Māori kaupapa has embraced a broad intersectoral rangahau (research) approach that crosses all research boundaries and traditions deemed appropriate to answer the research question. As with all strong research approaches, a Kaupapa Māori approach requires the researcher to think through all aspects of the cultural issues, ethical considerations and the chosen methodological approach from all sides, before, during and after they have conducted their research (Mead, 2003). The outcome should then be, for all involved to feel “enriched, empowered, enlightened and glad to have been a part of it” (Mead, 2003, p.318). The emphasis, by Māori, on *Te Tangata, Te Tangata, Te Tangata (the people, the people, the people)* lent further support to my decision to include more qualitative phases in the design to allow for the research participants to describe, “in rich detail, phenomena as they are situated and embedded in local contexts” (Johnson & Onwuegbuzie, 2004, p.20).

### 3.3 Development design

Choosing the design is centred on ensuring the pertinent research question can be answered (Creswell, 2009; Flick, 1992; Johnson & Onwuegbuzie, 2004; Tashakkori & Teddlie, 2003). The design choice for my project was influenced by the work of Greene et al. (1989), who developed a mixed-method conceptual framework from theoretical literature and refined it through the analysis of 57 empirical mixed-method studies (refer Figure 3.2, p. 77). The main feature of the Development Design is the “sequential timing



of the implementation of the different methods” (p. 267). Figure 3.2 shows where the design is placed in the mixed-method conceptual framework outlined by Greene et al. (1989). The Development Design uses different methods to research the same phenomena, using the same paradigm whereby each phase of the project is of equal status. The design phases are sequential and interactive and culminate in new knowledge (Greene et al., 1989).



**Figure 3.2 Development Design**

Adapted from Flexibility of design options for mixed method purposes  
by Greene et al., (1989)

The rationale behind choosing a development design with four sequential phases relates to its ability to produce sufficient information in each phase to inform the next phase in a way that was methodical, clear and logical (Patton, 1997). The results of each phase should enable the development of knowledge and in a logical and sequential way (Greene et al., 1989). Sieber

(1973) and Madey (1982) provide the theoretical background of the design described by Greene et al. (1989). This was adopted on the basis that the method mix encouraged greater understanding of the causes of any observed changes within an organisation.

### **3.4 Alternative methodologies considered and dismissed**

In the first instance, I considered that the research question fitted under the broad category of evaluation research. Evaluation research is a specific form of social research (Patton, 1988) that does not necessarily involve the use of a specific research design but can use a variety of research designs to evaluate a practice, programme, policy or treatment (LoBiondo-Wood & Haber, 1994). As applied research or research in action it has the ability to evaluate both the difficulties and the successes of an organisation in context (Patton, 1988). This factor distinguishes evaluation research from the basic academic research of inductive/deductive inquiry which aims to generate theory and “gain knowledge for the sake of knowledge” (Patton, 1988, p. 12). Evaluation research informs action, enhances decision making and generates new knowledge with an aim to “solve human and societal problems” (Patton, 1988, p. 12). It therefore has usefulness and practicability in making human interventions more effective (Morrell, 1979; Patton, 1988). Evaluation research can replace the traditional scientific approach of searching for “objective truth”, with a search for useful balanced information (Patton, 1997, p. 282). It has the potential to provide particularly useful data-gathering opportunities by in-depth interviews and surveys (Patton, 1988) which are the intent of this project. However, after consideration I concluded that as the project did not specifically evaluate the effectiveness of an object or programme (Patton, 1997), it did not fit under the category of evaluation research.

Ways of mixing phases were also considered. Griffin and Amodeo (1988) used an exploratory approach for their study examining the interfamilial differences in adulthood amongst the children of alcoholic parents. Their

method included initial telephone screening, followed by a mail questionnaire and a face-to-face structured interview. The researchers argued that qualitative open-ended interview results complemented the quantitative data gained from the questionnaire. However the study limitations included the small sample size (n=14), and the problem of possible memory lapses in the collection of retrospective data when asking for childhood memories from a sample group who were adults.

Campbell, Baumohl and Hunt (2003) researched employment outcomes and barriers for respondents who had a history of drug and alcohol problems. Their mixed-method approach included collecting statistical data from government records and subjecting it to quantitative analysis. Semi-structured interviews followed over a period of one year to eighteen months to provide qualitative narrative data to gain a “vivid sense” (p. 210) of understanding of the work that the respondents did and allow for grouping of the data into occupational definitions (Campbell et al., 2003). Again study limitations included the reliability of the participants’ capacity to accurately recount their experiences because their addiction issues made them and their recall ability vulnerable (Campbell et al., 2003).

Walden, Mwangulube and Makhumula-Nkhoma (1999) measured the impact of a behaviour change intervention. Prior to choosing the design, they justified the use of a mixed-method approach by reviewing the writings of, amongst others, Patton (1990), Greene et al. (1989), and Dootson (1995). Their approach was based on focus group discussions and structured questionnaires. The sensitivity required for interviewing vulnerable participants was argued to be more important than an approach that may have improved the validity of the research results (Walden et al., 1999). Although this qualitative data provided more focus on their areas of concern they were cautioned by similar studies of AIDS and sex workers that had been found to be limited by failing to incorporate rigorous quantitative data (Walden et al., 1999). Knowledge of these limitations assisted my decision to use a design that included quantitative analysis.

Two other methods to answer the research question were considered and dismissed. These were: result mapping by success story evaluation (Kibel, 1999) and Appreciative Inquiry (Cooperrider & Srivastva, 1987), and these are considered in more detail in the following two sections.

### **3.4.1 Result mapping by success story evaluation**

The use of result mapping by success story evaluation to answer the research question was considered because of my recognition that it is not easy to measure all the achievements of community organisations (Kibel, 1999; Patton, 1997). It was my belief that emphasizing success, rather than dwelling on difficulty, would be particularly useful to my project because, according to Kibel (1999), it provides a proven and innovative approach to assessing the worth of programmes in the areas of health and social services. Kibel explains that the method differs from the traditional types of evaluation practice by endeavouring to answer the question “How can we do it better?” rather than the more traditional experimental evaluation approach of “does it work?” (Cohen, cited in Kibel, 1999, p. 1).

Result mapping involves an interview process that is both open-ended and highly structured (Kibel, 1999) provided that the interviewer is open and ready to discover information that was not expected, and to “doggedly follow leads and hunches” (Brinkerhoff, 2003, p. 38). However, a high degree of structure and consistency is needed in compiling the questions to ensure that all the critical dimensions of success are covered and that the interview is credible and accurate (Brinkerhoff, 2003). Other attractive aspects of this approach were its proven potential to provide opportunities for improving organisational understanding, growth and self-determination by enabling interviewees to seek ways of improving their organisations (Kibel, 1999). I considered that this approach could provide an interview format that would encourage participants to think about the successes and difficulties in their organisations and to be open and honest in their answers.

Disadvantages include the fact that the process for obtaining success stories is time consuming; furthermore, story-giving techniques can vary as some participants could lack the skills to be good and accurate storytellers (Kibel, 1999). Considerable skill is also needed for qualitative analysis of the findings (Kibel, 1999).

I decided against using result mapping after discussion with a data analyst. I was concerned that this approach would be an intrusive and cumbersome way to collect the data. Reasons related to time constraints imposed on participants by their work. I was concerned that they may only have time to provide some aspects of a story and thus adequacy and consistency could be jeopardised.

### 3.4.2 Appreciative inquiry

Appreciative inquiry is aligned to action research, a method invented by Lewin (1958) to resolve social conflicts. It is a form of qualitative self-reflective enquiry undertaken to understand and improve practices by groups of participants (Lewin, 1958). This is achieved by following the participants' practical actions and their reflections on the effects of these actions (Hopkins, 1985; Kemmis & McTaggart, 1990; Lewin, 1958). Appreciative inquiry places less emphasis on the reasons for the action and more on the theory, in order to build on the existing resources and strengths within an organisation or community (Cooperrider & Srivastva, 1987). Instead of focussing on the problems or needs of the organisation, appreciative inquiry works on the assumption that whatever the organisation needs or wants to build on already exists within the organisation (Hall, 1998).

This method was attractive because of its emphasis on finding solutions from within the organisation itself. I also liked its focus on what is working well, instead of defining problems and dwelling only on difficulties (Hall & Hammond, 2000). The classic questions for this methodology encourage real stories about what people know and understand (Hammond & Royal, 2001). Examples of typical questions are: What is a high point of your career when

you felt most effective or engaged? Can you describe how you felt at this time? Can you describe your three concrete wishes for the future of your organisation?

Again, I was concerned that this type of questioning would not specifically meet the aims and purposes of the project and I would not be specifically working in an ongoing way with each organisation. In addition I was also seeking data from failed organisations and this type of questioning would have seemed peculiar to the participants.

### 3.5 Summary

Critical exploration of the paradigm debate helped me to determine where my project is placed. Greene et al. (1989) and Patton (1990) confirm that the paradigm debate has resulted in a sense of ease in the use of whatever is considered the most appropriate mix of methods to answer the research question. I chose a mixed-method design with four phases, reassured in the knowledge that there is now more freedom for researchers to use mixed-method approaches in the way they deem most useful to answer the research question (Crabtree & Miller, 1999; Creswell, 2009; Guba & Lincoln, 1989; Morse & Richards, 2002; Tashakkori & Teddlie, 2003).

I believed that four phases were required to provide a comprehensive mix of data. Careful thought was given to the planning of each of the four phases to ensure that they collectively added depth and breadth to the research by using methods that were logical, comprehensive and thorough (Datta, 1994; Fielding & Fielding, 1986; Johnstone, 2004; Lincoln & Guba, 1985; Patton, 1997; Tashakkori & Teddlie, 2003). In addition I took note of Kaupapa Māori research philosophy to better reflect the research population of Northland.

This chapter has established congruence between the research question and the methodology employed to seek credible answers to the research question. The next chapter, Chapter Four, describes the methods used to obtain the data needed to answer the research question. The participants are described in the context of how they were chosen, and selection criteria and ethical

considerations are discussed. Data collection, analysis and the validity and reliability of the method for this four-phase study are explained and justified.

## Chapter 4

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### Research methods

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This chapter outlines the methods used to answer the research question. Participant characteristics and selection methods are described and ethical considerations are discussed. Data collection, data analysis and criteria for judging the rigour of this four phase study are explained and justified. This is presented under the four sections entitled:

- Phase 1–A demographic profile of community organisations in Northland
- Phase 2–Key informant interviews
- Phase 3–Mail Survey
- Phase 4–A hui to challenge and confirm the findings.

#### 4.1 Overview of research phases

A mixed-method study based on the development design outlined by Greene et al. (1989) (refer Figure 3.2, p.77), was used to answer the research question: *What factors make a community organisation successful?* This method was chosen on the basis that it facilitated the collection of qualitative and quantitative data within a single study (Rocco et al., 2003). The project's aim was to explore the issues confronting community organisations in Northland, identify the factors that contribute to the success of some organisations and in doing so assist these and other organisations to identify and overcome the difficulties they face.

The research was carried out in four sequential phases, which were purposely chosen for their ability to produce sufficient information within each phase to inform the next phase. These four phases are summarised as follows in Table 4.1 (p. 85).



**Table 4.1 Research phases**

Research Phase	Objectives	Key Issues and Outcomes
Phase 1 - Profile of Community Organisations, 2004-2005	To develop a current, accurate and comprehensive inventory of health and social community-based services in Northland.	One thousand, one hundred and seventy seven (n=1177) community organisations were listed and their details confirmed.
Phase 2 - Key Informant Interviews, 2005	To gather qualitative data describing the context and patterns of operation of four community organisations in Northland.	The information gathered was distilled into the 28 statements used in Phase 3.
	To develop the content and format of a mail survey, the responses to which would answer the research question.	The development, piloting and dissemination of a survey to be sent to 900 members of 300 health and social service community organisations in Northland.
Phase 3 - Mail Survey, 2006	To assist in determining the factors that contribute to the success of an organisation, by seeking affirmation of the results of the Phase 2 Key Informant Interviews.	Three main factors emerged Factor 1: Effective board, management and staff relationships. Factor 2: Good external links with government and community. Factor 3: Funding insecurity.
Phase 4 - Hui, 2007	To discuss, challenge and confirm the research findings.	Critical components of a successful community organisation confirmed.

In summary, the quantitative database from Phase 1 provided a comprehensive inventory of community organisations in Northland in the areas of health and social service. In Phase 2, key informant interviews gathered qualitative data describing the context and patterns of operation of four community organisations in Northland. Data analysis was undertaken using a general inductive approach to thematic analysis. The resulting information was used to inform the compilation of 28 statements (items) which formed the basis of the Phase 3 mail survey and were designed to confirm the opinions and perspectives of those who work in the area of community service. Confirmation of this was achieved through the development, piloting and dissemination of a survey sent to 900 members of a total of 300 health and social service community organisations in Northland. Phase 3 resulted in the collection of quantitative

survey data and qualitative comments from 222 completed surveys. The data were subjected to exploratory factor analysis in order to identify underlying dimensions amongst the variables (Thompson & Daniel, 1996). Using a principal components analysis and varimax rotation, three main factors were identified. The three confirmed factors then became the basis for discussion in the qualitative Phase 4, which took the form of a hui. This was attended by representatives of Northland community organisations and the government departments that provide funding for community organisations in Northland. The attendees participated in a workshop where four groups were formed: board members, managers, service delivery staff and funders.

#### **4.2 Phase 1: A demographic profile of Northland community organisations**

The purpose of Phase 1 was to produce a current and accurate document to inform Phases 2, 3 and 4 of the study.

In order to fully appreciate the context of the study it was necessary to develop an understanding of the nature and distribution of community organisations throughout Northland. This first phase of the project involved a search for a single database that provided the details of all community organisations in Northland providing services in the areas of health and social services. Despite extensive research over a three-month period, an accurate and up-to-date database was not found. The compilation of an accurate database for Northland was therefore necessary. This task took six months to complete.

A demographic survey profiling Northland's community organisations was undertaken. The inclusion criterion was that the community organisation was to be non-profit and deliver health or social services to the communities of Northland.

#### **4.2.1 Phase 1: Selection**

Community organisations were selected on the basis that they were non-profit and were providing services in the areas of health and social service, and that they were based in the Northland region, had a branch in Northland or that they were based outside Northland but were accessed by the Northland population (for example, the Haemophilia Foundation of New Zealand Incorporated which is based in Christchurch but is accessed by Northland residents).

#### **4.2.2 Phase 1: Ethical considerations**

Prior to developing the research proposal, consultations took place with local Kaumatua and Kuia, and after due consideration, their support and endorsement for the study was obtained (Appendix B, p. 212). Ethics approval was not required for Phase 1 because demographic information relating to Northland's community organisations is publicly available.

#### **4.2.3 Phase 1: Data collection**

Contact and demographic details of Northland community organisations were researched using all available media, including: published databases, websites, and telephone directories; personal visits to organisations such as the Citizens Advice Bureau and the Council of Social Services (this organisation subsequently ceased operation in 2008); attendance at community meetings; and phone calls and discussions. Library reference sections were searched and government departments and District Councils were contacted with a request for access to their existing databases. Organisations contacted included: the Ministry of Health, the Ministry of Social Development, Child Youth and Family Service, the Department of Internal Affairs, the Ministry of Economic Development, the Northland District Health Board, Te Puni Kokiri and Housing New Zealand. Churches and philanthropic organisations were also approached.

An online request was made to the Companies Office for access to their database, via [www.companies.govt.nz](http://www.companies.govt.nz), and following payment of the stipulated fee, access was granted. The results of this search were refined to exclude non-

Northland registered organisations because some entries were located in other areas of New Zealand with suburbs called Northland, e.g. in Wellington.

Calling listed telephone numbers revealed that the available details of some organisations were not up to date. Several organisations could not be contacted and several more verified that they were no longer operating despite being on one or more of the published local databases. All such organisations were eliminated from the study.

Having compiled a database in excess of 1000 entries, I approached staff at the Ministry of Social Development and gained permission to merge my database with theirs in order to eliminate any duplication. This presented difficulties because information for the same organisation sometimes differed between the two databases, perhaps because of recent changes or the provision of conflicting information at the point of contact within the organisation. A common problem was that of multiple entries for the same organisation using different names, for example: The Youth Trust, Youth Trust, and Youth Sports and Recreation Trust.

Recent research has shown that the computer system now discarded by the Charities Commission was encountering similar problems and, as a result, was unable to differentiate between names and address variations (Pullar-Strecker, 2007). To check the accuracy of entries and avoid duplication, organisations were telephoned and their data rechecked. This was a worthwhile but time-consuming exercise, and proved how difficult it is not only to obtain clear and current information, but in many cases to simply make contact with some community organisations.

The difficulties overcome in acquiring up-to-date information from the community organisations lengthened Phase 1 from the original estimated timeframe of three months, to six months. Other problems experienced in gathering the data related to government departments and community organisations being unable to supply complete or current databases. Many

community organisations did not keep databases or the ones they did keep were small, local databases and were not regularly updated.

#### **4.2.4 Phase 1: Quality of data**

Prior to commencing Phase 1, informal evidence confirmed that there is no single document that accurately catalogues all the community organisations providing health and social services in Northland. A Microsoft Excel database was a useful tool for organising the information. This provided a simple-to-use format that enabled the embedding of calculations which would then assist with analysis, comparisons and presentation. Initial enquiries had suggested there were 200-400 community organisations in the region. However, as previously mentioned, completion of Phase 1 generated a database in excess of 1000 organisations.

The information gathered was cleaned by checking, correcting or removing inaccurate or repetitive entries. The details were entered in alphabetical order onto the Excel spreadsheet. This format allowed for the information provided by the community organisations to be arranged according to geographical area, service type, size, contact details and legal status.

The process used was firstly to list the community organisations in alphabetical order, then identify the geographical area in which they operated and the type of service they provided. A total of one thousand, one hundred and seventy seven (n=1177) community organisations were listed as a result of this stage of the study. Phase 1 also showed that only 19% of these organisations had been previously entered in the 2004-2005 Northland Telephone Directory.

### **4.3 Phase 2: Key informant interviews**

Interviews with community organisation representatives were used to identify the different perceived reasons for the success or difficulties experienced by their organisations.

#### **4.3.1 Phase 2: Interview selection criteria**

Twelve participants from four Northland community organisations were chosen by random selection from the Phase 1 database. This database facilitated the stratified random selection according to the following selection criteria:

- Type—health or social service. In order to achieve equality between the health and social sectors, two organisations were selected from each category.
- Size—two large and two small organisations were selected (a large organisation had 10 or more employees and a small organisation, less than 10 employees). This category was included to determine whether or not the size of an organisation had a bearing on an organisation's ability to be successful.
- Geographic location—one urban organisation and three rural organisations were chosen, to reflect the urban-to-rural ratio of the Northland population, of which approximately 60% are rurally located.
- Longevity or status—two of the organisations had been operating for more than five years and two had ceased operation within the last five years (from the commencement of the current project in 2004). This category was included to determine whether the longevity of an organisation has a bearing on its ability to achieve success.

#### **4.3.2 Phase 2: Community organisation selection**

Adherence to the selection criteria was achieved by giving each organisation an identification number. This also enabled the sorting of community organisations by the criteria (Table 4.2, p. 91). The database was compiled under three geographical areas: Whangarei District, Kaipara District and the Mid-Far North District. The Excel program was instructed to select the sample where the first organisations from each of the three areas of Northland were allocated a computer-generated random number. Numbers over 15 were then discarded. The figure of 15 allowed for four organisations from each of the three geographical areas plus three spare organisations if needed.

**Table 4.2 Interview participants by selection criteria**

Interview Number	Position in Organisation	Failed or Successful	Large or Small Organisation	Urban or Rurally Located	Longevity	Service Type
1 (a)	Board Member	Successful	Small	Rural	5+ years	Social
1 (b)	Manager					
1 (c)	Staff					
2 (a)	Board Member	Failed	Large	Rural	4 years	Health
2 (b)	Manager					
2 (c)	Staff					
3 (a)	Board Member	Successful	Large	Urban	5+ years	Health
3 (b)	Manager					
3 (c)	Staff					
4 (a)	Board Member	Failed	Small	Rural	3 years	Social
4 (b)	Manager					
4 (c)	Staff					

The first four of the randomly selected organisations from each geographical area were telephoned to obtain a list of contacts of board, management and staff members. The named contacts were then contacted by telephone to ask if they were willing to take part in the research. This process was repeated until three members of each of four community organisations agreed to participate in the research. A maximum of two phone calls to each potential candidate was allowed before an alternative contact was initiated with the next name on the list. Strict adherence to the list prevented any bias in choosing potential participants.

Stratified Random Selection was chosen because it enabled the division of the sample population into health and social service organisations; and the number of community organisations at n=1177 enabled sufficient information of the attributes to allow the division into sub-groups for the comparison of regional data.

#### **4.3.3 Phase 2: Ethical considerations**

As previously stated, the initial contact with the four organisations randomly selected from the Northland Community Organisation Database created in Phase 1, was by telephone. Following affirmative responses and prior to the interviews with selected representatives of four Northland Community organisations, potential participants were sent a consent form and information sheet advising them of the purpose of the study and inviting them to participate in a recorded interview (Appendix C, p. 214). Participants were informed of the risks, benefits and confidentiality considerations of the research project. These were contained in the information provided in the Participant Information Sheet. Phase 2 did not commence until ethics approval was obtained from the Northern X Regional Ethics Committee of the Ministry of Health (Appendix E, p. 222).

As a requirement for ethics approval, each participating organisation signed a Locality Assessment Form. These were lodged with the Northern X Regional Ethics Committee (Ministry of Health). The purpose of this form was to ensure that the community organisations agreed, in principle, for research interviews to take place on their premises if required. Interviews could also be held off-site if this was the preference of the participant. In total, six of the 12 interviews were held on site. The identity of the participants was not revealed in the interview transcripts. Codes were given for each participant and a copy of identifying information was kept separately in a locked cabinet.

#### **4.3.4 Phase 2: Data collection**

Data collection involved detailed tape-recorded interviews of consenting representatives from the four Northland community organisations. As stated previously, two organisations were from the health sector and two from the social service sector and selection of the organisation was based on the criteria outlined in the Interview Selection Criteria (Table 4.2, p. 91). Twelve interviews were held in total, comprising three interviews within each of the four selected organisations: one each with a board member, manager and service staff



member. Participants were able to choose either to have the interview recorded or to allow notes to be taken.

The interview questions were identical for each scheduled interview and focussed on the research objectives. Questions centred on identifying the significant, ongoing internal and external difficulties confronting the participants' organisations and the actions taken to overcome them. The questions were open-ended to encourage explanation and examples of success and difficulty, as follows:

- What are/were the most significant ongoing internal difficulties confronting your community organisation?
- What actions are/were taken by your community organisation to successfully overcome these internal difficulties?
- What are/were the most significant ongoing external difficulties confronting your community organisation?
- What actions are/were taken by your community organisation to successfully overcome these external difficulties?
- What are/were the most significant factors, which you believe, contribute to the success of your organisation?

Interview questioning was influenced by the success story approach by Brinkerhoff (2003) and Kibel (1999), and the appreciative inquiry premise by Cooperrider and Srivastva (1987) that focused, in the main, on extracting positive information rather than emphasising only negative data. The problem with interviews, according to Thomas (2001), is that they are conversations between the interviewer and the participant, and the epistemological view adopted by most researchers is that there is no way of verifying the answers. To counter this, at the conclusion of each interview I ensured that the participants had the opportunity to read through the notes or listen to any part of the taped interview material if they chose to. This enabled them to confirm the accuracy and intent of their responses before closing the interview. Eight participants checked some area of the interview material. This helps to meet obligations

explained by Ramos (1989) that researchers must be accurate and thorough in checking that the raw data reflects the true intent of the participant.

Prior to the interviews, phone calls were made to the consenting participants and key details were recorded on an Interview Record Form, an example of which is shown in Figure 4.1:

Name:	
Occupation:	
Interview Location:	
Interview Time:	Consent given: <input type="checkbox"/> Yes <input type="checkbox"/> No
Notes:	

**Figure 4.1 Example Record Form**

The interview format was carefully explained, questions were answered and confidentiality was assured prior to commencement. This was done to foster interviewee confidence and the flow of conversation. In an attempt to ensure privacy and the comfort of the interviewee, interviews took place in a quiet setting, either on or off site, depending on interviewee preference. The interviews took approximately one hour and refreshments were provided.

The interviews were recorded and the tapes numbered and coded with identifying names removed to ensure confidentiality. For example: *Interview 5. 10/9/05 Board Member*. Seven of the interviewees (60%) agreed to the recording of interviews, with five (40%) preferring notes to be taken by the researcher. I took notes after the recorded interviews in order to facilitate cross-referencing and checking of data. On completion of each interview, the content of the interview was transcribed onto a computer file, and cleaned. The purpose of data cleaning is to prepare the raw data files to make them consistent and

manageable. In this instance data cleaning consisted of ensuring the font size and type, margins, line and word spacings were all consistent throughout.

It was more difficult to locate participants from failed organisations. In some cases this was because of the lack of accurate records held within public, government or funding agencies about how to locate people once the organisation had ceased operation. Furthermore, once located, some people were hesitant about being interviewed. Others worried about confidentiality and some preferred to put behind them what they described as a painful work experience. However, following introduction and careful explanation of the purpose of the research, all of the participants who agreed to participate were open and forthright when answering the questions. Three participants said they felt better after the interview because it gave them a confidential opportunity to voice their feelings about workplace problems that remained unresolved (unfinished business) and their concerns about the failure of their community organisation. Managers from two organisations initially agreed to be interviewed but withdrew from the research citing work pressures. They were replaced by other managerial staff from the same organisation.

#### **4.3.5 Phase 2: Quality of data**

Interview questions were the same for each participant and were purposely open-ended in order to promote a more detailed and hence informative response. The data was then subjected to the thematic inductive approach in order to establish core meanings that would assist in answering the research question.

The organisations selected to receive the Phase 3 mail survey were derived from the large sample of community organisations (n= 1177) identified in Phase 1. This allowed stratified random selection with a distribution similar to that of the population of community organisations Northland-wide.

#### 4.3.6 Phase 2: Data analysis

The general inductive approach used to analyse the Phase 2 interview data was chosen because of its ability to allow the core meanings (the central and most significant meaning of the statement/s) to emerge from the large amount of raw data collected. This approach is not hampered by the restraints of a structured methodology with the main purpose being to allow the theory to emerge from the data (Strauss & Corbin, 1990; Thomas, 2006).

##### *The use of a general inductive approach to thematic analysis*

The approach was guided by Thomas (2006) to ensure that nothing of relevance was excluded.

I used the followed prompts:

- a. Are all the core meanings properly identified?
- b. Are the core meanings relevant to the research question?
- c. Are all core meanings evident in the results of this phase of the project?

The analysis process involved the following seven key steps of:

1. data cleaning;
2. inductive data analysis;
3. close and repeated text reading;
4. development of preliminary research themes derived from interview notes;
5. categorisation;
6. identifying and categorising overlapping text; and
7. refining and revising.

(Thomas, 2006)

These stages are described next.

### *1. Data cleaning*

The content of the tape-recorded interviews was transcribed along with the written interview material. As part of the data-cleaning process the material was typed into the computer in an easily readable 12 point font format. A wide margin was allowed on the left for researcher comment. Data was backed up electronically and then printed for the purpose of reading.

### *2. Inductive data analysis*

The process involved reducing the data, then coding and displaying the data, and arriving at a conclusion. This comprised the following steps:

1. Condensing the data gained from the interview questions presented to 12 members of Northland community organisations into a brief summary format.
2. Ascertaining if core meanings emerged from the responses by repeated reading of the text over time.
3. Grouping the core meanings based on the interview summaries from the experiences of success and difficulty outlined in the interview summaries of the interviewees.

### *3. Close and repeated text reading*

The written interview material was read thoroughly, several times a day, over a two-week period to assist with full assimilation of information. The thematic inductive approach to content analysis involved searching for important and relevant core meanings within the interview data. The main questions I asked of the data were:

- a. Are there any issues, experiences, opinions or core meanings which were common in the responses of all or most of the interviewees?
- b. Where such issues, experiences, opinions or core meanings did exist, what were they?

- c. Could they be safely (i.e. without detracting from the core meaning) categorised under a limited number of themes to assist with the correct organisation of the data?
- d. How could the information obtained inform the development of the next research phase to determine the factors for success?

#### ***4. Development of preliminary research themes derived from interview notes***

Notes were taken during the repeated text-reading process to assist in identifying categories for the findings. The notes involved summarising the core meanings of the interview material and extracting the summary themes, which then led to the identification of five research themes as outlined in Table 4.3:

<b>Table 4.3 Research categories</b>	
Theme 1	Funding and Resourcing
Theme 2	Staff Recruitment and Retention
Theme 3	Board, Management and Staff Relations
Theme 4	Strategic Vision and Performance Planning
Theme 5	External Influences

#### ***5. Categorisation***

Codes were attached to each of the core meaning statements prior to them being placed under the five main research themes, as detailed on Table 4.4 (p. 101). These main themes were the logical categories that resulted from subjecting the interview text to the thematic deductive analysis process. In summary, the core meanings, derived from the interviews, were clustered under the five coding categories or research themes. The core meanings were then placed under the five themes as detailed on Table 4.4 (p. 101). The clustering of the core meanings into five lists assisted with the condensing and organisation of the data.

### *6. Identifying and categorising overlapping text*

There are two rules in inductive analysis that differ from other forms of qualitative research (Thomas, 2006). The first is the understanding that sometimes much of the research text does not fit into a specified category. And secondly, even when the text is read many times, much of it does not fit with the objectives of the research at all; Thomas suggests that this can, at times, apply to half of the text.

Consideration was therefore given to the possibility that one section of a response sentence may require coding differently to another section of the same sentence. This entailed separating the two sections and moving each to the research theme that best reflected their core meaning. In thematic inductive analysis this repositioning is acceptable in order to correctly categorise the intent of the interview answer (Thomas, 2006). I made this decision based on where the sentence content fitted most appropriately.

For example, the sentence: “Developing and maintaining a good reputation with funders and clients, and good relations with the local community” was separated into three components and these were placed under three themes as follows:

1. Developing and maintaining a good reputation with funders was placed under Theme 1–Funding and Resourcing.
2. *Developing and maintaining a good reputation with clients* was placed under Theme 4–Strategic Vision and Performance Planning.
3. Developing and maintaining a good reputation with the local community was placed under Theme 5–External Influences.

### *7. Refining and revising*

When the understanding of the intent of the content of each interview question response was clear, the data was entered into one or more of the five main themes, the purpose being to identify the core meanings that related to the research objectives.

As an additional check, the next step in the process was to revisit each of the five coding categories in turn, to further refine them. This phase involved reading and thinking about the statements in relation to the interview content, repeatedly until the core meanings were clear and could be confirmed as correctly placed under one or more of the five main research themes (refer Table 4.4, p. 101).

The final stage was to develop these core meanings into statements suitable for the Phase 3 mail survey. This was achieved by taking each of the responses from the five research themes and translating them into a series of statements which, when taken collectively, addressed all aspects of the core meanings. The outcome of this process was the creation of 28 definitive statements. This number of statements allowed all of the findings extracted from the interview data to be represented in the survey.

#### **4.4 Phase 3: Mail survey**

In order to gain information from the opinions of members within a greater range of Northland community organisations, I designed and distributed a mail survey to be sent to 900 members of 300 Northland Community organisations. The survey was made up of 2 parts:

- Part 1—a statistical information sheet (Appendix G, p. 235) and
- Part 2—a 28 statement questionnaire (Appendix G, p.236).

##### **4.4.1 Phase 3: Ethical considerations**

The Northern X Regional Ethics Committee (Ministry of Health) gave ethics approval prior to commencement of Phase 3.

Each of the 300 randomly selected organisations was contacted by telephone to confirm the names of board, management and staff for currency. The recipients were selected from the list of personnel obtained during the phone call, and the



first person on each list was given the opportunity to participate. If they declined, the second person on the list was contacted, and so on, until someone from the organisation agreed to participate in the study. A survey package was then sent to the participant. This included a Participant Letter of Information and Confidentiality (Appendix D, p.219) and the survey, to be returned by mail or email, as per the choice of the recipient.

**Table 4.4 Thematic analysis process of placing statements in coding categories under research themes**

Coding Categories	Core Meanings
	Interview statement origin: Board (B), Management (M), Staff member (S)
Theme Code 1 Funding and Resourcing	Security of funding (B) (M) (S) Good financial management (M) (S) Effective financial management (S) Developing and maintaining a good reputation with funders (M)
Theme Code 2 Staff Recruitment and Retention	Recruiting and retaining quality and appropriate staff (B) (M) (S) Clear guidelines for staff (M) Good effective leadership (M) Ensuring self care among staff (M) Ensuring ongoing appropriate training for staff (M) Always remaining positive (S) Staff supporting each other (S) Establishing and maintaining a good reputation (S)
Theme Code 3 Board, Management and Staff Relations	Maintaining good communication within the organisation (B) (M) Maintaining good staff/management/board relations (B) (M) Meeting the requirements of cultural sensitivity (B) (M) Caring for staff (M) Ensuring that staff exercise self care (M) Establishing and retaining a safe environment for staff (M) (S) Clear guidelines for staff (M) Good effective management (M) Ensuring ongoing appropriate training for staff (M)
Theme Code 4 Strategic Vision and Performance Planning	Regular self review (B) Overcoming the challenges created by the growth of the organisation (B) Not losing touch with our original vision (B) (M) (S) Effective networking (B) (M) Maintaining the best possible quality of service (M) Sticking to core business and values (M) (S) Retaining a focus on the mission statement (S) Developing and maintaining a good reputation with clients (M)
Theme Code 5 External Influences	Developing and maintaining a good reputation with the local community (M) Good relations with the local community (M) (S) Good relationship with funders, based on trust (S) Having the ability to change when needed (S)

A note explaining the use of a number code to the prize draw was included. The prize was an incentive to encourage early completion and return of the questionnaire, and to help maximise the response rate. It was a gift basket of stationery items purposely chosen because it was a useful and uncontroversial prize.

After reading the information the participants could then consent to participate in the survey by sending in a completed survey document or to decline by not returning the survey. No individual was identifiable from the data analysis. All consent forms, written material and data will be stored in a locked cabinet for 10 years before being destroyed.

#### **4.4.2 Phase 3: Participants**

The organisations selected to receive the Phase 3 mail survey were derived from the large sample of community organisations (n= 1177) identified in Phase 1. This large sample group allowed stratified random selection. The survey was sent to a board member, a manager and a staff member. Each of the three geographical areas of Northland, the Whangarei District, the Kaipara District and the Mid-Far North District, were represented with each area receiving 100 survey items. A prior phone call obtained their name and permission to send a survey.

Prior to this I consulted with a statistician with expertise in survey design. He confirmed that sending 900 questionnaires to 300 organisations (3 questionnaires to each organisation) in the three regions of Northland would be a suitable sampling strategy. It was not feasible to include all of the 1177 organisations identified in the Phase 1 database because I did not have the time or capacity to expand the survey beyond 300 organisations. Also there was no guarantee that all of these organisations were still operating. A sample of 300 organisations allowed selection of a diverse group of organisations in terms of size, management style and types of services provided.

#### **4.4.3 Phase 3: Survey pilot**

A pilot study was carried out to test the survey statements prior to finalising the questionnaire. The main considerations in the survey pilot were to ensure that each statement achieved the objective sought, and each was structured in a clear and logical way so that the respondents were able to interpret and answer the question in the manner intended (Cook, 1995). The survey questions were reviewed by a data analyst and my project supervisors. Then, a group of six members from two community organisations consisting of two from the board, two from management and two staff members were asked to test the questions for their ease of understanding and relevance to the aim of the research overall. The responses from the pilot study determined that only minor changes were required to reduce ambiguity. Two statements required rephrasing; the font size was increased to 12 from 10 for ease of reading and each statement was numbered. The survey included space for additional comments. Sixteen percent (n=144) of the participants required a second mail out and/or email or phone call after three weeks, to remind them to complete the survey.

#### **4.4.4 Phase 3: Selection**

The formula used for random selection was to take one geographical area at a time; list the organisations in alphabetical order and allocate each a number from one to 400. The latter ensured that there are sufficient numbers available to identify each listed organisation.

Random numbers were then used to select 100 organisations from each of the three geographical areas by generating a stream of three-digit random numbers (rejecting numbers over 400 and repetitions). These 100 numbers were used to identify the random sample of organisations. An example of this can be seen in the sample from the Kaipara Spreadsheet in Table 4.5 (p. 104)

Each organisation was contacted by telephone. If they were found to no longer be in operation, or were unavailable after two attempts to contact them, the next organisation allocated a number over 300 was used (i.e. 301, 302, 303).

In order to boost the response rate, the questionnaires were also left at two community meetings where representatives of community organisations from the three geographical areas of Northland were present. The benefit of this convenience sample was that this allowed those present to participate if they chose. The uptake rate using this was 20 out of a possible 35.

**Table 4.5 Example of spreadsheet**

Sample Kaipara Spreadsheet			
	Focus	#	Organisation
	Health	84	Gastric Reflux Support Network New Zealand
	Health	36	Barnardo's Society
	Health	19	Alzheimer's Society
	Health	97	Hearing Therapy Services

#### 4.4.5 Phase 3: Survey questionnaire

Prior to deciding on the use of a Likert scale format, I consulted the literature on the development and use of questionnaires. The two main considerations, according to Cook (1995), De Vellis (2003), Likert (1967) and Sekaran (2003), are to allocate the time needed to think through the process and to develop clear, well designed questions correctly and to realise that questionnaire development is a complex task. Although plans for survey development vary, the guide I followed was to:

- Provide clear precise information acknowledging that members of community organisations are busy people.
- Consider that it needs to be answered at multi level of board, management and staff.
- Design a questionnaire layout that is easy to read and understand, to help ease of answering including numbering of the questions and providing spaces for comment.

- Testing the questions in a pilot format.  
(Cook, 1995; De Vellis, 2003; Sekaran, 2003).

The questionnaire was composed following analysis of the Phase 2 key informant interviews, using a thematic inductive approach to the content analysis that allowed significant themes to emerge from the raw data (Thomas, 2006). The themes are detailed in Chapter 5.

A Likert Scale format (bipolar) was chosen for the questionnaire design because it allowed the respondents to indicate the level to which they agreed or disagreed with each statement, thereby indicating the strength of their “attitude toward a specific topic” (Foddy, 1994, p. 156), and identify their opinions and beliefs on each statement De Vellis, (2003). Statements need to be strong and clear to encourage the respondent to accurately reflect their response to each statement (De Vellis, 2003).

An example of the Likert Scale Rating Format used in the survey is represented in Figure 4.2, next:

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

**Figure 4.2 Example Likert Scale rating format**

Prior to deciding to use the Likert scale, I referred to the empirical literature on the history of Likert scale development and use (Edmondson, 2005). After researching 194 articles and 219 studies, Edmondson verified that Likert scales have been particularly popular since 1970 and are easy to develop, understand, follow, administer and score.

I developed the eight category scale (Figure 4.2, p. 105). Prior to deciding on the neutral category 'does not apply to me' and the placement of this category, I noted that LoBiondo-Wood and Haber (1994), Downey and King (1998), DeVellis (2003) and Sekaran (2003) warned that creating a neutral category can result in that section being most frequently ticked, and that this category is difficult to interpret as it does not give useful data on the attitudes of the participants, other than they do not wish to answer, or that the category does not apply to them. Conversely, not having the neutral position forces respondents to make choices they would not make if there was a neutral position, thus increasing the error variance. Most Likert scales do include a neutral position (Worcester & Burns, 1975; Uebersax, 2006) and the decision is largely based on the individual choice of the researcher (Garland, 1991). The Likert scale was therefore structured in a fixed response manner, with the '99' rated 'does not apply to me' column purposely placed last. This was to encourage participants to read all the Likert categories and provide a response to the statement if they found a category that they agreed with, before reading the non-response column.

After consulting De Vellis (2003) and SPSS (2006), and after discussion with the statistician, the subject matter of the statements was purposely mixed up in an effort to prevent the participants from 'switching off' if they saw, for example, five consecutive statements on 'Funding and Resourcing' which they may have not thought of particular interest to their role within their community organisation. A full list of the 28 statements is detailed in Table 5.3 (p.119). The explanation for the use of 99 rather than 0, is that 99 is used so it does not get confused with any scales which might have a zero as a accepted response: it makes it easier to assign 99 to missing values in the statistical package.

The response 'this does not apply to me' does not have a place or meaning in the analytical process, so is not included. If I had the number 0 or 8 (which is the next number after 7) then the process could have accidentally included the 0 to 8 in the analysis thereby skewing the results. The survey results were entered onto

a spreadsheet and subjected to exploratory factor analysis (refer Chapter 5 Findings, p.113).

#### 4.4.6 Phase 3: Data analysis

The data obtained from the 222 completed survey questionnaires were inserted into a spreadsheet and then exported into the statistical package for social sciences (SPSS). This data was then subjected to exploratory factor analysis using a principal components extraction method.

##### *Principal Component Extract Method for exploratory factor analysis*

The principal component extraction method of exploratory factor analysis was chosen because of its ability to determine from the data the clustering of related items under scales based on the responses of representatives of community organisations. Prior to the selection of this method I consulted the literature to ensure that exploratory factor analysis was most appropriate. Exploratory factor analysis is the most common form of factor analysis used in the health care setting (Anastasi, 1998; Pett, Lackey and Sullivan, 2003); it is ideal for survey research (SPSS, 1999) and was the analytical method of choice for this phase of the project because it allowed analysis of relationships to be determined from the multiple data obtained from Phase 2. The constraint with this method is that each component is orthogonal (statistically independent) to the first component and therefore the “correlation between the orthogonal dimensions is zero” (Dunteman, 1989, p. 10). This use of exploratory factor analysis therefore generated new theory, as opposed to testing theory (Kim & Mueller, 1978; Julnes, 1999; Stevens, 1996; Van Domelen, 2006) and also provided a degree of impartiality by isolating factor structures without consideration of the theoretical expectations of the researcher. Decisions that needed to be made were: deciding on the number of factors (3); choosing the extraction method (principal components method of exploratory factor analysis); and choosing the rotation method (Varimax) (Thompson & Daniel, 1996; Van Domelen, 2006).

#### 4.4.7 Scale analyses of the survey responses

The Scree Test was used to assist the decision about the optimum number of factors to extract and rotate (Figure 4.3). There was a justifiable cut-off point between factors 3 and 4 from the principal component analysis. Although nine factors had Eigenvalues greater than 1.0, a three-factor solution gave the cleanest model in terms of interpretability.

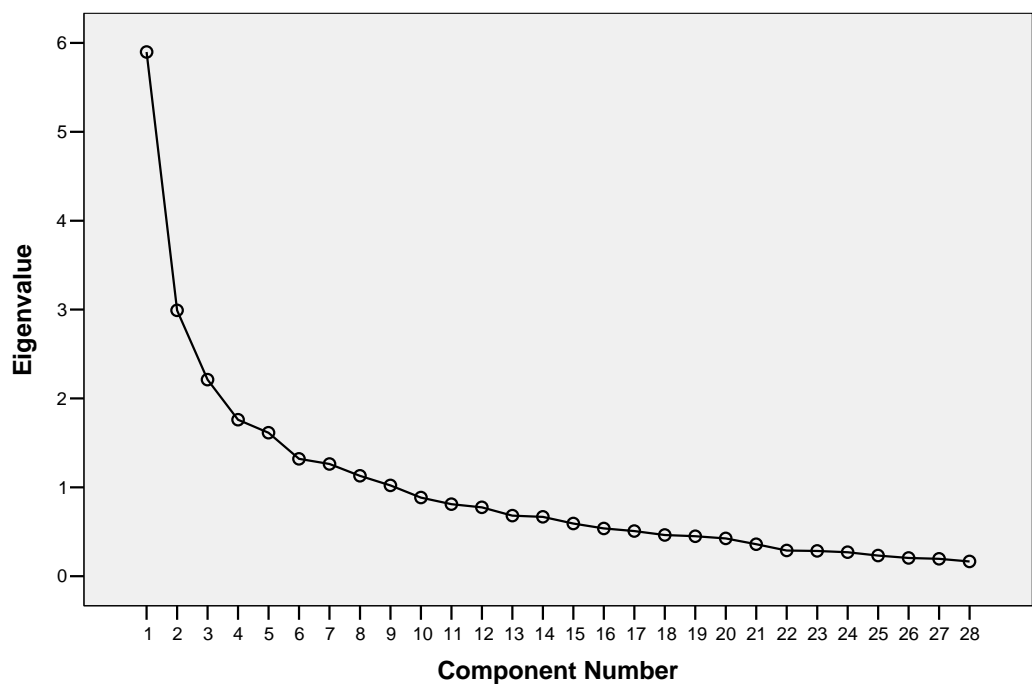


Figure 4.3 Scree Plot from principal component analysis

Both links with community and with government loaded on the same factor. Thus the original six or seven themes were reduced to the three scales that provided the most likely broad dimensions that community organisations have to deal with to be successful (Figure 4.3.). An exploratory factor analysis was conducted and three factors were extracted from the data set generated by the 28 Likert Scale items. The analysis consisted of principal components analysis and varimax rotation with the three factors extracted (Appendix I, p. 247).



The inferred dimensions or variables in this current project are called *scales*. Cronbachs Alpha was utilised to test internal consistency for its ability to simultaneously compare each item of a scale to all others (LoBiondo-Wood & Haber, 1994). The process therefore reduced the large set of variables presented in the Phase 3 mail survey down to three main scales. Three scales appeared to provide a good fit for 26 of the 28 statements. The three scales extracted and subsequently subjected to Varimax Rotation were confirmed using coefficient alpha item-scale analysis. This ensured that each item contributed to the overall scale. For all of the 26 corrected items, total correlations were greater than 0.30. The three scales are presented in Chapter 5–Findings (p.113).

Two items did not load into any scales because the highest loading they had on any factor was less than 0.30. The items in question were:

- Item (statement) 19

In my experience it is extremely rare for a person to get a job because they are a family member or friend of the person doing the recruiting.

- Item (statement) 28

The operating climate of most community organisations does not encourage them to share knowledge and resources.

There could be several reasons why these items were rejected. The negative phrasing of the items (i.e. “extremely rare”, “does not encourage”) may have led to some people reading them incorrectly. It is common for negatively phrased items like this to be misread. The wording of the two statements could be unclear to the respondents. In the case of Item 19, it could be that the question content is one that they are sensitive about answering because they know of Northland community organisations that are staffed by close family members or they were unaware of such a practice so the question was not important to them. In the case of Item 28, respondents again may have been reluctant to answer as they were unaware of such a problem or that possibly they found the question too sensitive to answer for fear of criticising their own and other community organisations.

## **4.5 Phase 4: Hui**

### **4.5.1 Phase 4: Participants**

A further qualitative phase in the form of a hui (see Glossary of Māori Terms, p. 175) was held to respect the mode of information sharing preferred by many people in Northland. Invitations to the hui were sent to a sample of the community organisations that participated in the research, as well as representatives from Northland government and philanthropic organisations (Appendix H, p. 246). The attendees participated in a workshop during which four groups were formed, consisting of board members, management, staff and funders. These groupings reflected the structure of most of the community organisations and the relationship between funder and service provider.

### **4.5.2 Phase 4: Selection**

Invitations were sent to 30 organisations randomly selected from the coded list of participants from Phase 2 and Phase 3 of the research. The Phase 1 database of community organisations was again utilised as it facilitated access to the identification codes of the Phase 2 (n=12) and Phase 3 survey replies (n=222): a total of 234. As with previous phases, entry onto a spreadsheet facilitated random selection of the organisations invited to the Phase 4 hui.

Ten organisations from each of the three geographical areas of Northland were sent invitations seeking representation from board, managers and staff of each organisation. Invitations were also sent to representatives of the government and philanthropic organisations that fund community organisations in Northland. From this, 22 affirmative replies were received with 18 participants attending on the day. Four potential participants sent apologies due to unforeseen work commitments.

#### **4.5.3 Phase 4: Ethical Considerations**

I contacted the Northern X Regional Ethics Committee (Ministry of Health) prior to the commencement of Phase 4. They informed me that additional ethics approval would not be specifically required for Phase 4 of the project.

#### **4.5.4 Phase 4: Data Collection**

The three main findings and the associated statements were presented to each of the four groups at the hui and vigorous discussion and debate ensued to determine agreement that they were the key factors for a successful community organisation.

To assist with the management of the discussion and the process of prioritisation, each of the 26 statements was laminated into card form. Participants of the hui were asked to provide written comments and encouraged to give feedback on the appropriateness of the statements and whether, in their view, there were any important statements that had been missed. The four groups spent an hour on the workshop exercise and said that they found the workshop useful and thought-provoking. They acknowledged that the format of the hui had been inclusive, interesting and had encouraged discussion and sharing of their knowledge.

#### **4.5.5 Phase 4: Quality of data**

Random selection from the Phase 1 database was used to ensure fair process in selecting organisations to invite to the hui. However, the sample chosen in Phase 4 was smaller (see 4.5.2 Phase 4 Selection, p. 110). In line with random selection, potential participants were selected strictly by chance. The invitation was also extended to government departments and philanthropic organisations because of their special relationship in funding community organisations. However, they could choose if they wished to attend or not.

The hui was a means of informing the participants of the preliminary research findings and allowing for discussion and challenging of the findings. It took place in Whangarei, the main city of Northland, because this was geographically central for the participants. The premises were carefully chosen because they were comfortable and had separate rooms where each of the four groups could have privacy to discuss the findings that were relevant to their situation. One month's notice of the hui was provided so that participants who travelled long distances could combine their trip with other business in Whangarei.

The hui lasted three hours with the workshop component allocated one-and-a-half hours; this was considered an appropriate timeframe for respectful consideration and discussion, and to ensure maximum energy for discussion. Lunch was provided. The discussion that occurred was vigorous and the programme overran by 40 minutes. It would have been inappropriate for me to curtail the discussion. Participants acknowledged that it was rare for such a diverse group to have the opportunity to meet and confer in this manner in Northland.

In summary, Chapter 4 has outlined and described the methods used to answer the research question. Chapter 5 details the findings of Phases 1, 2, 3 and 4 of the project.

## Chapter 5

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### Findings

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This project explored issues confronting non-profit community organisations delivering services to the community in the areas of health and social services in Tai Tokerau (Northland), New Zealand. With a view to assisting community organisations to identify and overcome the difficulties they face, it sought to identify the factors that contribute to the success of community organisations. The findings are in the four phases of the research as follows:

- Phase 1: A demographic profile of community organisations in Northland
- Phase 2: Key informant interviews
- Phase 3: Mail survey
- Phase 4: A hui to challenge and confirm the findings.

#### **5.1 Phase 1: A demographic profile of community organisations in Northland**

The compilation of a database that profiled community organisations in Northland was completed in 2005. In order to be included in the profile, each community organisation was to be non-profit and deliver health or social services to the communities of Northland. The data sought to obtain information on location, contact details and service type.

All information collected was verified, listed in alphabetical order, and classified by geographical area and service type for the purpose of informing the subsequent phases of the project. A spreadsheet data set was developed using Microsoft Excel. One thousand, one hundred and seventy seven (n=1177) community organisations were listed. A summary of organisations across the three main areas is shown in Table 5.1, next.

**Table 5.1 Summary of Northland community organisations by geographic area and service type, 2005**

Geographic Area of Northland	Service Type	Number of Organisations
Mid-Far North <i>Includes 94 Māori Organisations</i>	Health	170
	Social	304
Whangarei <i>Includes 44 Māori Organisations</i>	Health	193
	Social	204
Kaipara <i>Includes 15 Māori Organisations</i>	Health	39
	Social	267
<b>Total</b>		<b>1177</b>

Note: Health services include public health education, age-related services, health support services and mental health services. Social services include individual and family educational services, abuse-prevention services, information and advice services, emergency housing and counselling and rehabilitation services.

## 5.2 Phase 2: Key informant interviews

The purpose of Phase 2 was to gather qualitative and quantitative data that describes the context and patterns of operation of four community organisations in Northland. Twelve representatives from four Northland community organisations were chosen for interviews by random selection from the database derived in Phase 1. There were five prepared questions asked in the interviews (see 4.3.4, p. 92). A board member, manager and a staff member were separately interviewed from within each of the four organisations.

The value of the qualitative process was evidenced in the detailed descriptive data produced. The interviews enabled exploration of the interviewees' understanding, beliefs and interpretation of success and failure. This depth of meaning could not have been developed without the qualitative interviews. The fact that the interviewees' were or had been directly involved in the operation of a community service and had first-hand knowledge and experience of the challenges and issues that confront such organisations, as well as the strategies

used to overcome issues was invaluable. The raw data was then condensed into a brief summary format using a general inductive approach (Thomas, 2006).

### **5.2.1 Results of Thematic Analysis**

The interview data from the 12 completed interviews was analysed using a general inductive approach to develop themes. This approach allowed the core meanings (the central and most significant meaning from the raw text to emerge from the large amount of data collected. The purpose was to reduce the data into a set of main themes that could be used to inform the Phase 3 mail survey which was the next phase of the project.

Several main themes emerged. These main themes were summarised and listed in priority order under the headings of board members, management and staff to gauge the importance each group placed on a response from the interview questions (5.2.2, next). A full list of the qualitative interview material is presented under the main theme headings in Appendix F (p.227).

### **5.2.2 Main themes from board member interview responses**

The responses of the four board member representatives led to the development of 10 themes. These themes are shown in priority order as follows:

1. the need to ensure security of funding on an ongoing basis;
2. the recruitment and retainment of appropriate staff and volunteers;
3. effective communication within the organisation;
4. maintaining good staff/management/board relations;
5. meeting all the requirements of cultural sensitivity;
6. meeting the challenges of the organisation's growth;
7. carrying out regular organisational reviews;
8. retaining a focus on the mission or vision of the organisation;
9. effective networking with funders and other agencies; and
10. good financial management by the organisation.

### **5.2.3 Main themes from management interview responses**

The responses of the four management representatives led to the development of 17 themes. These themes are in priority order as follows:

1. maintaining good staff/board/management relations;
2. the recruitment and retainment of appropriate staff and volunteers;
3. the need to ensure security of funding on an ongoing basis;
4. meeting all the requirements of cultural sensitivity;
5. good financial management of the organisation;
6. retaining a focus on the mission or vision of the organisation;
7. effective communication within the organisation;
8. effective networking with funders and other agencies;
9. carrying out regular organisational reviews
10. caring for all staff including volunteers;
11. ensuring staff exercise self care;
12. establishing and retaining a safe environment for staff and volunteers;
13. developing and maintaining a good reputation with funders and the local community;
14. the provision of clear guidelines for staff;
15. good effective organisational leadership;
16. ensuring ongoing appropriate training for staff; and
17. finding sufficient numbers of volunteers.

### **5.2.4 Main themes from staff interview responses**

The responses of four staff representatives led to the development of 13 themes. These themes are in priority order as follows:

1. the need to ensure security of funding on an ongoing basis;
2. good financial management by the organisation;
3. the ongoing recruitment and retention of quality staff volunteers;



4. retaining a focus on the mission or vision of the organisation;
5. effective communication within the organisation;
6. adhering to the core business of the organisation;
7. effective networking with funders and other agencies;
8. always maintaining a work ethic that is positive;
9. staff support of each other within the workplace setting;
10. maintaining a good relationship with funders based on trust;
11. maintaining good staff/ board/management relations;
12. establishing and maintaining a good reputation with clients, community, other agencies and funders; and
13. the organisation having the ability to change when needed to meet changes in community needs.

The priority lists from the three groups were combined to determine the top ten themes from the Phase 2 key informant interviews. This summarised the collective level of importance placed on the themes (see Table 5.2).

**Table 5.2 Priority themes determined by interviewees at Phase 2 key informant interviews**

Theme	Board Priority	Management Priority	Staff Priority
Security of funding	1	3	1
Recruiting and retaining suitable staff	2	2	3
Maintaining good communication in the organisation	3	7	5
Maintaining good board, management and staff relations	4	1	12
Meeting requirements of cultural sensitivity	5	4	X
Meeting challenges of organisation's growth	6	X	X
Regular self review	7	9	X
Staying in touch with original vision	8	6	4
Effective networking	9	8	7
Good financial management	10	5	2

N.B. "X" denotes that the respondents did not prioritise the theme

### 5.2.5 Alignment of main themes

The main themes were then clustered by subject under the research theme that most closely represents the aligned statement. The research themes are:

1. funding and resourcing;
2. staff recruitment and retention;
3. board, management and staff relations;
4. strategic vision and performance planning; and
5. external influences.

The summary of the themes are in Table 5.3 (p.119). These clustered statements, in the form of 28 items, provided the basis of the Phase 3 Survey.

## 5.3 Phase 3: Mail survey

The survey sample size was 222. This represented 24.6% of 900 potential participants from 300 participating community organisations which were identified using a stratified random selection process. Each of the three geographical areas of Northland, the Whangarei District, the Kaipara District and the Mid-Far North District, received 100 questionnaires and each selected organisation within these regions received three surveys, one each for completion by a member at board, management and staff level.

Each mailing contained:

- Part 1—A statistical information sheet requesting details on each of the recipient organization's service type; physical location; staffing levels and level of volunteer contribution; the number of years in operation; legal status and the respondent's position within the organisation.
- Part 2—A 28-item survey in a Likert Scale-based response format, to allow the respondents to indicate the extent to which they agreed or disagreed with each statement (Foddy, 1994).

**Table 5.3 Summary of research themes**

Research theme	Aligned statements
1. Funding and Resourcing	<ul style="list-style-type: none"> <li>a. Apart from delivering services, securing adequate funding just to survive is our most important issue.</li> <li>b. Costs have risen and continue to rise more than funding increases.</li> <li>c. The amount of time we have to spend chasing funding results in less time available for delivering services.</li> <li>d. The uncertainty of not knowing if there will be sufficient funds for this year and/or the next has a major demoralising effect on our staff and our planning.</li> <li>e. The amount of time and money we have to spend being accountable to funders means less funds are available for service provision and less time available for delivering services.</li> </ul>
2. Staff Recruitment and Retention	<ul style="list-style-type: none"> <li>a. Limited funding inhibits our ability to recruit and retain good staff.</li> <li>b. There are sufficient people with the skills and experience we need in the community.</li> <li>c. There are not enough suitably qualified and / or experienced people in the community to provide the skills and experience we need.</li> <li>d. Ongoing training, supervision and professional development for staff is essential to ensure that staff feel valued within the organisation.</li> <li>e. Staff burnout is one of the biggest obstacles to staff retention.</li> <li>f. Skilled volunteers are almost impossible to find.</li> <li>g. Easily understood job descriptions, employment contracts and clear lines of responsibility are an essential ingredient for successful staff recruitment and retention.</li> <li>h. The presence of mutual respect and support between the Board, Management and Staff is an essential element for successful staff recruitment and retention.</li> <li>i. There is a high incidence amongst community organisations of people being employed because of their relationship with the recruiter, rather than their skills, experience and ability to do the job.</li> </ul>
3. Board, Management and Staff Relations	<ul style="list-style-type: none"> <li>a. Clear lines of responsibility and the use of easily understood job descriptions are essential for good staff relations.</li> <li>b. To create and maintain good staff relations an organisation must establish a culture of openness, safety and support amongst staff, management and board.</li> <li>c. Good staff relations can be maintained if everyone involved with the organisation regularly refers back to the organisation's core values.</li> <li>d. Educating volunteers in the provisions of current legislation which impacts on the work they do is a major undertaking.</li> </ul>
4. Strategic Vision and Performance Planning	<ul style="list-style-type: none"> <li>a. Having a clear and achievable Mission Statement is essential for the on-going strategic planning of an organisation.</li> <li>b. A regular internal review of the organisation's goals, aims and operational performance is crucial to the survival of the organisation, maintenance of quality services and hence the success of the organisation.</li> <li>c. It is essential for the survival of a community organisation to establish and maintain a good working relationship with its funders.</li> <li>d. It is essential for the survival of a community organisation to establish and maintain a good working relationship with its local community.</li> </ul>
5. External Influences	<ul style="list-style-type: none"> <li>a. The government departments that we work with possess a good understanding of the difficulties that organisations such as ours face on a day to day basis.</li> <li>b. The performance level of the government departments we work with is such that they make life more difficult for us than it need be.</li> <li>c. The climate that community organisations operate in is such that they are not encouraged to share knowledge and resources.</li> <li>d. It is essential to the survival of an organisation that it wins the trust and support of the local community.</li> <li>e. Community organisations frequently find themselves in a situation where the demands of government departments are in conflict with the demands of cultural sensitivity.</li> <li>f. There are a sufficient number of volunteers in our community to provide us with the help we need.</li> </ul>
Total Statements: 28	

### 5.3.1 Mail Survey Results

One hundred and four or 11.5% (n=104) replies were received from the statistical information section of the questionnaire (Part 1). This was significantly lower than the total replies (n=222) and was attributed to respondents preferring to concentrate on the Likert scale section that related to success and difficulty (Part 2) because it was of more interest to them. It is also possible that they did not readily have access to the statistical information asked for. The profile derived from these data is shown in Table 5.4 below.

Of the total of 900 surveys sent to 300 community organisations, 60% (540) were sent by mail and 40% (360) by email, as per the preference of the participant organisation. A five-week timeframe was allocated for return of the survey.

Table 5.4 Profile of Northland community organisations										
Geographic Area of Northland	Service Type Provided	Legal Status of Provider			Longevity of Service Provider				Personnel Employed	
		Charitable Trust	Incorporated Society	Unregistered Group	< 1 year	1-2 years	3-5 years	5+ years	Paid	Volunteers
Mid-Far North	Health	6	2	0	0	1	0	5	163	82
	Social	5	1	0	0	1	0	4	32	41
Whangarei	Health	25	29	1	0	1	7	47	1415	1615
	Social	21	10	4	0	3	3	30	225	371
Kaipara	Health	0	4	1	0	1	0	2	41	28
	Social	0	1	1	0	0	0	2	1	26

The initial response was 78 completed and useable survey questionnaires. After three weeks, a second mail out and/or email or phone reminder was sent to prompt those selected to complete the survey. This resulted in an additional 144 of the participants returning useable questionnaires (refer Table 5.5, p. 121). Thus the overall response rate was 24.6%.

***Key points from Table 5.5 Response rates to mail survey by location, provider and respondent status:***

- Each of the three geographical areas of Northland was represented by the number of replies received from Health and Social service providers and by respondent status as a proportion of the appropriate total.
- The replies were divided almost equally between health and social service providers.
- The number of replies by respondent role was probably influenced by the number of available people in that category e.g. there are more staff than managers or board members.

**Table 5.5 Response rates to mail survey by geographical area, provider and respondent status**

Geographic Area of Northland	Service Type Provided	Management		Staff		Board		Totals	
		Responses	%	Responses	%	Responses	%	Responses	%
Whangarei	Health	24	53	32	46	14	54		
	Social	21	47	37	54	12	46		
	Totals	45	100	69	100	26	100	140	63
Kaipara	Health	5	42	10	59	3	43		
	Social	7	58	7	41	4	57		
	Totals	12	100	17	100	7	100	36	16
Mid-Far North	Health	7	58	15	60	4	44		
	Social	5	42	10	40	5	56		
	Totals	12	100	25	100	9	100	46	21
Northland-wide Totals	Health	36	53	57	51	21	50		
	Social	33	47	54	49	21	50		
Overall Totals		69	100	111	100	42	100	222	100

***Respondent's additional comments***

The Phase 3 mail survey included a section for additional comments. This provided an opportunity for respondents to expand their opinions beyond that allowed by the Likert Scale format. This option proved very popular and a total of 26 pages of comments were compiled. Inviting additional comments provided an opportunity for the respondents to express their views in a confidential forum. The comments were grouped for each of the 28 survey items from the Phase 3 mail survey and are presented in Table 5.6 (p. 122) as a summary of the

consensus of opinions provided. These comments highlighted the need for a forum, such as the Phase 4 hui, and contributed to the topics discussed.

The additional comments also assisted in determining and prioritising future research topics because they revealed a consensus of concerns relating to the 28 survey items. As mentioned previously, statements 19 and 28 did not load into any scales because the highest loading they had on any scale was less than 0.30.

The three scales and their item-total correlations are shown next in Tables 5.7 to 5.9 (p.125). The higher correlations show the items most closely related to the overall scale.

**Table 5.6 Phase 3 Mail survey: Summarised additional comments**

Number	Item	Summarised additional comments
1	Apart from delivering services, securing adequate funding just to survive is our most important issue.	Adequate funding and workforce recruitment and retention (for professional staff) are our two largest risks for our survival. (Management)
2	Thankfully there are sufficient people with the skills and experience we need in the community.	There seem to be sufficient people if they are paid. Volunteers seem to be a dying breed. It costs money to be a volunteer. There are also courses now where you can get a diploma or a degree in managing non-profit (NGO's) organisations whereas even ten years ago there were hardly any specific training opportunities around. (Management)
3	Staff burnout is one of the biggest obstacles to staff retention.	We try to acknowledge the need to counter 'burnout' through support for staff e.g. clinical supervision, debrief, employee assistance programmes etc. There is a cost issue. (Management)
4	Educating volunteers in the provisions of the current legislation which impacts on the work they do is a major undertaking.	Staff are already overloaded with their own workloads. Volunteers are extremely hard to find. With the extra liabilities placed on them by government regulations recruitment is always a problem as volunteers need to be skilled. It costs money to be a volunteer too (Management).
5	Community organisations seldom experience a situation where government department requirements are in conflict with the demands of cultural sensitivity.	We do have conflicts e.g. The need to evaluate our service through use of an approved evaluation tool/form. Many Māori whanau are not interested in the written format and do not return forms but happy to korero. Government do not like this format and need everything written down based on outputs only. (Management)

(Cont. over page)

**Table 5.6 (cont.) Phase 3 Mail survey: Summarised additional comments**

Number	Item	Summarised additional comments
6	Costs have risen and continue to rise more than funding increase.	Contract offers are usually rolled over at the same price. Very few increases from one contract period to another. (Board)
7	The uncertainty of not knowing if there will be sufficient funds for this year and/or the next has a demoralising effect on our staff and our planning.	Demoralising.... has a stressful and unsettling effect– staff are unsure of continued employment. Planning is hindered. Get used to it I say, it will never change. (Management) We cannot look too far ahead. (Board)
8	A regular internal review of the organisation's goals, aims and operational performance is crucial to the survival of the organisation, maintenance of quality services and hence the success of the organisation.	Vital component of organisational identity, focus, and responsibility. (Management)
9	It is essential for the survival of a community organisation to establish and maintain a good working relationship with its local community.	The community are like our bosses and if they don't respond to us then how are we supposed to provide for them and their needs? (Board)
10	To create and maintain good staff relations an organisation must establish a culture of openness, safety and support amongst staff, management and board.	Good leadership and inclusion–not exclusion maintains these relationships. (Staff)
11	The government departments that we work with possess a good understanding of the difficulties that organisations such as ours face on a day to day basis.	These government departments only hear what we report to them, they do not work and live the difficulties that staff working them experience so how would they understand. (Management)
12	Limited funding inhibits our ability to recruit and retain good staff.	Always an issue in the NGO sector compared to core public sector. (Board)
13	The performance level of the government departments we work with is such that they make our community work go much more smoothly for us than it otherwise would.	Government seem to have a hands-off approach - little or no actual 'coalface' monitoring - they are more interested in financial monitoring. (Board)
14	Easily understood job descriptions are essential for good staff relations.	If we know where we stand and that stops a lot of misunderstanding and everyone knows what their jobs are. (Staff)
15	It is essential for the survival of a community organisation to establish and maintain a good working relationship with its funders.	Departmental agents (government employees) can become gate-keepers to finances justifying expenditures/finances with achieved outputs are all they want. Personal relationships with gatekeepers become a survival strategy. (Management)
16	Time spent attracting funding does not mean less time spent delivering services.	With a small staff funding applications do take us away from time spent delivering services or we spend more time out of office hours to complete applications. (Management)
17	Nowadays most community organisations have a good understanding of the cultural differences in Northland and provide services which are culturally appropriate.	Culturally appropriate maybe, but not aimed at reducing inequities. (Board)

(Cont. over page)

**Table 5.6 (cont.) Phase 3 Mail survey: Summarised additional comments**

Number	Item	Summarised additional comments
18	The presence of mutual respect and support between the board, management and staff is an essential element for successful staff recruitment and retention.	Very, very important that board and management are available and seen to be around the workplace and interested and informed. (Management)
19	In my experience it is extremely rare for a person to get a job because they are a family member or friend of the person doing the recruiting.	It does happen sometimes, but doesn't necessarily mean that the person recruited wasn't best person for the job, or was able to fill an essential gap at short notice. (Board)
20	Ongoing training, supervision and professional development for staff is essential to ensure that staff feel valued within the organisation.	Staff need everything! Love, attention, support, training, discipline, boundaries, rewards, respect, responsibilities etc. (Management)
21	It is essential to the survival of an organisation that it wins the trust and support of the local community.	Absolutely—without community support we do not have a service. (Board)
22	Clear lines of responsibility are essential for good staff relations.	Important these are aired from time to time. (Staff)
23	Thankfully there are a sufficient number of volunteers in our community to provide us with the help we need.	Volunteers are extremely hard to find with the extra liabilities placed on them by government regulations. Recruitment is always a problem—volunteers need to be skilled to be safe. (Management)
24	Having a clear and achievable Mission Statement is essential for the on-going strategic planning of an organisation.	...only if you live the Mission. It is not effective if the Mission stays on the wall and is useless. If the mission answers the question—what am I doing here... everyday... then the Mission is effective. (Staff)
25	The level of funding we receive enables us to meet the cost of complying with our contract reporting requirements and accountabilities without taking funds from the monies used for service delivery.	If services with contracts with the Ministry of Health, as we are, go the same way as services with contracts with under CYFS, then this would change. Compliance under CYFS contacts are certainly more rigorous. (Management)
26	Good staff relations can be maintained if everyone involved with the organisation regularly refers back to the organisation's core values.	This can support good relations. Strong management and professional development, inclusion not exclusion will also enhance relationships. (Staff)
27	Easily understood job descriptions, employment contracts and clear lines of responsibility are an essential ingredient for successful staff recruitment and retention	Part of the professionalism of the organisation and sets standards for work required. (Staff)
28	The climate that community organisations operate in is such that they are not encouraged to share knowledge and resource.	We work at this and there are interagency meetings. At one time we were all instructed to compete. It is difficult to get out of this way of thinking but we do our best. (Management)



**Table 5.7 Scale 1: Effective board, management and staff relationships (Management)**

Item Number	Item Description	Item-total correlation
8	Regular internal reviews of organisational goals, aims and operational performance are crucial for providing quality services and the overall success of the organisation.	.474
9	It is essential for the survival of a community organisation to establish and maintain a good working relationship with its local community.	.630
10	To create and maintain good staff relations an organisation must establish a culture of openness, safety and support amongst staff, management and board.	.501
14	Easily understood job descriptions are essential for good staff relations.	.506
15	It is essential for the survival of a community organisation to establish and maintain a good working relationship with its funders.	.447
18	The presence of mutual respect and support between the Board, Management and Staff is an essential element for successful staff recruitment and retention.	.552
20	Ongoing training, supervision and professional development for staff is essential to ensure that staff feel valued within the organisation.	.446
21	It is essential to the survival of an organisation that it wins the trust and support of the local community.	.366
22	Clear lines of responsibility are essential for good staff relations.	.620
24	Having a clear and achievable Mission Statement is essential for the on-going strategic planning of an organisation.	.505
26	Good staff relations can be maintained if everyone involved with the organisation regularly refers back to the organisation's core values.	.436
27	Easily understood job descriptions, employment contracts and clear lines of responsibility are an essential ingredient for successful staff recruitment and retention.	.503
Coefficient alpha (12 items)		0.82

**Table 5.8 Scale 2: Good external links with government and community (External)**

Item Number	Item Description	Item-total correlation
2	There are sufficient people with the skills and experience we need in the community.	.563
5	Community organisations seldom experience a situation where government department requirements are in conflict with the demands of cultural sensitivity.	.494
11	The government departments that we work with possess a good understanding of the difficulties that organisations such as ours face on a day-to-day basis.	.579
13	The performance level of the government departments we work with is such that they make our community work go much more smoothly for us than it otherwise would.	.636
16	Time spent attracting funding does not mean less time spent delivering services.	.434
17	Nowadays most community organisations have a good understanding of the cultural differences in Northland and provide services which are culturally appropriate.	.395
23	There are a sufficient number of volunteers in our community to provide us with the help we need.	.577
25	The level of funding we receive enables us to meet the cost of complying with our contract reporting requirements and accountabilities without taking funds from the monies used for service delivery.	0.383
Coefficient alpha (8 items)		0.80

Table 5.9 Scale 3: Funding insecurity (Funding)		
Item Number	Item Description	Item-total correlation
1	Apart from delivering services, securing adequate funding just to survive is our most important issue.	.450
3	Staff burnout is one of the biggest obstacles to staff retention.	.507
4	Educating volunteers in the provisions of the current legislation which impacts on the work they do is a major undertaking.	.429
6	Costs have risen and continue to rise more than funding increases.	.308
7	The uncertainty of not knowing if there will be sufficient funds for this year and/or the next has a demoralising effect on our staff and our planning.	.486
12	Limited funding inhibits our ability to recruit and retain good staff.	.332
Coefficient alpha (6 items)		0.685
st1sum_1 + st3sum_1 + st4sum_1 + st6sum_1 + st7sum_1 + st12sum_1		

Items in each of the three scales were added together to give a total scale score. The inter-correlations among the three scales were then calculated. As shown in Table 5.10, the three scales had relatively low intercorrelations. However, the significant correlations indicated that there was to some extent an underlying, shared dimension across the three scales.

Table 5.10 Correlations among the three scales				
Item		Management	External	Funding
Management	Pearson Correlation	1	.26(**)	.37(**)
External	Pearson Correlation	.26(**)	1	.22(**)
Funding	Pearson Correlation	.37(**)	.22(**)	1

\*\* Correlation is significant at the 0.01 level (2-tailed). n=222

Note: for all scales scores, missing item values were replaced with the item mean score.

Table 5.11, next, outlines the mean scores comparisons by position within the organisation of board, management or staff member across the three scales.

**Table 5.11 Comparisons by position**

(Position - Mean scores comparison)

Position		Scale 1 Management	Scale 2 External	Scale 3 Funding
Board n=42	Mean	19.40	26.60	14.62
	Std. Deviation	6.41	10.54	5.70
Manager n=69	Mean	18.88	32.66	15.11
	Std. Deviation	6.17	8.91	4.88
Staff n=111	Mean	20.74	31.76	14.64
	Std. Deviation	5.98	7.96	4.69
Total n=222	Mean	19.91	31.07	14.78
	Std. Deviation	6.15	9.02	4.93

Note: Lower scores represent greater agreement for all items and scales

The perception of a good relationship with government and community was of importance depending on the position the respondent held within the organisation. Board members showed significantly more agreement with Scale 2 measuring “good external links with government and community” compared with managers and staff members  $F(2,219)=6.91, p<0.001$ . This is likely to be because board members within their governance role are responsible for the positive reputation of the organisation. The establishment and maintenance of the organisation’s relationship with the government and community is a major part of their role. In addition they do not experience day-to-day negative experiences with the government and community.

Management showed the lowest agreement with positive values expressed in the mean scores comparison. This is possibly because, although management do contribute to the strategic operation of the organisation, they are mostly involved in the day-to-day management of the organisation. Staff were average in their agreement. This is probably because although they are aware of the importance of having a good relationship with government and community this does not figure to any great extent in their daily working life.

Table 5.12 contains the mean score comparisons across the three geographical areas of Kaipara, Mid-Far North and Whangarei District. There were no significant differences between these areas.

Table 5.13 (p.129) presents the position by area mean scores. ANOVA scores showed no significant difference across areas by position. The board however placed more emphasis on External Links with government and community as shown in the Board scores across the three geographical areas of Northland.

Table 5.14 (p.130) outlines the mean scores of the three board member groups from the three geographical areas of Kaipara, Mid-Far North and Whangarei District. All board groups emphasized the importance of maintaining external links with government and community; there were no significant differences in their mean scores across the geographical areas.

<b>Table 5.12 Comparisons by geographical area</b>				
(Areas - mean scores comparison)				
<b>Geographical Area</b>		<b>Management</b>	<b>External</b>	<b>Funding</b>
Kaipara n=36	Mean	20.56	30.83	14.95
	Std. Deviation	5.72	10.04	4.32
Mid-Far North n=46	Mean	20.03	30.89	14.62
	Std. Deviation	6.10	10.06	4.55
Whangarei n=140	Mean	19.70	31.19	14.80
	Std. Deviation	6.31	8.44	5.23
Total n=222	Mean	19.91	31.07	14.79
	Std. Deviation	6.16	9.02	4.93

Table 5.13 Position by geographical area mean scores					
Position	Geographical Area		Management	External	Funding
Board	Kaipara n=7	Mean	17.37	23.91	14.79
		Std. Deviation	4.99	11.54	7.12
	Mid-Far North n=9	Mean	18.73	26.21	13.55
		Std. Deviation	4.92	11.63	5.83
	Whangarei n=26	Mean	20.17	27.47	14.95
		Std. Deviation	7.19	10.20	5.44
	Total n=42	Mean	19.40	26.60	14.62
		Std. Deviation	6.41	10.54	5.70
Manager	Kaipara n=12	Mean	18.63	32.89	14.48
		Std. Deviation	6.71	11.06	2.80
	Mid-Far North n=12	Mean	20.83	34.87	14.61
		Std. Deviation	7.27	9.80	3.09
	Whangarei n=45	Mean	18.43	32.01	15.42
		Std. Deviation	5.76	8.14	5.68
	Total n=69	Mean	18.88	32.66	15.11
		Std. Deviation	6.18	8.91	4.88
Staff	Kaipara n=17	Mean	23.23	32.21	15.34
		Std. Deviation	4.05	7.73	3.97
	Mid-Far North n=25	Mean	20.12	30.67	15.01
		Std. Deviation	6.05	9.18	4.74
	Whangarei n=69	Mean	20.34	32.05	14.35
		Std. Deviation	6.26	7.62	4.86
	Total n=111	Mean	20.74	31.77	14.65
		Std. Deviation	5.98	7.96	4.69
Total	Kaipara n=36	Mean	20.56	30.82	14.94
		Std. Deviation	5.72	10.03	4.32
	Mid-Far North n=46	Mean	20.03	30.90	14.62
		Std. Deviation	6.10	10.06	4.55
	Whangarei n=140	Mean	19.70	31.19	14.80
		Std. Deviation	6.31	8.44	5.23
	Total n=222	Mean	19.91	31.07	14.79
		Std. Deviation	6.16	9.02	4.93

Note: The ANOVA shows no significant difference across geographical areas by position (there are no pockets with different situations/experiences).

Note: Board group only—mean EXTERNAL LINKS scores across areas

Table 5.15, next, contains the mean scores comparisons between the service provider types of health and social services. The ANOVA score shows that there

were no significant differences in the opinions expressed by service provider type between the geographical areas. Board members across the provider types placed more emphasis on maintaining good external links with government and community.

**Table 5.14 Mean scores of board member groups across the three geographical areas**

Area	Mean	N	Std. Deviation
Kaipara	23.91	7	11.54
Mid-Far North	26.21	9	11.63
Whangarei	27.47	26	10.20
Total	26.60	42	10.54

Note: Differences across areas among board groups are not significant

**Table 5.15 Provider-type comparisons**

Provider Type		Management	External	Funding
Whangarei Health n=69	Mean	19.54	31.33	14.84
	Std. Deviation	6.68	8.18	5.44
Whangarei Social n=71	Mean	19.85	31.05	14.77
	Std. Deviation	5.96	8.74	5.04
Kaipara Health n=18	Mean	20.21	31.07	13.93
	Std. Deviation	5.61	10.35	3.70
Kaipara Social n=18	Mean	20.91	30.58	15.96
	Std. Deviation	5.98	10.00	4.74
Mid-Far North Health n=26	Mean	20.40	31.30	13.98
	Std. Deviation	6.52	10.44	4.12
Mid-Far North Social n=20	Mean	19.55	30.37	15.45
	Std. Deviation	5.65	9.77	5.06
Total n=222	Mean	19.91	31.07	14.79
	Std. Deviation	6.16	9.02	4.94

Note: Provider type means scores – no significant differences.

Note: The ANOVA showed no significant difference or distinction between health and social service groups.

## 5.4 Phase 4: Hui

The three scales which provided the basis for discussion at the Phase 4 hui/workshop and were as follows:

- effective board, management and staff relationships (12 items);
- good external links with government and community (8 items);
- funding insecurity (6 items).

The feedback from the four groups (board, managers, staff and funders) who attended the hui/workshop confirmed that the three scales were the essential factors for the success of a community organisation. All groups agreed that the 28 items were important but the placement and priority order of these varied.

For the board, management and staff groups most debate centred on the relationship between the community and the government and funding issues including the way funding models exclude collaboration between organisations. Concern was raised over the declining number of volunteers. Also, all groups found the two statements rejected by the factor analysis important.

Statements rejected in the factor analysis also produced discussion and comment. These are noted next because they were found to be important areas of difficulty for some of the hui groups. Statement 19 “In my experience it is extremely rare for a person to get a job because they are a family member or friend of the person doing the recruiting” resulted in several comments including:

It is quite often for relatives and people known to others in the organisation to be engaged. It is very true in Whangarei. The best person through the application process should be selected (Board group, Northland hui).

If proper employment processes are in place this can happen safely (Management group, Northland hui).

Statement 28 “The climate that community organisations operate in is such that they are not encouraged to share knowledge and resources” also resulted in several comments

This is correct as a statement of fact. For example, government is encouraging partnership, but the style of application for funding is that of contesting and business competition (Board group, Northland hui).

Yes and this also happens in Government Departments (Funder group, Northland hui).

Areas of difficulty for community organisations that resulted in the most comment were statements 11, 16 and 23.

#### 5.4.1 Statement 11

The government departments that we work with possess a good understanding of the difficulties that organisations such as ours face on a day to day basis.

Comments from participants included:

This is based on an assumption on the part of the funder that the relationship works well rather than true position for many organisations (Board group, Northland hui).

This does not always happen; often government departments do not possess a good understanding. Relationships are not effective too because we are constantly having to educate government department employees because of their high staff turnover (Management group, Northland hui).

They are too narrow-minded, restrictive and inflexible. We try to inform government through quarterly reporting but have found that most government people don't actually read them. No sense of community need (Staff group, Northland hui).

#### 5.4.2 Statement 16

Time spent attracting funding does not mean less time spent delivering services.

Comments from participants included:

Detracts from core business hugely (Management group, Northland hui).



Funding needs to be inclusive and appropriate for our multi-cultural societies, the distances we travel in Northland, our way is to meet, greet, respect, share kai (Staff group, Northland hui).

#### 5.4.3 Statement 23

Thankfully there are a sufficient number of volunteers in our community to provide us with the help we need.

#### Comments from participants included:

People are in short supply these days and the volunteers we do get can be discouraged at the resources to awhi and train these people can be lacking (Staff group, Northland hui).

A lot of groups in smaller communities employ family...this happens all the time.... sometimes good outcomes, sometimes not (Board group, Northland hui).

The responses of the funder group diverged more than those of the other groups, with the funder group providing little comment on community organisations meeting funding outputs, and issues of funding insecurity for community organisations. Their emphasis was on the need for strong internal functions within community organisations. One external influence they did agree on was that information sharing was poor between government departments. The hui has highlighted a need for further investigation into the relationship between funders and community organisations. As the funder group were not included as part of the previous phases of my project, their input needs to be part of further research.

### 5.5 Summary of findings

Four sequential phases made up the project, culminating in the three scales constructed that addressed the research question. Phase 1 (demographic profile of community organisations in Northland) and Phase 2 (key informant interviews of community organisation representatives) informed the Likert Scale format of the Phase 3 mail survey and provided an attitude scale that allowed the respondents to indicate the level to which they agreed or disagreed with a

series of statements (Foddy, 1994). A tick-box format with a seven-category spectrum that ranged from “strongly agree” to “strongly disagree” or “does not apply to me” was used. The tool utilised to analyse the responses was the SPSS statistical package for the social sciences. An exploratory factor analysis using a principal components analysis and varimax rotation extracted three key factors from the data set generated by the 28 Likert Scale items in the mail survey (n=222). Cronbach's alpha was used to refine the factors into three scales which were used for the subsequent analyses. Analyses included comparison by position within the organisation (of board, management or staff); comparison by geographical location within Northland (of Whangarei/Kaipara/Mid-Far North) and comparison by service type (of health or social services). The first four or five items in each scale gave the best indication of the features essential for a successful community organisation.

Three scales were constructed. The first scale was related to effective board, management and staff relationships and strongly incorporated responses from 12 of the survey statements. The second scale collected responses related to good external links with government and community from eight statements. The final scale identified by the analysis was focused on funding insecurity and incorporated six of the survey statements.

Overall, there was only one significant difference in the opinions expressed across the three positions within the organisation (of board, management or staff). Board members were significantly more likely to agree with the items related to external links with the community. The differences were small in all other findings between position, geographical locations, and service type.

Although the items placed under the three key scales were found to be interlinked, the following statements gave the best indication of being essential for a successful community organisation. These relate to both the internal and external working environment of the organisation as follows.

### **5.5.1 Scale 1: Effective board, management and staff relationships**

The first scale extracted by the factor analysis was related to effective board, management and staff relationships. Under this scale the items for success are:

1. Establish a working relationship with the local community that is based on mutual trust and support (Item total correlation .630);
2. Clear lines of responsibility within the organisation (Item total correlation .620);
3. The presence of mutual respect and support between board, management and staff (Item total correlation .552);
4. Clear and appropriate job descriptions (Item total correlation .506); and
5. A clear and achievable mission statement (Item total correlation .505).

### **5.5.2 Scale 2: Good external links with government and community**

The second scale developed by the analysis measured the importance of having good external links with government and community. The category of good external links with government and community success generally depended on:

1. The level of performance of government departments that work with community organisations (Item total correlation .636);
2. Government departments understanding the difficulties faced by community organisations (Item total correlation .579);
3. There being sufficient volunteers to provide the help needed by community organisations (Item total correlation .577); and
4. There being sufficient people with the skills and experience needed to run community organisations in the community (Item total correlation .563).

### **5.5.3 Scale 3: Funding insecurity**

A third scale was identified in this study. Funding insecurity remains a major difficulty for Northland community organisations. Items for success include:

1. Managing staff burnout (Item total correlation .507);
2. Alleviating funding uncertainty (Item total correlation .486);

3. Securing adequate funding (Item total correlation .450); and
4. Educating volunteers (Item total correlation .429).

The fourth phase was a hui to challenge and confirm the findings. The hui format of a group meeting is a preferred mode of information sharing in Northland. The attendees agreed that the three scales were critical for success and generally agreed the 28 items under the factor themes with some variation in priority order between groups.

These findings are discussed next in Chapter 6 under the themes of the four phases of the project.

## Chapter 6

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### Discussion of the findings

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This chapter discusses the project findings and compares them with literature and current practice. A point-by-point analysis of how the project findings answer the research question is given. The chapter is presented under the four sequential phases of the project. Where appropriate, the influence of neoliberalism on community organisations is discussed. Project limitations and recommendations for further research are included at the end of the chapter.

#### **6.1 Phase 1: A demographic profile of community organisations in Northland**

When the project commenced there was little New Zealand-based research into the non-profit sector, especially in my area of interest, community health and social services. A paucity of research is highlighted by Tennant (2001), who emphasised the need for studies of community organisations to determine their activities, issues and factors for sustainability. Salamon and Sokolowski (2000) confirm that the community sector is one that has traditionally been under-researched. This is despite involving similar numbers of people as the construction and finance industries, and more than the utilities industry in many countries of the world (Salamon, 2007). Although this lack of information made my project more difficult and challenging, it confirmed the need for such research.

Prior to commencing the project, I needed to undertake an initial search to obtain a current database of all community organisations in Northland. I came to realise that this information was not publicly available and knew that the accuracy of the project would be compromised by outdated and/or inaccurate information, especially when endeavouring to contact and engage project participants. Creating an accurate database of community-based health and social services in Northland was therefore essential and took six months to

complete. I discovered that, in general, databases of community organisations were paper-based, selective and localised. In general, the perception was that there were approximately 200 community organisations in Northland was to prove false.

An online database of registered organisations, available from the Companies Office on request (and following payment), was refined to include only Northland registered non-profit organisations. The difficulty was that it excluded organisations that may have been registered elsewhere in New Zealand but had input into Northland. In addition, within the health sector if a disease was rare and had a support group, this was likely to have its headquarters outside of Northland but still have branches or input into communities in Northland.

Having compiled a database of in excess of 1000 entries, I merged my database with that used by the Ministry of Social Development and then tried to eliminate any duplication. The difficulty here was that information relating to the same organisation could differ, perhaps because of recent changes or conflicting information from the point of contact within the organisation. There was no certainty of knowing if an organisation was still in existence, or finding information on its size, purpose or starting dates. It is acknowledged that any database is a “living document” and only as accurate as its most recent update.

The finding that only 19% of health and social community organisations were listed in the Northland telephone directory (2004-2005) was a significant discovery because of the barrier to public access it presents. The fact that many organisations had different company names and branches within the parent organisation made collecting data and ensuring accuracy difficult. In addition, the Phase 1 work showed that anomalies exist in the distribution of community organisations. Community organisations can start up and become registered with the Charities Commission without any regulation or regard to the population statistics of the area.

After I completed the database I noted a new attempt to improve access to information in Northland. This was an initiative involving community groups and the District Council. They planned to work together to build a community web directory. The proposal aimed to identify and map existing community services thereby providing a conduit which would facilitate information sharing between organisations. After consultation with community organisations to ensure that the organisations involved would update their entry at least six-monthly and have an arrangement for organisations to feedback sooner if major changes occur, I contributed my completed database to assist this cause. Feather (1998) and Taylor (1999) warn that a web directory's reputation stands or falls on its accuracy, currency and accessibility. To ensure such quality control there would need to be a web director to coordinate changes and updates and this was factored into the budget. Unfortunately, after substantial planning this initiative failed before it could be commenced and evaluated for effectiveness because of a lack of sustainable funding. It was also compromised because easy access to the internet is limited in Northland due to both rural accessibility and cost (Statistics New Zealand, 2001).

Feather (1998) warns that a distinction must be made between whether there is a deficit in the availability of information or in the means of accessing it. In Northland a properly funded initiative that accurately documents community organisations and generates current information seems to be missing. Certainly my project proved that there is an abundance of organisations but the level of general public knowledge of their existence remains low. Because people usually seek help in a time of crisis, easy and timely access to services is paramount. Further research is therefore needed to measure the level of public knowledge of community organisations and timely access to help.

Solutions to timely access and improved public knowledge could include a compulsory phone book entry for community organisations; sustainable resourcing of at least one comprehensive, monitored and regularly-updated web directory<sup>4</sup>; a community plan that highlights areas of need for services based on

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<sup>4</sup> 2009 update: An online directory (2CU) that is current and provides service information for community support is being rolled out across New Zealand with the support of several government agencies and government and philanthropic funding (2cu.co.nz)

population and demographic statistics; and the evaluation of these community resources based on community feedback and usage statistics.

## **6.2 Phase 2: Key informant interviews**

In Phase 2, qualitative transcripts obtained from 12 interviews with staff, management and board members from four community organisations were analysed. This data was used to develop the Phase 3 survey items. Targeting the interview questions to encourage interviewees to focus on their perceptions of the internal and external difficulties experienced by their organisation and the actions taken to overcome these difficulties provided useful material. The question: *“What are/were the most significant factors which you believe contribute to the success of your organisation?”* was comprehensively answered. Five themes emerged as important from this qualitative phase. These were “funding and resourcing”, “staff recruitment and retention”, “board, management and staff relations”, “strategic vision and performance planning”, and “the effect of external influences”.

I believe that the interview questions are generic and transferable and could be used again in further research to measure how members of organisations perceive success and difficulty within their organisation. They have internal and external consistency; they proved to be easily understood by interviewees and were a cost-effective way to gain information on success and difficulty (Thomas, 2008). They could also be developed to form the basis of staff appraisal tools/processes.

## **6.3 Phase 3: Mail survey**

The Phase 3 mail survey data analysis (n=222) indicated that three aspects of non-profit community organisations contribute to the ongoing success of such a group. These are, in order of importance: effective board, management and staff relationships; good external links with government and community; and overcoming funding insecurity.



### 6.3.1 Scale 1: Effective board, management and staff relationships

The first major dimension (Scale 1) was related to effective board, management and staff relationships. The factors for success under this scale are discussed next <sup>5</sup>.

#### *A working relationship with the local community that is based on mutual trust and support*

The premise is that without the trust and support of the local community, a community organisation will not succeed. Past studies agree that an organisation's relationship with its local community is an essential contributor to the success of the organisation (Barrett, 2001; Considine, 2000). Barrett (2001) argues that the relationship a community organisation has with its local community is as crucial as that of a for-profit organisation and its stakeholders.

Board members agreed more strongly with the need to establish a working relationship with the local community than management and staff. The difference was statistically significant. This is likely to align with the fact that board members in their governance role are responsible for the good reputation and accountability of the organisation (Office of the Controller and Auditor-General, 2001). The board may have placed more emphasis on good external links because this is their primary area of concern and they are not usually (and should not be) actively involved in the internal running of the organisation on a day-to-day basis. Over the past 25 years Boards have had to learn to adjust their governance role to meet the demands of an ever-developing for-profit environment perpetuated by governmental neoliberalistic policies.

The quality of the relationship between the community and community organisations is crucial because local communities not only provide the staff to work in the organisation but also the clients who receive the assistance. Without the support and involvement of the community there would be no organisation,

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<sup>5</sup> In Chapter 6–Discussion of the findings, the term "factors" refers to the general features or components related to success in organisations, whereas in Chapter 5–Findings, "factors" refers to the outcomes from the factor analysis process.

nor any services. This project has shown that the first step in setting up a community organisation should be to make sure that the community agrees that there is a need for the service being delivered and that it has the community's support. After all, to be successful a community organisation has to provide services that meet community needs (Cribb, 2005).

Community need is often associated with social deprivation which remains high in Northland (Reti, 2004). Recent statistics reveal a further deterioration in some areas when compared with other geographical areas of New Zealand. Northland now has the third highest smoking rate per population (24.9%); the highest unemployment rate (5.1%); the lowest educational qualifications on leaving school (58.3%); the third highest level of household overcrowding (10.8%); the lowest access to telephones (86.5%) and internet (29.9%); and the highest number with low household income (30.2%) (Ministry of Social Development, 2008).

An increase in dependency on community services is predicted (Statistics New Zealand, 2008a), especially with the growth of the elderly population and people with more complex health needs living longer and being cared for in the community (Majumdar, 2004). A growing reliance by the government on community organisations to deliver services that were previously delivered by government departments and agencies accompanies this increased need (Cribb, 2005; Tennant et al., 2006) and is a consequence of the practices of neoliberalism post 1980's in the Western world (Thrift, 1999).

However, despite good intentions and an effective response to community need, community organisations can still get into difficulty (Dinsdale, 2002; Majumdar, 2004). Northland examples include the high-profile closures of organisations and failure to meet contractual requirements for service delivery, constitutional pitfalls and a lack of accountability allowing fraudulent activity. All of these difficulties contribute to a loss of community confidence in the organisations involved (Cribb, 2005).

*Clear lines of responsibility within the organisation*

Clear lines of responsibility within the organisation was the second strongest factor of the effective management axis. Respondents agreed that good staff relations in the workplace are dependent on establishing and maintaining a workplace structure that has clear lines of responsibility. Other studies (Collins & Porras, 2000; Csikszentmihalyi, 2003; Egan, 1993; Sims, 2002; Young, 1993) conclude that certain elements need to be present in the workplace for an employee (or volunteer) to feel they are valued. These include workable and current job descriptions, clarity around the purpose or vision of the workplace, access to support systems and the opportunity to communicate effectively within the organisation. Workplace tensions caused by a lack of clarity about respective roles and responsibilities can result in an organisation losing sight of its main purpose and its responsibilities to the people who benefit from its service (Csikszentmihalyi, 2003; Te Puni Kokiri, 2005).

Clear lines of responsibility encourage a co-ordinated approach to the ongoing development of the organisation and therefore enhance workplace motivation (Egan, 1993). From this, a safe workplace culture is built, one that correctly identifies the purpose, values, beliefs and norms that impact on the organisation (Egan 1993). A safe workplace culture leads to job satisfaction, team bonding and mutual respect (Egan, 1993; Te Puni Kokiri, 2005). Respondents believed that the recruitment and retention of people with an understanding of their community was essential to an organisation's values, goals and targets. In addition, clear direction is required to ensure that the long-term targets and goals of the organisation are strategically identified (Egan, 1993). Respondents considered that this was made possible by creating a workplace that enables them to utilise their skills fully in an environment which is based on trust, transparency and effective leadership.

*The presence of mutual respect and support*

The presence of mutual respect and support is another important aspect of effective management. Within the community setting, mutual respect and support is derived from everyone (board, management, staff and volunteers) having a shared commitment to caring for others. To establish and maintain a

culture of care, the organisation must operate from a basis of teamwork and setting clear, meaningful goals and role definitions. Creating this type of atmosphere will encourage everyone within the organisation to consistently achieve their best level of performance.

Other contributors to effective working relationships are successful staff recruitment and retention, and the provision of opportunities for ongoing training, supervision and professional development. Policies that encourage such activities are essential to ensure that employees develop and feel valued within the organisation.

For board members, a clear understanding of the governance role and the need to stay within the boundaries of the strategic leadership role is a key item for success (Te Puni Kokiri, 2005). When board members step outside their parameters and become overly involved in day-to-day management, this causes difficulties for community organisations. Resentment and confusion result.

Good governance provides the stability a community organisation needs to be successful, provided the board members work as a team to manage finances and to guide the organisation within the parameters of its strategic vision. With this overarching support, management can confidently implement policy into practical programmes and services that assist the community (Collins & McLaughlan, 2001). The flow-on effect is a happy and functional workplace where staff and volunteers can be effective in their roles.

### *Clear and appropriate job descriptions*

Clear and appropriate job descriptions are another essential factor for success. They are integral to the development of a culture that encourages mutual respect and support. If job descriptions are understood from the outset they will provide clarity about the role the employee plays and the boundaries of the job. This in turn will assist in good staff relations. To be effective, a job description should clearly identify the specific position, define the competencies required for performance in that job, and include the range of functions which need to be performed by the employee (Collins & McLaughlan, 2001). A well-written job

description can improve staff morale by clearly setting out roles, thereby providing the opportunity for them to carry out a good job (McNamara, 2002) and assist in the retention of staff by defining career pathways (Egan, 1993).

#### ***A clear and achievable mission statement***

A fifth factor contributing to effective board, management and staff relationships is the presence of a clear and achievable mission statement. The mission statement defines the organisation's existence (Bartol et al., 2005; Harris, 2001) and is usually more "substantive, rather than financial" (Moore 2000, p.191). The findings of this project reveal that honouring and adhering to stated missions causes philosophical dilemmas for some Northland community organisations. For example, some members expressed difficulties maintaining their core organisational values when meeting the requirements of government funding contracts. This finding is congruent with Nowland-Foreman's (2000b, p. 18) concept of "mission distortion" which is caused by the organisation trying to meet the stringent requirements of certain government contracts. Community organisations often believe that their integrity rests on remaining committed and focused on their original mission. Changes in mission or philosophy reflect changes in the moral judgments and statements about the social worth of clients (Mulroy, & Tamburo, 2004).

The responsibility for the creation and maintenance of the mission statement lies with the board and management with input from staff. This then allows the development of the systems and processes that guide the organisation to be successful (Egan, 1993). The development of the mission is an internal function of the organisation that is also influenced by pressures external to the organisation (Mulroy & Tamburo, 2004).

### **6.3.2 Scale 2: Good external links with government and community**

The second major dimension (Scale 2) developed by the analysis measured the importance of having good external links with government and community. Good external links with government include the quality of the personal relationship between a community organisation's management and government representatives, and between the organisation as a whole and the

government department. These relationships are built on mutual accountability, reliability and trust and an appreciation of the expectations of the role of the community organisation in the governments intentions for primary sector service delivery.

There was little difference in the opinions expressed by respondents related to their position within the organisation, or its geographical location or service type. The one noticeable difference was that board members were significantly more likely to agree with the items related to external links with the community.

*The level of performance of government departments that work with community organisations*

This factor, extracted by the factor analysis was related to the level of performance of government departments. Many respondents agreed that the performance level of the government departments with whom they work has a direct bearing on the quality of the relationship between the community organisation and the government department. They worry that the success and sustainability of their community organisations can be jeopardised if the performance level of government departments is not high and if their representatives do not have a good understanding of community needs. This is attributed, in part, to high staff turnover in government departments. This exemplifies the assertion by Gilbert (2002) and Smart (2003), that on the one hand the state has become increasingly involved in regulatory and managerial activity in economic life, yet it has also retreated from direct ownership and administration of certain essential functions that help meet community need because of neoliberalist beliefs.

Effective partnership is crucial because the government is the main funding source for community organisations in New Zealand providing funding of approximately \$960 million per year (Tennant et al., 2006). Neoliberalist government philosophies of the 1980's onwards created reliance on the community for the delivery of public services (Barrett, 2001; Office of the Controller and Auditor-General, 2006). But it can be a struggle for non-

government organisations to maintain a close partnership with government “without at the same time alienating the support of social movements and thus their legitimacy” (De Angelis 2003, p. 24). This is often because of the fundamental struggle of values versus power and the logistics of trying to communicate regularly.

Others have recognised similar concerns, and, in response, the government has strived to improve its relationship with the voluntary sector (Tennant et al., 2006). For example, in 2001 a statement of government intent was outlined for an improved government-community relationship and the Office of the Community and Voluntary Sector was established in 2003 to develop policy specific to the community sector, in an attempt to enhance positive working relationships (Cribb, 2005). The 2005 Charities Act established the Charities Commission, tasked to register, monitor, and support and educate the community sector.

To date, the effectiveness of these initiatives has not been evaluated (Cribb, 2006) and, as reported by Tennant et al. (2006), there is still a lack of systematic reporting mechanisms to assist with effective evaluation. Respondents generally felt that, although they wanted a good relationship with government, there remains a barrier which they have been unable to overcome. This barrier may be partially explained by the paucity of New Zealand research into the community sector and its relationship with the government (Cribb, 2005; Tennant, 2001). Whilst it seems government intentions may be sincere, the results obtained in Northland indicate that progress has been limited.

### *Government departments understanding the difficulties faced by community organisations*

A key point in good relationships between government and community is related to the need for government departments to possess a good understanding of the difficulties faced by community organisations on a day-to-day basis. Respondents recognised the importance of nurturing the relationship with government departments but questioned the level of community understanding in some government departments. There were some quite emotive responses in

the ‘additional comments’ section of the survey. Board members, management and staff in both the health and social service sectors and across all geographical areas of Northland responded similarly expressing the following five main issues:

1. Difficulties arise for community organisations as they try to meet formal, strict reporting criteria because they are rigidly focussed and output-based (Cribb, 2006). Because the funder does not fully appreciate and understand the work their organisation does, they have no real concept of many of the difficulties community organisations face. In addition the opportunity to gain an understanding of what comprises outputs may not have been negotiated and agreed. Cribb (2006) cautioned that adherence to stringent government contracts can result in organisations losing autonomy and independence. “Embeddedness within its community” is the very essence of a community organisation (Aimers & Walker, 2008, p14.). If community organisations are forced to become constantly focused on their relationship with the government to the detriment of their relationship with the community they serve their very, identity and charitable purpose is lost (Aimers & Walker, 2008; Cribb, 2006).
2. Agreeing on effective ways to measure the worth of the organisations to the community based upon outcome measures, has proved too hard for successive governments. Until there are measures that report on the *effectiveness* of a service instead of the *volume* of the service, organisations and funders will not be able to determine if the money was spent for the purpose intended: that of changing peoples’ lives for the better. Number-based output measurements place many small community organisations at a disadvantage because they do not look as effective to funders as the larger, better resourced organisations. Interaction between government departments and community organisations is frequently limited to correspondence in the form of a report and perhaps one visit every one or two years by a government employee. Successful community service is not adequately assessed or qualified (Phang, 2006).
3. There is no doubt that funder pressure (however unintentional) is an obstacle to success. Research by Van Slyke (2002) and Cribb (2005) found that government contractual requirements are rigid and output-based,



rather than focussed on providing services that meet specific community needs. Conflicts develop because the funder wants to directly influence the services and programmes provided by community organisations, resulting either in the organisation modifying its service delivery to meet contractual requirements or else adhering to its core purpose or mission, which was derived in the first instance from the needs of its community, thereby risking loss of funding.

4. The competitive environment created by the government for funding community organisations post-1980's neoliberalist era means that community organisations compete against each other for fewer contracts from a smaller pool of funding (Rudd & Roper, 1997; Tennant, 2007). Funders expect a more business-like and professional approach by community organisations (Jenkins, 2005; Tennant et al., 2008). However, although community organisations generally agree that a business-like structure and corporate culture improve efficiency, the funding is insufficient and few resources were made available by the funders to meet the additional costs of converting a simply structured and operated charitable organisation into a modern day "business" which meets corporate standards. During the process of completing this project I have become aware that there is still a lack of understanding between the government and community organisations in regards to each other's intentions and perceptions of the respective roles. This was borne out by the comments of the board members and managers throughout the project. Equally, I do not believe that many community organisations fully understand the government's ever changing expectations in relation to the role of community organisations.

***Success depends on there being sufficient volunteers to provide the help needed by community organisations***

Having an adequate pool of volunteers to support community organisations is an important contributor to success. Records confirm the vast size of the volunteer sector in New Zealand. However, statistics from reputable sources vary. Respondents agreed that a shortage of volunteers exists throughout Northland. This is despite reports by the Northland District Health Board (2001a) and

Child, Youth and Family Service (2002) who confirm that Northlanders contribute a greater number of hours to voluntary work, over and above paid employment, than any other region of New Zealand. Statistical information provided by participants in my project (n=105) showed that there were in excess of 2000 volunteers.

The relationship between the community organisation and the local community together with the level of “community spirit” that exists to some extent promotes and maintains sufficient levels of volunteer input. The findings indicated that older people are more inclined or more available to work as volunteers. The kind of person most effective as a volunteer is a proactive, hard-working, motivated individual. Such people are, however, more likely to be fully employed or seeking paid employment and unlikely to be available for voluntary work.

Declining volunteer numbers are also due to the fact that many volunteers are becoming too old to work and there are insufficient numbers of younger people available to replace them. At the same time it is apparent that the demand for volunteer input is increasing. This may be due to a lack of funds to employ paid staff and an increase in the number of community organisations. Worldwide trends, compounded by the economic downturn are further reducing the number of people available for volunteering (Kuttner & De Graff, 2008) because people need income from paid employment (Reed & Selbee, 2000). The greater the reliance on volunteers, the greater the obstacle this will present to community organisations in the future.

***There being sufficient people available with the skills and experience needed to run community organisations***

Another factor contributing to a successful community organisation is its capacity to find and retain people with requisite skills and experience. Respondents emphasised that the successful recruitment of staff and volunteers was dependent on having strong links with the local community from which they are sourced. Difficulties exist because many community organisations in

Northland are rurally based and serve widely spread populations. Finding people with the right aptitude and skill is not easy. Community organisations need to either find people within their community, or attract to their community people who are altruistic, accepted within the community, and have the ability to run an organisation in a business-like manner.

Attributes required include:

- computer literacy;
- competency in financial and reporting practices;
- the ability to manage staff, volunteers and clients;
- the ability to maintain an effective relationship with a raft of stakeholders such as clients, families, funders, outside agencies;
- good communication skills;
- proven ability to understand current legislation, contract terms, budgeting and accounts;
- an understanding of the boundaries between governance and management; and
- an understanding of the complexities and the contextual issues of the community.

### 6.3.3 Scale 3: Funding insecurity

The third major dimension (Scale 3) identified in this project, funding insecurity, remains a significant difficulty for Northland community organisations. In New Zealand an estimated \$2 billion per annum is received by the community sector (Tennant et al., 2006). Recent records accounting for all types of community organisations indicate that there are 97,000 non-profit organisations registered in New Zealand (Statistics New Zealand, 2007) and my project counted 1177 in Northland, in the areas of health and social services alone.

In examining why “funding insecurity” was linked to the first two scales of “effective board, management and staff relationships” and “good external links with government and community” rather than “funding security”, the very

nature of being in the non-profit environment is pivotal. The environment in which non-profit organisations operate is challenging. There is an on-going battle to secure adequate funding, while continuing to serve client needs (McMullen & Schellenberg, 2003). Community organisations have never experienced, and probably never will experience “funding security”. They regularly join a long queue of hopeful applicants for government and philanthropic funds. There are no guarantees, and even their yearly budgets are tentative in that most often there are insufficient funds available to protect themselves financially from random events and unseen costs that occur throughout the year. They will always be vulnerable because of their charitable purpose and because they do not have the opportunity to generate a surplus of funds to build a buffer to assist with difficult periods, or invest long-term in personnel or resources.

The association of the funding insecurity items with “effective board, management and staff relationships” can be attributed to the difficulty of securing funding on an ongoing basis. Community organisations frequently find themselves stretching their resources to employ and retain appropriately trained staff. This can place existing staff under a high level of stress by trying to balance increasing workloads, long hours of work, and continual job insecurity (McMullen & Schellenberg, 2003). Maintaining a happy workplace requires skill and a high level of workplace awareness. Furthermore, poor and ineffective management can squander funds, increase funding insecurity and may precipitate the demise of the organisation.

### ***Staff burnout***

Another concern identified by respondents was staff burnout caused by workplace stress. Workplace stress results when the “demands placed on people exceed their ability to meet those demands” (Wynne, Clarkin & McNieve, 1993, p.1). Burnout causes emotional exhaustion, a feeling of personal detachment from the work and a feeling of reduced personal achievement (Lee & Ashforth, 1990). It is becoming more common in workplaces that involve caring for and helping others.

Respondents associated staff burnout with the stress of funding insecurity. Funding insecurity impacts negatively on staff retention, since the board and management of community organisations are reluctant to recruit new staff if they cannot guarantee sustainable funding to keep staff employed. To counter the resultant staff shortages, existing staff take on more tasks. Since employees within the community sector show such high level of commitment, the level of staff support provided by community organisations and the quality of the self-care training they receive may not be sufficient to stave off burnout.

*Alleviating funding uncertainty and securing adequate funding*

The second and third factors that correlated with others to produce the funding insecurity axis are alleviating funding uncertainty and securing adequate funding. Despite the seemingly substantial sum of money the non-profit sector attracts each year, funding insecurity is an ongoing problem for Northland community organisations. The uncertainty of securing adequate funding (if any at all) now and in the future threatens the success and sustainability of their organisations. It also has a major adverse effect on budgeting, planning, staff morale, recruitment and retention. Community groups collectively seek more funds than are available (Office of the Controller and Auditor-General, 2006). This is likely to affect the success of some organisations.

Issues include:

- Uncertainty over funding, exacerbated by the short-term contracts which dominate the community sector (Family and Community Services and the Office for the Community and Voluntary Sector, 2006). This results in demotivating community-spirited workers, limiting the rewards for people working in this area (Matheson et al., 2005) and limiting training opportunities (Family and Community Services and the Office for the Community and Voluntary Sector, 2006). Such limited training opportunities curtail personal development and career opportunities for staff.
- Operational costs are rising faster than the increases in funding which is a major concern to all groups. There has been little increase in funding (in real

terms) for a number of years, although prices of goods and services have continued to increase (Statistics New Zealand, 2008b). This is a major obstacle to the success or even the survival of a community organisation because the level of funding is usually only sufficient to cover operating costs. It does not allow for the organisation to invest in staff development. Nor does it allow for community organisations to pay market rates or keep up with pay increments. This imbalance in the ratio of costs to income is an obstacle to an organisation's success.

- The existence of many charitable organisations is threatened by the encroachment of for-profit organisations. The practices of neoliberalism have created a free market philosophy that has encouraged opportunities for for-profit organisations to impinge on work traditionally provided by the non-profit sector (Hall & Banting, 2000).
- There is no easy solution to the funding insecurity issue. Community organisations need to strategise in the knowledge that funding is always going to be scarce, maybe even scarcer in the future. The traditional mix of government and philanthropic funding will never stretch adequately to every community organisation. In addition, the recent economic downturn means there is already less money available and smaller Northland organisations are finding it hard to compete against the larger nationwide community organisations for both government and philanthropic funds.

### *Educating volunteers*

Educating volunteers in the provisions of current legislation impacts on the work they do and is a major undertaking. The connection to funding insecurity indicates that respondents see this more as a cost than a time issue.

The costs incurred are in educating the volunteers in relation to the changes in employment legislation which extended many of the terms of employment historically restricted to paid employees to cover volunteers for the first time. The same legislation also expanded responsibilities, such as the health and safety provisions of paid employees to volunteers, again, for the first time. In the main,

volunteers want to be helpful and do not want to be subjected to extensive training and responsibilities. Conversely, community organisations cannot risk having untrained people working on their behalf.

Additional costs are also incurred by community organisations in order to meet and monitor the requirements of employment, health and safety legislation in relation to volunteers. They also have to keep volunteers informed and educated.

### *Summary*

In summary, the Phase 3 survey analysis identified items that are seen as areas of difficulty for Northland community organisations. Current output measurement is flawed because it reports the number of clients seen, rather than the effectiveness of the work done. There needs to be more than the superficial monitoring and recording of minimal information. One very useful outcome of this project could be the adjustment and modification of the survey items to develop a set of benchmarks that could be used to more accurately measure the value and performance of community organisations. von Tunzelmann and Murphy (1998) have argued that community organisations, especially small ones, can be compromised by a lack of meaningful outcome measurements that accurately account for their progress and usefulness. The survey items derived from Phase 2 and tested in Phase 3 have the potential to be a basis for discussion and for their development into outcome measures for community organisations.

In addition to the survey information, respondents provided 26 pages of written comments. They appeared to welcome an opportunity to freely express their concerns in a forum that was safe and confidential. It is clear from an analysis of the comments that community organisations must find innovative strategies to succeed in an era of constant uncertainty.

## **6.4 Phase 4: Hui**

Phase Four was a hui/workshop to challenge and confirm the project findings. Attendees acknowledged the benefits of the hui format in that it provided an opportunity for members of community organisations to meet in an informal gathering, away from their usual setting. They welcomed the opportunity to

discuss Northland-based research. In addition, the hui facilitated a rare opportunity for community organisations to meet with funders without the constraints of contract accountabilities. The workshop encouraged the sharing of experiences, ideas and strategies to achieve success and overcome difficulties. It confirmed that all groups agreed with the three main scales as essential success factors.

The board, management and staff members at the hui agreed that the primary difficulties centred on the relationship between the community and the government. Ongoing funding issues and a lack of collaboration were the main factors. Concern, too, was raised over the declining number of volunteers. These findings are congruent with the results from the Phase 3 factor analysis.

The funder group's agreement to participate in the hui indicated their interest in further research into the relationship between the two sectors. In addition, they recognised a need for community organisations to develop strong internal functions in order to be successful and sustainable. This commences with strong, strategic leadership from the board of trustees (Te Puni Kokiri, 2005), followed by the careful planning and implementation of professional management systems (Egan, 2002). This enables the development of frameworks, methods, models and skills needed for management to carry out their role successfully (Egan, 2002).

Funder groups acknowledged a deficit in information sharing between government departments (evidenced in the Pipi Programme fraud, p. 54). Information sharing between government departments on funding allocations could prevent this situation from occurring again.

## **6.5 Project limitations**

As with all research sampling of real-world situations, there are limitations that pertain to this study. Moreover, it is essential that the strengths and limitations of research projects are outlined to prevent the "overselling of the results" (Bielefeld, 2006, p.407). With mixed-method studies, clearly identifying



strengths and limitations helps to link the value of both the qualitative and quantitative mix (Bielefeld, 2006).

In my project, limitations included resource constraints, sample sizes and the Phase 3 response rate. In addition considerations for overcoming bias, acknowledging generalisability, internal validity of the quantitative research, the external validity of the qualitative research and managing reverse statements are included.

#### **6.5.1 Resource constraints**

Limitations stem from the logistics of carrying out this project in a resource-poor, rural community. To adapt to this situation and to be able to carry out PhD research within my own environment I needed to plan and develop the project to be comprehensive and effective, but also manageable for one person. In addition, because there was a deficit of research and literature on the subject of community organisations in general and locally I needed to choose a design that allowed each phase to inform the next phase in a way that was methodical, clear and logical (Greene et al., 1989). Locating this project within mixed-method research with sequential phases provided particularly useful data-gathering opportunities in the form of in-depth interviews and a survey.

#### **6.5.2 Sample sizes**

The sample sizes were relatively small Phase 2  $n=12$  out of 12; Phase 3  $n=222$  out of a possible 900; and Phase 4  $n=18$  out of a possible 30.

In Phase 2 the sample was intentionally small. My interviews consisted of five open ended questions on organisational success and difficulty from an internal and external perspective. I considered the content of these questions would stimulate meaningful answers. The time-frame was approximately one hour because I was aware of the time constraints experienced by busy community workers. The questions were designed to be thought provoking and clear because I needed to get sufficient credible information within the time allocated and still ensure that the sample was manageable and cost effective.

For Phase 3, I considered a main advantage for using the mail survey was the ability to send out large numbers of questionnaires (n=900) at relatively low cost to achieve selection of a diverse group of organisations in terms of size, management style and types of services provided. The survey contained a section for statistical information followed by a 28 statement questionnaire. The estimated time for completion was 30 minutes and the Likert scale format was chosen to assist clarity and speed (Bogen, 1996). I was aware how busy members of community organisations appear to be so I did not wish to burden them with excessive survey material. On the other hand, I needed to develop a survey that incorporated all the issues raised in the qualitative interviews. However, the respondents provided 26 pages of additional comments, so clearly many felt a need for the expression that qualitative methods encourage and made the time to reply in a substantial way. The comments made by the respondents were summarised and examples provided in the project that best represented the opinions of board, management and staff. The concerns raised provide a beginning basis for understanding the difficulties faced by Northland community organisations and may not be common concerns for community organisations in other areas of New Zealand and internationally therefore the findings cannot be generalized to represent other areas without further replication studies.

### ***Response Rate (Phase 3)***

The Phase 3 survey response rate, at 24.6%, is the result of dividing the number of people who completed the survey by the total number of people in the sample who were eligible and were sent a questionnaire (Cook, 1995). Responses were received from each of the three regions of Northland as follows: Whangarei District n=140; Kaipara n=36; Mid Far North n= 46. This included responses from 42 board members, 69 managers and 111 staff. I therefore considered that this data would be enough to provide a basis for beginning to understand the difficulties faced by Northland community organisations. Once again, the findings cannot be generalized to represent other areas of New Zealand or internationally without further replication studies.

As explained by Dillman (1978), response rates in mail surveys can be low. Cook (1995) advises that an acceptable response rate can be lower than 20% although at least a 25% response rate is considered acceptable in survey research. Response rates can depend on the surveys length, how it is presented and the level of interest in the subject matter, the incentives offered, ease of completion and respondents' vested interest in participating (Clarkberg & Einarson, 2008). Hamilton (2006) expects most surveys (all types) to receive at least a 26% response, especially when incentives and follow ups are used as was the case in my survey.

Although I considered my survey response rate was disappointing, it fell broadly within the range of acceptability and Dillman (1991) explains a low response rate does not necessarily entail non-response error: that is, "a discrepancy between the frequency of a population characteristic and that estimated by the survey because some people did not respond" (p.229). It is acknowledged that the survey cannot be representative of the whole Northland population because as explained by Dillman (2000) some participants are more motivated to return questionnaires than others. Those who respond to the survey may not differ from those who do not respond (Burchell & Marsh, 1992; Dillman, 1991; Edmondson, 2005). Since a survey is a tool for finding out the distribution of the characteristics of the population, it is not possible to compare respondents with non-respondents. In general though, "the higher the response rate, the lower the potential of non response error and therefore the better the survey" (Dillman, 1991, p.229). To try and stimulate the response rate I did have the incentive of a prize draw and provided a stamped return envelope. In future I will consider other incentives including more than one follow-up, using brightly coloured envelopes, and possibly an individual prize instead of a prize draw.

### ***Bias***

Bias is any error that creeps into the data. It can be introduced by the researcher, respondents, the method for selecting the sample and the measuring instrument (Sekaran, 2003). In the Phase 2 interviews, efforts on my part to reduce the risk of bias included: carrying out all interviews myself, using the same interview questions for all participants, taking comprehensive and accurate interview

notes or recordings and encouraging the participants to read through or listen to any parts of the interview they wished to in order to confirm true meanings.

In considering sample non-response bias in the Phase 3 survey, it was unlikely that all members of the sample to whom questionnaires were mailed would respond. It is also unlikely that every returned survey would be fully completed. Consequently, the sample available for estimation may not be representative of the target population as the final data set available to the researcher will not contain all of the information (Sekaran, 2003). Bias was reduced because the easy format of the Likert Scale meant that all of the 222 respondents did tick one of 8 categories for each of the 28 statements.

### *Trustworthiness of the qualitative research*

Lincoln and Guba (1985) identified four criteria to measure the trustworthiness of qualitative research. Trustworthiness is the soundness of, or the degree to which the interpretations of the data accurately describe the phenomenon under investigation. These criteria, set by Lincoln and Guba (1985), are:

1. *Credibility*—establishing that the results of the research are credible or believable from the perspective of the participant in the research. The data was obtained directly from the participants who had first-hand knowledge and experience of working in/with community organisations. A mixed-method approach was used to analyse the data using a thematic analysis and subsequently factor analysis. Participant feedback and opportunity for rechecking individual data was given in Phase 2 and at the Phase 4 hui. In addition, credibility was achieved by the Phase 4 hui whereby stake-holders, in the form of funders and representatives from Northland community organisations, discussed, challenged and agreed the research results. An audit trail of the project progress has been kept and this has been matched to the project plan and time frame.
2. *Transferability*—the degree to which the results of the research can be generalized or transferred to other contexts or settings. Whilst great care has been taken in describing the research context and the assumptions that were made, the research results cannot be generalized to other areas without

further replicated projects. The small sample sizes are one reason for this. The project plan and mixed methodology research format however could be replicated for further research projects in other regions of New Zealand and internationally.

3. *Dependability*—the need for the researcher to account for the ever-changing context within which research occurs. In the six-year time frame of this project, changes have occurred that could create increased demand on community organisations and impact on their success. Northland examples of change within this timeframe include:
  - Demographic change, with a 6% population growth with increased migration from Northland of youth aged 15-24 and a corresponding increased inflow of those aged 30–75 (Ministry of Social Development, 2008);
  - A weakened labour market, with food costs rising by 10.1% over the last two years, youth unemployment that is three times higher than that of the entire working-age population (Department of Labour, 2010a; Statistics New Zealand, 2010);
  - The weakened labour market and global recession that has resulted in a reduction in wage increases (1.8%) in 2009 (Department of Labour, 2010b);
  - An increase in family violence, with a 6 % increase in reporting of violence (New Zealand Police, 2010);
  - An increase in drug and anti-social problems largely attributed to a 28% increase in cannabis offences (New Zealand Police, 2010).
4. *Confirmability*—the degree to which the results could be confirmed or corroborated by others. The findings have been checked by my supervisors, who have overseen the project at each stage. The hui was held to provide an opportunity for stakeholders and members of Northland community organisations to discuss, challenge and confirm the findings which they did.

#### ***Validity and reliability of the quantitative research***

Validity determines whether the research truly measures that which it is intended to measure or how truthful the research results are (Cook & Campbell,

1979; Golafshani, 2003). Reliability is the extent to which results are consistent over time and an accurate representation of the total population under study. This includes “the degree to which a measurement, given repeatedly, remains the same, the stability of a measurement over time; and the similarity of measurements within a given time period” (Kirk and Miller, 1986, p. 41-42).

In my project, coefficient alpha scale analysis (a measure of internal consistency) was used to determine reliability and the three main scales all had acceptable reliability levels. The project did not have the resources to assess test-retest reliability over time. Statistical analysis checking was carried out under the guidance of the supervisors. Care was taken to compose and check all tables carefully so that they represented the data correctly. Two of the statements did not load into any scales in the factor analysis process because the highest loading they had on any scale was less than 0.30. The wording was, perhaps, unclear and this could have caused a certain degree of misunderstanding. However 26 out of the 28 items did load successfully.

When using a mixed-method approach, Tashakkori and Teddlie (2003) suggest that the term “inference transferability” is more appropriate in mixed-method research because it incorporates the quantitative term of external validity and the qualitative term of transferability (p.37). This relates to the transferability to other individuals or entities (population transferability) or to other settings or situations (ecological transferability). The project sought to be comprehensive yet remain manageable through the use of a research design that, with modification such as improved resourcing, could be extended to cover broader geographical areas and larger populations. Further research of this nature could inform other locales and operate on a national level. At the local level such projects would provide information and guidance to prospective or newly established community service providers, or provider organisations experiencing operational difficulties. On a national level, such research could inform service planners and funders from both the private and public sectors to enhance understanding of the factors for success and develop strategies for overcoming difficulties within the non-profit sector. It is my view that the

contemporary economic downturn makes acquiring this knowledge even more urgent.

### 6.5.3 Use of reversed statements

The Phase 2 survey was developed with the initial assistance of a statistician and the survey was piloted prior to final development. Before completing the survey development, three statements were altered to change the emphasis from a negative to a more positive tone. A researcher will often design a survey with some questions with reverse wording. This is usually done to force the person taking the survey to carefully read the questions (De Vellis, 2003; SPSS 2006) and to make sure that they were statements that either provoked thought or were not entirely negative or leading. The intended result was a balance that emphasised success, rather than dwelling on difficulty. These were:

- Statement 11  
The government departments we work with possess a good understanding of the difficulties that organisations such as ours face on a day to day basis
- Statement 16  
Time spent attracting funding does not mean less time spent delivering services
- Statement 25  
The level of funding we receive enables us to meet the cost of complying with our contract reporting requirements and accountabilities without taking funds from the monies used for service delivery.

On reflection, I regret taking this advice. I now realise that I should have worded the survey items exactly as the interviewees emphasised. However advocates of reverse questioning find it useful when encouraging people to problem solve in a more creative way, especially when the subject is a difficult one (Mind Tools Team, 2002). This was my intention, but it created some difficulty in interpreting the Likert Scale results. No items in the set of 28 statements were reverse scored as a result of the factor analysis loading. The need to do this would have shown up in the factor loading if it occurred. It would have been better, in retrospect, to put in the original versions that were directly related to the statement made during the key informant interviews. These original statements had a ring of authenticity whereas the revised versions did not. For

example in response to Statement 11 a respondent commented “...what a classic tongue in cheek comment”, and another commented “...you must be joking!” These reactions suggest that the respondents were feeling a degree of emotion or cynicism in relation to the statement. In hindsight it would have been better to write statements that did not increase these existing levels of cynicism.

The conclusion, recommendations and areas for further research follow in Chapter 7.



## Chapter 7

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### Conclusion

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All community organisations achieve degrees of success and failure (Friedman & Lyne 1999). Achievement of success generally correlates with the degree to which organisational aims and objectives are met. The successful operation of a community organisation is a complex undertaking.

This project has confirmed that the non-profit sector in Northland has evolved haphazardly with little account for number, size, location, or measurement of its achievements. Many organisations, including community organisations, develop as individuals or groups of individuals recognise an unmet need in their community, and set about meeting this need by establishing some form of legal entity. In the case of a commercial enterprise, it could be a limited company or sole-trader.

As the reputation of the community organisation grows it becomes recognised as a valuable service provider and receives more referrals. The ensuing growth then creates pressures on the organisation. To meet the increased workload, the organisation becomes an employer, taking on new responsibilities and having to meet numerous statutory requirements. Staff must develop the skills needed to comply with legislation in health and safety, human rights and resources, employment of staff and volunteers, intellectual property and privacy legislation (The New Zealand Federation of Voluntary Welfare Organisations and the Office for the Community and Voluntary Sector, 2006). Organisations must plan for and comply with these laws and their amendments, or they invariably fail, and finally they must learn the skills required to be a successful employer of people.

## 7.1 Integration of success factors

The following Model, Figure 7.1, has been developed from the findings of this project. It clearly identifies the success factors relevant to community organisations and indicators that support continued success.



Figure 7.1 Model of Success for Northland community organisations

**Table 7.1 Functions and key tasks in Northland community organisation Model of Success**

<i>Function</i>	<i>Tasks to be completed</i>
<b>Scale 1: Effective Board/ Management/Staff Relationships</b>	
To establish a working relationship with the local community that is based on mutual trust and support	Consult with community to confirm the need for the service(s), obtain a mandate from and support of the community prior to establishing the organisation.
Clear lines of responsibility within the organisation	Develop and establish an organisational structure which is appropriate for the size of the organisation. Establish simple, clear lines of responsibility which reflect the structure and the responsibilities of each of each employee or volunteer.
The presence of mutual respect and support between board, management and staff	Board must establish a climate which is conducive to this objective; management and staff must adopt and actively support the objective.
Clear and appropriate job descriptions	Prior to recruitment the responsibilities, relationships and tasks need to be determined for each position.
A clear and achievable mission statement	The mission statement should be written at the time of the establishment of the organisation, and all parties involved in the organisation should have input. The mission statement must be written in a way that provides guidance for the structure and operating policies of the organisation.
<b>Scale 2: Good external links with government and community</b>	
The level of performance of government departments that work with community organisations	Determine the level of relevant knowledge and experience of the primary government agent the organisation works with, and take that factor into account when dealing with the agent. Establish working relationships with other government employees to help fill the gaps in knowledge of the primary agent.
Government departments' understanding of the difficulties faced by community organisations	Take every opportunity to keep government agents, their seniors, Members of Parliament, etc, aware of the difficulties faced by the community organisation.
There being sufficient volunteers to provide the help needed by community organisations	Maintain records and report on experiences in recruiting volunteers.
There being sufficient people with the appropriate skills and experience needed to run community organisations.	Maintain records and report on experiences in recruiting staff and volunteers. Ensure reports are made available to Board of community organisation and government departments on the recruitment and retention of staff.
<b>Scale 3: Overcoming funding insecurity</b>	
Managing staff burnout	Arrange for regular independent supervision for staff. Include employee welfare in the annual appraisal process. Monitor employee behaviour. Establish and maintain a climate of openness, support and respect within the organisation.
Alleviating funding uncertainty	Be frugal with expenditure; establish a savings sum equivalent to three months of the organisations' salary bill. Establish an annual operating budget. Record and monitor all items of income and expenditure actual against budget.
Securing adequate funding	Investigate, and continue to search for, all possible sources of funding. Protect any government contract held by the organisation by adhering to the contract.
Educating volunteers	Determine training needs of volunteers on recruitment. Assess and meet training needs of volunteers on an annual basis.

This model differs from that developed by Impact Consulting Business Psychologists (2007), as shown in Figure 2.1 (p.27) in a number of ways. For example, running a successful non-profit community organisation requires different priorities to that required in operating a commercial (for-profit) company. Impact Consulting Business Psychologists presented a model that prioritises corporate matters such as strategic planning and performance strategies. The pyramid model of organisational success is based on financial profit and performance (Flamholtz & Aksehiri, 2000). The results of my project demonstrate however, that community organisations prioritise human factors such as a safe and supportive working environment and clear lines of responsibility.

The methods of operation of the corporate (for-profit) and community organisation (non-profit) models also differ. The community organisation is concerned first with obtaining the funds to operate before they can provide a service. A corporate, on the other hand, is concerned with product manufacture and sales prior to later generating financial gain. Following their establishment the community organisation seeks to secure a contract for the upcoming year or contract period, whereas the corporate organisation provides the product or service first and invoices later.

Although both types of organisation are required to address similar institutional and human resource considerations in their operation, the results of my project reveal that the order of priority for each is different. In addition, community organisations now face a reduction in available funds as a result of the global economic recession, an economic crisis on a scale that has possibly never been confronted before. It is therefore even more imperative for community organisations to ensure strong strategies are in place to counter this. Coupled with this serious situation is the increased demand on community organisations as more people are rendered unemployed. Northland's unemployment rate continues to increase: the region now has the lowest number of people employed in New Zealand (63.7%), with the unemployment rate rising to 6.9% in March 2009—considerably higher than the national average of 4.5% (Department of Labour, 2009).

## 7.2. Conclusion

This project has explored the issues confronting non-profit community organisations delivering services in the areas of health and social services in Tai Tokerau (Northland), New Zealand. I believed that in identifying the factors contributing to the success of community organisations the project would assist community organisations to identify and overcome the difficulties they faced. The project had the intention of answering the research question: *What factors make a community organisation successful?*

There was statistical evidence that the health and social status of Northlanders was declining (Ministry of Social Development, 2001; Reti, 2004) so embarking on this project seemed timely. In contrast, Northland had a strong community work ethic (Child Youth and Family Service, 2002; Northland District Health Board, 2001a) and, on paper, an abundance of community organisations.

A lack of research into the non-profit community sector on an international level (Salamon & Sokolowski, 2000), New Zealand (Tennant et al., 2006) and more specifically, Northland-based research (Northland District Health Board, 2001b; Reti, 2004) influenced the decision to use a development design with four sequential phases (Greene et al., 1989). During the timeframe of the project, increasing levels of interest in the community sector have become evident (Cribb, 2005; Tennant et al., 2006).

The findings of this project demonstrate that understanding of the non-profit sector has, at best, been ‘muddled’ on international, national and regional levels.

Three systems limitations have been identified within New Zealand and Northland:

1. It is clear that mechanisms and inter-agency systems to monitor and account for the distribution of funds are inaccurate and incomplete.
2. There is no clearly defined way of measuring the success or lack of success of community organisations by outcomes.
3. Monitoring of the demographic distribution of community organisations is poor.

Community organisations in Northland are striving to overcome numerous difficulties but success is dependent on the leaders being aware of the pitfalls that can threaten success and learn how to avoid or overcome them. A lack of accurate understanding on behalf of service planners and funders means that community organisations are often believed to be effective and necessary when, in fact, the opposite may be true. This can prevent a coordinated approach. Inappropriate reporting systems can also mask poor performance and/or unscrupulous activities. Adverse publicity reflects poorly on the non-profit sectors both locally and nationally, and also undermines succeeding in the delivery of much-needed services.

The results of this project have shown that success for Northland community organisations depends on three main factors:

1. Having the ability and skills to build and maintain effective board, management and staff relationships.
2. Establishing and maintaining good external links with government and the community.
3. Managing funding insecurity.

Central to achieving maximum benefit from an organisation's human resources are the board, management and staff relationships. The main factors in establishing such relationships are clear lines of responsibility between governance, management and staff and developing clear role definitions that are supported by job descriptions. All these elements must be derived from the organisation's mission statement, values, goals and aims determined at the time of establishment of the organisation. It is crucial that everyone involved with the organisation understands, agrees and uses these founding documents. Such clarity and congruence encourages a working environment which is safe, open and based upon mutual respect. Developing a positive workplace culture encourages cooperative development of systems to identify and meet training needs, providing opportunities for staff development, and improving recruitment and retention.

## **7.3. Recommendations**

The following recommendations have arisen from this project.

### **7.3.1 Improve external links with government and community**

This can be achieved by:

1. Developing the current systems and criteria of monitoring and reporting on both service delivery and financial activity to a more appropriate format which provides the “complete picture”.
2. Removing inter-agency gaps to encourage transparency, improve understanding and information flow.
3. Increasing the level of contact between providers and funders to promote a better understanding of each other’s concerns, aims and difficulties.

Establishing and maintaining good external links with government and the community based on mutual trust are other key factors in organisational success. Success cannot be achieved without an improvement in the way funding organisations understand the working of non-profit community organisations. Government funders need to support community organisations rather than undermining innovative community initiatives that meet a genuine community need. Community organisations should not be limited to the funders’ vision of what they think the community needs. It takes many years to understand the needs of a community and the committed efforts of determined community-minded citizens to improve a community’s situation. Finding and training volunteers is of growing concern. Their terms of employment are complex. They are entitled by law to all the terms and conditions of paid employees. Volunteers also need to know that they are valued, and to be kept up to date with new requirements and trends. In addition, community organisations need to improve their understanding of the government’s expectations of them.

### **7.3.2 Reduce funding insecurity**

Strategies which will help reduce funding insecurity include:

1. Improving the community needs analysis and level of understanding on behalf of funders through effective consultation with community organisations.
2. Devising a component in contract funding levels that recognises the ramifications of employing and training volunteers.

Overcoming funding insecurity is an ongoing issue for community organisations and this is unlikely to change. Remaining solvent and alleviating the uncertainty of future funding is a major challenge. Safeguards for community organisations include the careful planning of all aspects of the organisation's operation, including finances. The introduction of systems that monitor and report on income and expenditure on a regular basis and respond to the results of the monitoring process is essential.

### **7.3.3 Improve government reporting systems**

Developing relevant and meaningful government reporting systems requires:

- Outcome measurements that accurately record the improvements in client wellbeing that result from interventions by the community organisation.
- Processes that allow for the transparent flow of information between government departments and community organisations.

The government also needs to consider the following in relation to the funding of community services:

- the effects of inflation on community organisations;
- the declining numbers of volunteers in the community;
- the need for more certainty about the mid- to long-term future of funding, to enable community organisations to better plan and provide longer-term opportunities to staff;
- the increasing number and complexity of the problems presented by clients;
- matching government contracting/reporting requirements with community needs; and
- the declining state of world economies.



## 7.4 Further research

This project has uncovered areas that require further investigation. Further research is required to develop:

- Measurable, standardised and outcome-based reporting processes that accurately and easily inform planners, decision makers and researchers.
- A data storage system that accounts for non-profit funding distribution and provides information that is accessible across sectors, up-to-date and complete.
- A contact database system that is regularly updated and which improves public awareness of, and access to community organisations.
- A genuine commitment to the closer alignment of the interests of government and the defined needs of the community.
- A method that identifies and addresses the gaps in the relationship between the government funders and the community sector.
- A rigorous but less complicated legal registration structure for trusts and incorporated societies including one that better accommodates the uniqueness of Māori (Horomia, 2007).

In summary, this chapter has identified factors for success articulated by community organisations in Northland. I have discussed the project findings and compared them with the literature reviewed in the earlier chapters and with current practice. Having considered the limitations of the project, the final chapter, Chapter 7, integrates the factors for success within the Impact Model of Organisational Success previously outlined in Figure 2.2 (p. 27).

The findings of this project have identified many factors which, if understood and acted upon by individuals establishing a community organisation or who are already involved in community based service provision, will greatly improve their likelihood of success. It is of no surprise that many of the findings could be equally applied to the for-profit sector with the same result, because nowadays there are similarities in the way that the two sectors operate.

Success for Northland community organisations depends on combining good business practice with the innovation and care needed to meet clearly defined community needs. To achieve this, funding must be more adequate, flexible and sustainable. Monitoring and support are also essential if organisations are to succeed. Communities must be empowered to look after themselves. The current economic crisis makes this even more critical. In the words of kaumatua Hemara Hemara:

Rapua te huarahi whanui,  
hei ara whakapiri  
monga iwi katoa  
i runga ite whakaaro kotahi.

Seek the broad highway,  
that will unite  
the people as one  
towards a common goal.

Hemara Hemara (Lofty), Hikurangi, 28<sup>th</sup> July, 1993

## Glossary of Māori Terms

<b>Awhi</b>	‘Awhi mai awhi atu’ literally meaning to be embraced, and to embrace. Suggests reciprocity as well as support.
<b>Cultural Appropriateness</b>	Provides a set of rules and values based on trust that guide the way an individual, group or community’s world is interpreted and experienced. For community organisations it revolves around providing services in a manner that acknowledges and reflects the ethnicity of a client.
<b>Hapu</b>	Sub-tribe, section of a large tribe, clan, secondary tribe.
<b>Hui</b>	Gathering, meeting, assembly or group. To congregate or meet.
<b>Iwi</b>	Tribe, race, people, nation.
<b>Kai</b>	Food, meal together.
<b>Kaumātua</b>	Respected tribal elders, of either gender, in a Māori community.
<b>Kaupapa Māori</b>	Māori philosophy
<b>Kuia</b>	Female elder.
<b>Rangahau</b>	Research
<b>Rohe</b>	Margin, boundary, territory, enclose.
<b>Te Tangata</b>	The people
<b>Tika</b>	Appropriate behaviour
<b>Waka</b>	Māori Canoe, belonging
<b>Whanau</b>	Nuclear family (ake), extended family (tia), offspring, family group.

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## Appendices

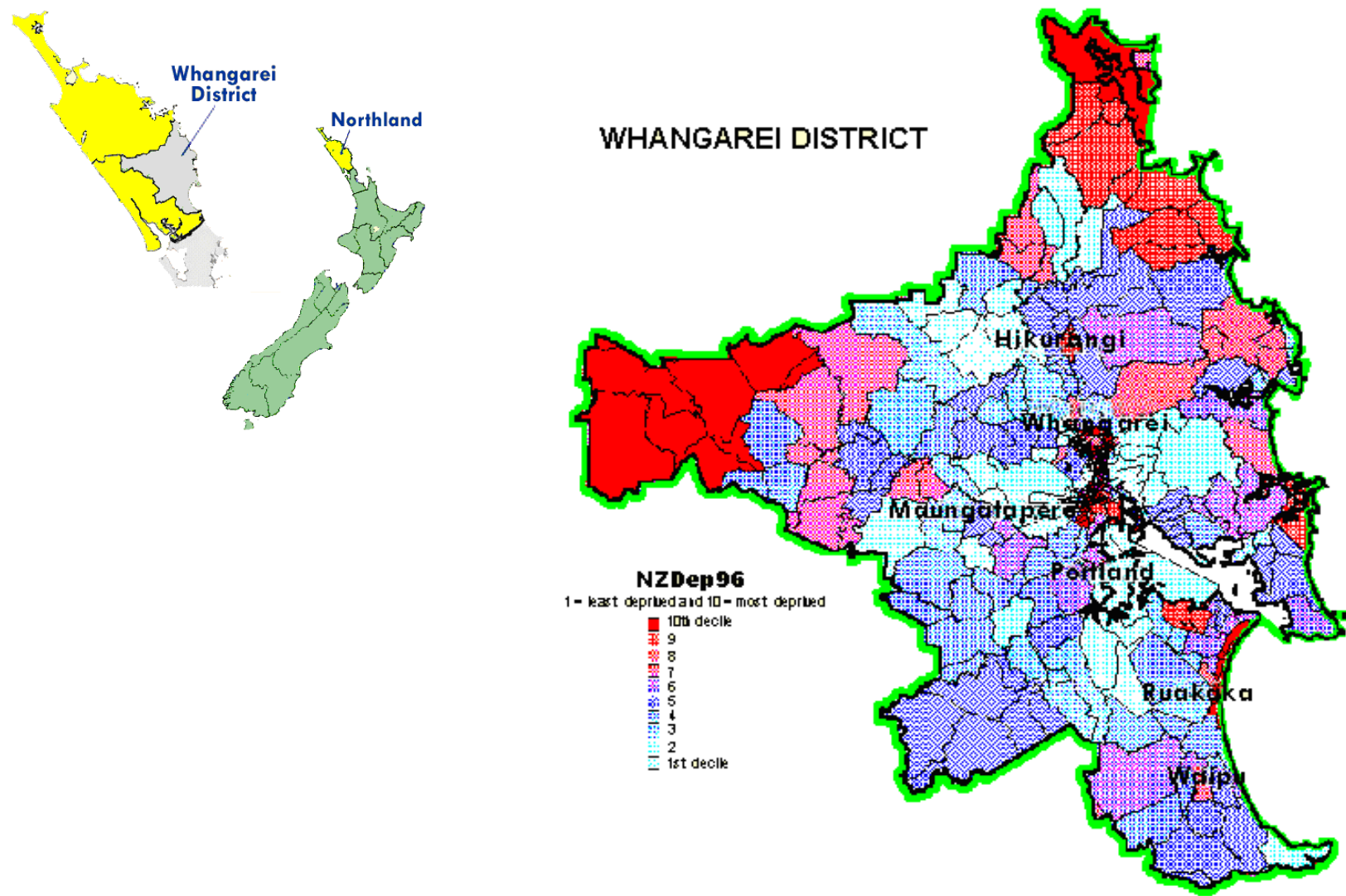
## Appendix A: Maps of Deprivation, Northland

The New Zealand Deprivation Index 1996 (NZDep96) is an index of deprivation for small rural areas. Deprivation is displayed as deciles, from 1 to 10, where the 10th decile identifies the most deprived 10% of New Zealand small areas (Safer Northland, Whangarei District Council, 2005).

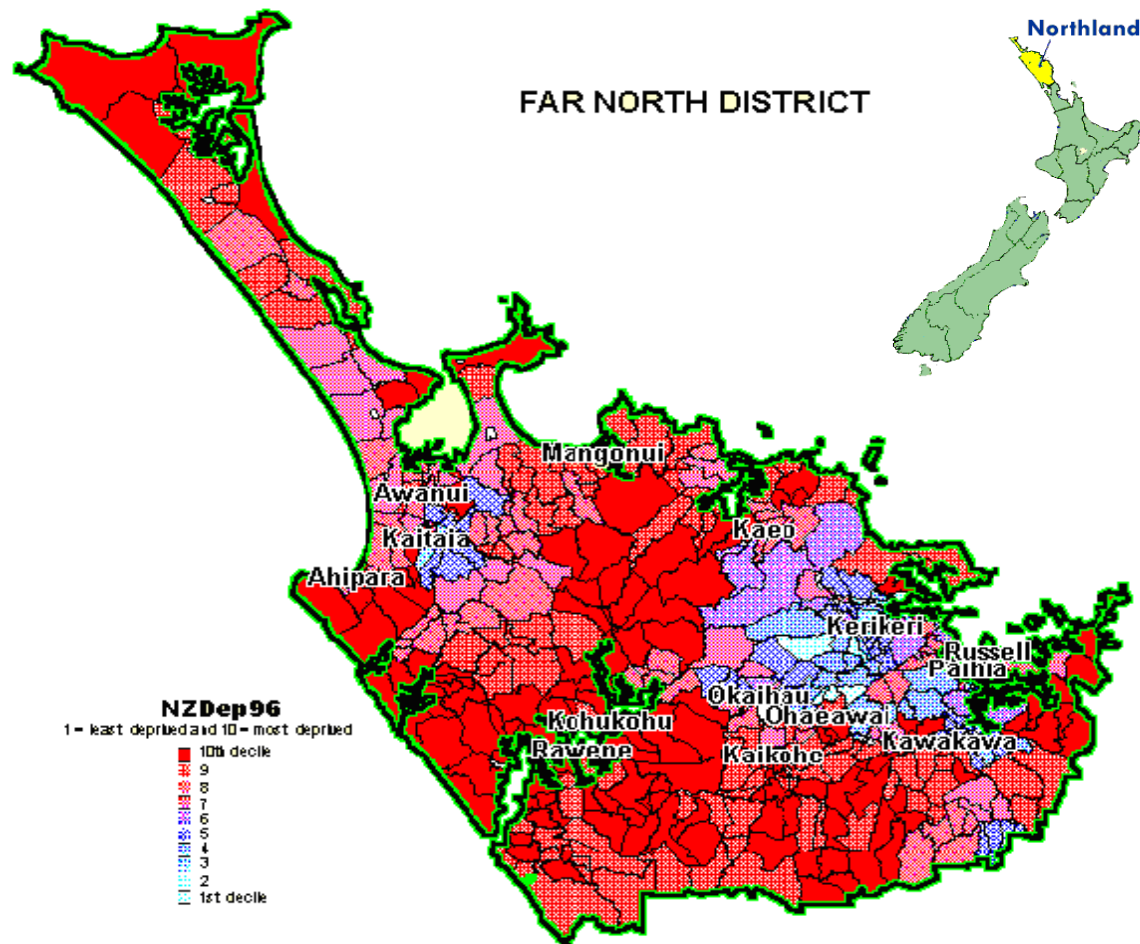
Maps of Deprivation, Whangarei

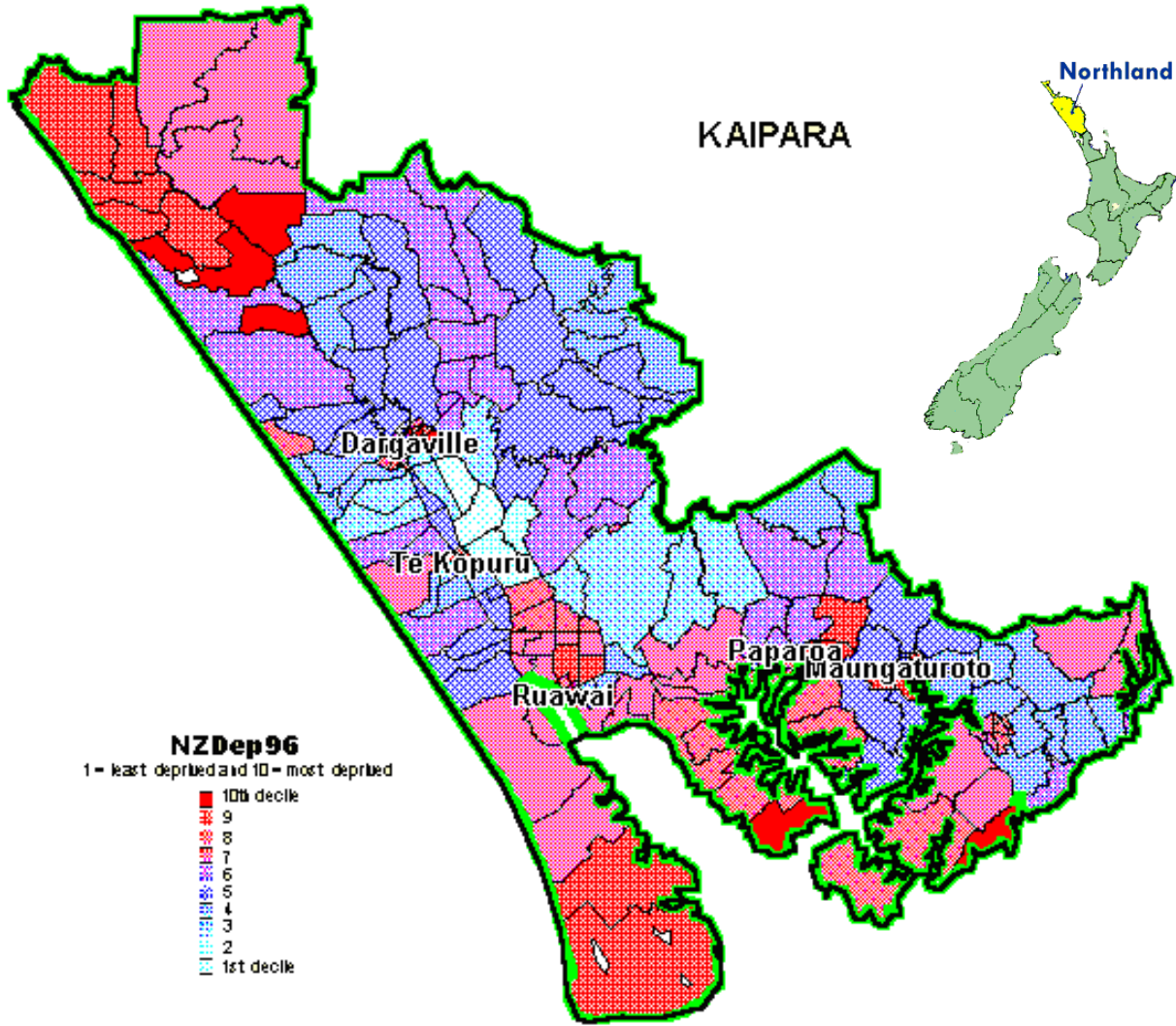
Maps of Deprivation, the Far North District

Maps of Deprivation, the Kaipara



New Zealand Deprivation Index 1996 – Maps of Deprivation, the Far North





## Appendix B: Letters of Support

= To Whom it May Concern.  
In Regards to Tina Darkin.  
Tena Koutou E Nga Hau E Wha =

I write this letter with special feelings and regards for someone who is very deserving of my support and with her working within our Community and her studies with her P.H.D. it will be a benefit to Northland Community Organisations.

Previously when Tina was still working within the District and out lying areas she put a Project together as the Kua-Kaumautua Project and which our Organisation Pa-o-Te-Ora Charitable Trust has now put into place but now referred to as Older Peoples Forum and has been on board since October 2004.

And we thank her very much for the work she had put into this.

With your many talents that will always be within your hands my dear you have my blessings and all the best with your Studies and I know Northland will benefit from your success.

Kia Kaha - Kia Maia - Kia Manawanui -  
Be Strong - Be Humble - Be very Humble -  
No reira noho ora Mai -

Nga manaakitanga Kia Koe - to Rangatira me to Whanau

May the Blessings be with you Joe and your Family -  
Kia Ora

Harriata Taylor - Trustee - Pa-o-Te-Ora -  
Secretary - Whaka-Hiku - Maori Komiti

H. Taylor - 1-6-05.





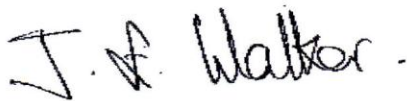
17 June 2005

**To The Regional Ethics Committee:**

Tena koutou i runga i te ahuatanga o te ra. He mihi mahana ki a koutou. Awhi mai, awhi atu i nga wa katoa.

This is a letter of support for Tina Darkins and her PHD research project for Te Tai Tokerau region. It has tremendous benefit for all of the community organisations up North, especially the Maori organisations. Tina's proverb "turning innovation into reality" sums up her attitude to life - it's about giving it a go. As part of my role as Regional Relationships Manager, Family and Community Services for the Ministry of Social Development, I see Tina's work pivotal to our Local Services Mapping kaupapa that we have planned for Te Tai Tokerau area. If you require any more information don't hesitate to contact me.

no reira,  
naku noa



Na Jock Walker  
Regional Relationship Manager  
Family and Community Services  
Private Bag 68911  
Newton  
Auckland  
Mobile 029 2006652 or 09 9161845

## Appendix C: Participant Information Sheet and Consent for Participation in Research

### Phase 2 Participant Information Sheet



Greetings, Kia ora,

My name is Tina Darkins. I am a PhD student at the Auckland University of Technology (AUT) and I am undertaking research into the difficulties facing community organisations in Northland.

Please read the following information and decide if you would like to participate in this research.

#### Project Title

An Evaluation of Four Community Service Organisations in Tai Tokerau (Northland), New Zealand.

#### Invitation

To key members of Northland community organisations to

1. Participate in one-to-one interviews, which will be approximately one hour in length with an aim to gather information on the successes and difficulties experienced by their organisations.
2. To consent to allow a discussion with their key organisational referral networks i.e. the organisations that refer clients to your organisation and the organisations that you refer clients to. The purpose of these discussions is to obtain an external perspective of the experiences of the subject organisation.

#### Purpose of the Study

To gather information with the aim of answering the following 5 interview questions:

1. What are/were the most significant ongoing internal difficulties confronting your community organisation?
2. What actions are/were taken by your community organisation to successfully overcome these internal difficulties?
3. What are/were the most significant ongoing external difficulties confronting your community organisation?
4. What actions are/were taken by your community organisation to successfully overcome these external difficulties?
5. What are/were the most significant factors which you believe contribute to the success of your organisation?

**How is an organisation chosen to be asked to be part of the study?**

1. Key members of 4 selected Northland organisations will be invited to participate in the interview part of the study. Selection of the 4 organisations will be on the basis of the following criteria :1 urban, 3 rural (2 operating, 2 no longer operating ).
2. Public records will be used to assist in the identification of potential applicants/ representatives of disestablished organisations.
3. Every community organisation in Northland will have the opportunity to complete and return a subsequent mail questionnaire

**What are the discomforts and risks?**

There is the possibility that you may feel some emotional discomfort when discussing any difficulties experienced in your organisation. Assistance, in the form of individual counselling can be made available to you through AUT for discomfort directly related to the interview.

**What are the benefits?**

The information you provide may help existing and new organisations in Northland to better counteract or avoid the problems that your organisation experienced.

**What compensation is available for injury or negligence?**

This study is not an ACC covered study, however normal ACC cover as a private individual may apply in certain circumstances accessed through your General Practitioner. For further information the ACC Website is: [www.acc.co.nz](http://www.acc.co.nz)

**How is my privacy protected?**

All information will be kept confidential and all data is presented as collective data only. Reports of research findings will not identify individuals or their organisation.

Names and other identifying details will not be published in the final report.

The consent forms and demographic details will be stored in a locked cupboard at AUT in the care of the supervisor and will be destroyed, by shredding, after 5 years.

Participants may view their own interview transcript on request.

**Costs of Participating**

The participants of the programme will incur no cost other than their time which in this phase of the study is a one hour interview.

**Opportunity to consider invitation**

Each prospective participant will be given the opportunity to consider informed consent prior to participation. You can withdraw from the study at anytime prior to completion of data collection.

### Participant Concerns

#### IMPORTANT NOTICE

Any concerns regarding the nature of this project should be notified in the first instance to:

Dr Deb Spence  
Project Supervisor  
C/- School of Nursing and Midwifery  
Auckland University of Technology  
P O Box 92006 Auckland  
Phone: 09-921 9999 Extn 7844.  
Email:deb.spence@aut.ac.nz.

If you have any queries or concerns regarding your rights as a participant in this study, you may wish to contact a Health and Disability Advocate: Phone 0800 555 050 (Northland to Franklin)

This study has received ethical approval from the Northern X Ethics Committee. #2  
21/07/05

**Phase 2**  
**Consent for Participation in**  
**Research**



PARTICIPANT COPY

<b>Title of Project:</b>	An Evaluation of Four Community Organisations in Tai Tokerau (Northland), New Zealand.
<b>Project Supervisor:</b>	Dr Deb Spence
<b>Researcher:</b>	C.L. (Tina) Darkins

Please tick box to indicate agreement:

- ☐ I have read and understood the information provided about this research project.
- ☐ I have had an opportunity to ask questions and to have them answered.
- ☐ I understand that my name will not be associated with this research.
- ☐ I understand that the interview will be audio-taped and transcribed.
- ☐ I understand that I may withdraw myself or any information that I have provided for this project at any time prior to completion of data collection, without being disadvantaged in any way.
- ☐ If I withdraw, I understand that all relevant tapes and transcripts, or parts thereof, will be destroyed on my request.
- ☐ The research study will be available to you the participant after the study ends at no cost.
- ☐ I agree to take part in this research.

Participant name:

Date:

-----

Participant signature:

-----

**IMPORTANT NOTICE**

Any concerns regarding the nature of this project should be notified in the first instance to:

Dr Deb Spence  
Project Supervisor  
C/- School of Nursing and Midwifery  
Auckland University of Technology  
P O Box 92006 Auckland  
Phone: 09-921 9999 Extn 7844  
Email:deb.spence@aut.ac.nz

If you have any queries or concerns regarding your rights as a participant in this study, you may wish to contact a Health and Disability Advocate: Phone 0800 555 050 (Northland to Franklin)

This phase of the study has received ethical approval from the Northern X Ethics Committee. PIS/Cons #2, 21/07/05.

## Appendix D: Participant Letter of Information and Confidentiality

### Phase 3 Participant Letter of Information and Confidentiality



Greetings, Kia ora,

My name is Tina Darkins. I am a PhD student at the Auckland University of Technology (AUT) and I am undertaking research into the difficulties facing community organisations in Northland. This is part of a PhD qualification.

I have developed a questionnaire which I have sent to you and a random sample of other community organisations in Northland.

Please read the following information and decide if you would like to participate in this research by answering the questions attached and returning the completed questionnaire by return email to the email address: [tina.darkins@xtra.co.nz](mailto:tina.darkins@xtra.co.nz) or by post ASAP and at least by Sept 10th 2006. Postal Address: 100 Pigs Head Rd, RD4 Hikurangi, Northland

#### **Research Project**

An Evaluation of Community Service Organisations in Tai Tokerau (Northland), New Zealand.

#### **Invitation**

Key members of Northland's community organisations have been randomly selected and invited to complete and return the attached questionnaire. The purpose of the questionnaire is to measure the degree to which you agree or disagree with a series of statements. Your answers will contribute to research into the factors that make a community organisation successful and the difficulties they face. Please complete this email version of the questionnaire attached and email back to me at [tina.darkins@xtra.co.nz](mailto:tina.darkins@xtra.co.nz).

#### **Assurance of anonymity**

The confidentiality of your completed questionnaire is assured because each is number coded and will not have your name or the name of your organisation on it. No one other than the researcher will have access to this coding system.

**Eligibility to enter draw for a prize**

The number code enables all questionnaires completed and returned by the date above to be eligible to be drawn for a prize. The prize is a GIFT BASKET worth \$300 from Whitcoulls, Whangarei.

**How is my privacy protected?**

All information will be kept confidential. Research findings will be reported collectively and will not identify individuals or their organisation.

Names and other identifying details will not be published in the final report.

Completed questionnaires and demographic details will be stored in a locked cupboard at the Auckland University of Technology (AUT) in the care of the supervisor and will be destroyed, by shredding, after 5 years.

**How is an organisation chosen to be asked to be part of the study?**

Every community organisation in Northland that delivers services in the areas of health and social services will have the opportunity to be part of the random selection and complete and return the mail questionnaire.

**What are the discomforts and risks?**

There is the possibility that you may feel some emotional discomfort when recalling difficulties experienced your organisation may have experienced. Assistance in the form of individual counselling can be made available to you through AUT for discomfort directly related to your participation in this research.

**What are the benefits?**

The information you provide may help people in existing and new organisations to work through and / or avoid the difficulties highlighted in the survey.

**What compensation is available for injury or negligence?**

This study is not an ACC covered study, however normal ACC cover as a private individual may apply in certain circumstances accessed through your General Practitioner. For further information the ACC Website is: [www.acc.co.nz](http://www.acc.co.nz).

**Costs of Participating**

The participants of the programme will incur no cost other than their time in completing the questionnaire.



**Participant Concerns**

**IMPORTANT NOTICE**

Any concerns regarding the nature of this project should be notified in the first instance to:

Dr Deb Spence  
Project Supervisor  
C/- School of Nursing and Midwifery  
Auckland University of Technology  
P O Box 92006 Auckland  
Phone: 09-921 9999 Extn 7844  
Email:deb.spence@aut.ac.nz

If you have any queries or concerns regarding your rights as a participant in this study, you may wish to contact a Health and Disability Advocate: Phone 0800 555 050 (Northland to Franklin)

This phase of the study has received ethical approval from the Northern X Ethics Committee. NORTHERN X REGIONAL ETHICS NTX/06/050/044 V#2, 11/05/06.

## Appendix E: Ethics Approval



Northern X Regional Ethics Committee  
Ministry of Health  
3rd Floor, Unilever Building  
650 Great South Road, Penrose  
Private Bag 92 022  
Auckland  
Phone (09) 580 9105  
Fax (09) 580 9001

e-mail: [pai\\_chailey@moh.govt.nz](mailto:pai_chailey@moh.govt.nz)

9 August 2005.

Ms Tina Danks  
100 Pigs Head Rd  
RD 4  
Hikurangi

Dear Tina,

NTX/05/07/081      An evaluation of 4 community service organisations in Tai Tokerau  
(Northland) New Zealand: PIS/Cons V#2, 21/07/05

Thank you for your amendments, received 3 August 2005

The above study has been given ethical approval by Northern X Ethics Committee for the Northern Region.

It should be noted that Ethics Committee approval does not imply any resource commitment or administrative facilitation by any healthcare provider, within whose facility the research is to be carried out. Where applicable, authority for this must be obtained separately from the appropriate manager within the organisation.

### Certification

It is certified as not being conducted principally for the benefit of the manufacturer or distributor and may be considered for coverage under ACC.

### Accreditation

This Committee is accredited by the Health Research Council and is constituted and operates in accordance with the Operational Standard for Ethics Committees, March 2002.

### Documents Approved:

- Information Sheet/Consent Form V#2, 21/07/05

### Progress Reports

The study is approved until 30 December 2007 but is subject to annual review. A progress report is required for this study by 9 August 2006.

A form should come off our database requesting this information two months prior to the review date but if a form is not received, it is still your responsibility to provide a progress report and this may be obtained from the website below. Please note that failure to complete and return this form may result in the withdrawal of ethical approval.

...../2

Please advise the Committee when the study is completed and under the ethical approval process, final report is also required at the conclusion of the study.

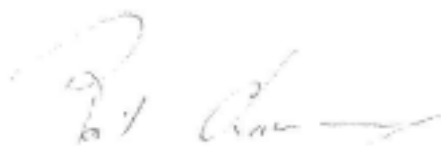
**Requirements for SAE Reporting**

Please advise the Committee as soon as possible if there are any serious adverse events that may relate to this study.

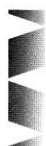
**General:**

All amendments to the study must be advised to the Committee prior to their implementation, except in the case where immediate implementation is required for reasons of safety. In such cases the Committee must be notified as soon as possible of the change.

Yours sincerely,

A handwritten signature in dark ink, appearing to read 'Pat Chainey', with a horizontal line extending to the right.

**Pat Chainey**  
**Administrator, Northern X Committee**

 **Health  
and  
Disability  
Ethics  
Committees**  
e-mail: [pat\\_chailey@moh.govt.nz](mailto:pat_chailey@moh.govt.nz)

**Northern X Regional Ethics Committee**

Ministry of Health  
3<sup>rd</sup> Floor, Unisys Building  
650 Great South Road, Penrose  
Private Bag 92 522  
Wellesley Street, Auckland  
Phone (09) 580 9105  
Fax (09) 580 9001

28 June 2006.

Ms Christine Darkins  
100 Pigs Head Rd  
RD 4  
**Hikurangi.**

Dear Tina,

**NTX/06/050/044      An evaluation of the factors that determine success and difficulty  
within 4 community service organisations in Tai Tokerau  
(Northland) New Zealand: PIS/Cons V#2, 11/05/06**

Principal Investigator: Ms Christine Darkins  
Supervisor: Dr Deb Spence, AUT

Thank you for your final amendments, received 25 May and 26 June 2006.

The above study has been given ethical approval by Northern X Ethics Committee for the Northern Region. A list of members of this Committee is attached.

**Approved Documents:**

- Information Sheet/Consent Form V#2, 11/05/06.

**Certification**

The Committee is satisfied that this study is not being conducted principally for the benefit of the manufacturer or distributor and may be considered for coverage under ACC.

**Accreditation**

This Committee involved in the approval of this study is approved by the Health Research Council and is constituted and operates in accordance with the Operational Standard for Ethics Committees, March 2002.

**Progress Reports**

The study is approved until XX. However the study is subject to annual review and the Committee will notify the Primary Investigator if it withdraws approval. A progress report is required for this study on XX 2007.

A form should come off our database requesting this information two months prior to the review date but if a form is not received, it is still your responsibility to provide a progress report and this may be obtained from the website below. Please note that failure to complete and return this form may result in the withdrawal of ethical approval.

...../2

Please advise the Committee when the study is completed and under the ethical approval process, final report is also required at the conclusion of the study.

**Requirements for SAE Reporting**

Please advise the Committee as soon as possible if there are any serious adverse events that may relate to this study.

**General:**

All amendments to the study must be advised to the Committee prior to their implementation, except in the case where immediate implementation is required for reasons of safety. In such cases the Committee must be notified as soon as possible of the change.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Pat Chainey', written over a horizontal dashed line.

**Pat Chainey**  
**Administrator, Northern X Committee**



and  
Disability  
Ethics  
Committees

Ministry of Health  
3<sup>rd</sup> Floor, Unisys Building  
650 Great South Road, Penrose  
Private Bag 92 522  
Wellesley Street, Auckland  
Phone (09) 580 9105  
Fax (09) 580 9001

4 May 2007

*[laura\\_neal@moh.govt.nz](mailto:laura_neal@moh.govt.nz)*

Ms Tina Darkins  
100 Pigs Head Rd  
RD 4  
Hikurangi

Dear Tina

**NTX/06/05/044**

**An evaluation of the factors that determine success and difficulty  
within 4 community service organisations in Tai Tokerau (Northland)  
New Zealand: PIS/Cons V#2, 11/05/06**

Principal Investigator: Ms Tina Darkins.  
Supervisor: Ms Deb Spence.

Thank you for your progress report, received 4 May 2007.

The study has received ongoing ethical approval for the next twelve months from the Chairperson of Northern X Ethics Committee. The next progress report is **due 28 June 2008**.

It should be noted that Ethics Committee approval does not imply any resource commitment or administrative facilitation by any healthcare provider, within whose facility the research is to be carried out. Where applicable, authority for this must be obtained separately from the appropriate manager within the organisation.

Please note that progress reports are the responsibility of the researcher and if one does not come off our database then the report is to be found on the website below. Please complete promptly to ensure ethical approval is continued.

It would be appreciated if we were advised when the study is completed and also that an End of Study Report is sent promptly after completion in order to close and archive the file. We have limited space.

Yours sincerely,

**Laura Neal**  
Assistant Administrator, Northern X Ethics Committee

## Appendix F: Responses from Phase 2 Interviews

The following tables contain the main themes that emerged for each respondent group. These themes were counted, summarised and categorised under board members, management and staff. Priority order was determined by the number of times the theme was introduced during the interviews and the degree of emphasis placed upon it by the interviewees. The codes for interview types are as follows:

- SSRS - Successful, Small Rural, opened 5 + years ago, Social
- FLRH - Failed, Large Rural, closed after 4 years of operation, Health
- SLUH - Successful, Large Urban, opened 5+ years ago, Health
- FSRS – Failed, Small Rural, closed after 3 years of operation, Social.

Main themes from board member interview responses (10)	
Theme headings developed from responses	Summary of significant interviewee statements
1. The need to ensure security of funding on an ongoing basis	<ul style="list-style-type: none"> <li>• Ensuring sufficient funds are available to employ qualified, professional staff is an ongoing issue for us and this put a strain on the sustainability of our community organisation (FLRH).</li> <li>• Securing funds to keep our services operating is our constant battle (SSRS).</li> <li>• Funding is always difficult to get, we often have multiple funding sources to make sure we have sufficient capital year by year (SSRS).</li> <li>• More and more organisations were competing for the same, unchanged pot of money (FSRS).</li> <li>• Finding ways to cope with rising costs versus an almost stagnant level of income is very hard (FSRS).</li> <li>• Competition for funding from larger better resourced organisations was always a threat to us (FSRS).</li> <li>• The additional costs incurred in operating in a rural setting were not always acknowledged by the Ministry of Health (our main funder) (FLRH)</li> <li>• We were constantly under-resourced so everything we did took that much more effort and commitment from staff (FSRS).</li> <li>• Funding insecurity was our ongoing nemesis (FSRS).</li> <li>• A disproportionate amount of time had to be spent chasing funding (FSRS).</li> <li>• The limited amount of money we get to work with is a constant worry (SSRS).</li> </ul>
2. The recruitment and retainment of appropriate staff and volunteers	<ul style="list-style-type: none"> <li>• Attracting skilled staff was an issue as our rates of pay were far from the best (FSRS).</li> <li>• We always risked losing staff as we couldn't compete with the for-profit sector rates of pay (SLUH).</li> <li>• We were lucky to find skilled committed people for key positions but it is not easy to keep them when there is more money available in the for-profit sector (SLUH).</li> <li>• Keeping good staff was not easy (FLRH).</li> <li>• It is difficult to find appropriately qualified and knowledgeable volunteers for the board (SSRS).</li> <li>• Finding the right people to join and stay with the board was a problem (FSRS).</li> <li>• The board chose inappropriate managers and then failed to deal with the problems created by their actions (FLRH).</li> </ul>
3. Effective communication within the organisation	<ul style="list-style-type: none"> <li>• There was a lack of clarity around the roles and responsibilities within the organisation and this caused a lack of accountability and job efficiency (FLRH).</li> <li>• Good internal communication contributed to transparency and trust within the organisation (SSRS).</li> <li>• A good understanding of the difference between governance and management by the board helped things run smoothly. There are courses available now-a-days to support this learning (SLUH).</li> </ul>

Main themes from board member interview responses (10)	
Theme headings developed from responses	Summary of significant interviewee statements
	<ul style="list-style-type: none"> <li>• The manager keeps the Board informed about how things are going, if we need to tighten our belts or if there's something going on that we should know about we hear about it (SLUH).</li> <li>• There is a written report on the critical areas of the organisation at each meeting. This keeps the board informed and involved (SSRS).</li> </ul>
4. Maintaining good staff/management/board relations	<ul style="list-style-type: none"> <li>• There was confusion between the board and management around their respective roles; it became an "arm wrestle" with no winners (FLRH).</li> <li>• The organisation imploded because no-one would work together effectively because there was no leadership from those in authority (FLRH).</li> <li>• Over time our board and the management became on the same wavelength which helped our success (SSRS).</li> <li>• The ever increasing workload causes stress from time to time (SSRS)</li> <li>• There was a lack of understanding of the role of governance by some Board members therefore they saw fit to interfere in the daily running of the organisation (FLRH)</li> <li>• Management representation on the board caused a conflict of interest because the manager overstepped his boundaries (FLRH).</li> </ul>
5. Meeting all the requirements of cultural sensitivity	<ul style="list-style-type: none"> <li>• A culture of respect both between staff, management and with the clients helps with community profile, and in setting up a sound internal support network (SSRS).</li> <li>• Nepotism led to abuse of positions. Family and friends were employed just for the sake of it (FLRH).</li> <li>• Getting staff to understand what is meant by working culturally appropriately and working accordingly is key (SSRS).</li> <li>• Deciding where the organisation fits culturally was a problem initially but we worked it out (SLUH).</li> <li>• For us there was a conflict between Māori kaupapa and government contract requirements (FSRS).</li> <li>• The Māori way of working did not fit with the Pakeha contracting requirements (FSRS).</li> <li>• The organisation got away with a lot because of the fear of not being "PC" by government departments (SLUH).</li> </ul>
6. Meeting the challenges of the organisation's growth	<ul style="list-style-type: none"> <li>• Some organisations grow too fast and over- commit themselves. We have consciously limited our rate of growth (SSRS).</li> <li>• Managing the growth of our organisation to avoid instability and finding the money to keep operating was a major issue (FSRS).</li> </ul>
7. Carrying out regular organisational reviews	<ul style="list-style-type: none"> <li>• Establishing a fixed timeframe for the reviewing of our policies and procedures was an essential, as was including all staff in the reviews (SLUH).</li> <li>• Having effective policies and procedures and reviewing them on a regular basis encouraged staff buy in (SSRS).</li> <li>• Clear, achievable benchmarks for staff performance were introduced following consultation (SSRS).</li> <li>• Old policies and procedures were reviewed and updated. They made more sense after that, they were helpful. New ones were introduced to reflect the changes that had occurred with growth of our organisation (SLUH).</li> </ul>
8. Retaining a focus on the mission or vision of the organisation	<ul style="list-style-type: none"> <li>• Setting achievable and relevant goals for staff contributes hugely to success and we do this well as an organisation now (SLUH).</li> <li>• A board must continually ask itself "How do you position yourself as an organisation?" To do this we constantly remind ourselves to stick to the vision of organisations founders which are to ask ourselves "what do our clients want and need to improve their life status?" How can we make a positive difference in the community? (SSRS).</li> <li>• There was a failure to get back to the original aim of the organisation- it had lost its way and become hijacked....really (FLRH).</li> </ul>
9. Effective networking with funders and other agencies	<ul style="list-style-type: none"> <li>• Keeping our funders happy and networking with other organisations was our weakness and eventually this left us isolated and ineffective (FSRS).</li> <li>• Staying vibrant and energetic in the face of uncertainty created by constant government focus changes is a huge and ongoing challenge (SSRS).</li> <li>• The way that funding was structured encouraged competitiveness between community organisations, not a climate of working together (SSRS).</li> <li>• Reporting was a priority for the Board and efficient internal and external systems</li> </ul>



Main themes from board member interview responses (10)	
Theme headings developed from responses	Summary of significant interviewee statements
	<p>were put in place (SLUH).</p> <ul style="list-style-type: none"> <li>• Lack of support from government departments makes hard work even harder (FLRH).</li> <li>• Changing government priorities means we are unable to settle on one direction with certainty for any length of time (FSRS).</li> <li>• Rural communities have had to become more and more self-reliant. This has put pressure on community organisations, they are sometimes expected to be all things to all people, and that's not practical (SSRS).</li> <li>• The people who need our help most are those who can least afford to support themselves financially. ...but their problems are becoming more complex and demanding on the service, there is no acknowledgement of that fact from government departments (SLUH).</li> <li>• It is hard for rurally based organisations to retain a close working relationship with funders (government departments) because they are far away and never come to see us (FSRS).</li> <li>• Government funder internal problems have a negative effect on our work (FSRS).</li> <li>• Client problems are becoming more complicated (SSRS).</li> <li>• The performance of overworked and inexperienced government staff impacts negatively on us (SSRS).</li> <li>• The government contracts were very restrictive- they were all about numbers not about what difference our service had made to clients lives (FSRS).</li> <li>• Our organisation failed to meet contractual targets (FLRH).</li> <li>• Staying "in the face" of government departments so they don't forget you. This is difficult because of their staff turnover (SSRS).</li> <li>• Government departments don't acknowledge good work when community organisations do it. But you get used to it (SSRS).</li> <li>• We decided to produce a leaflet about our organisation and we gave them to the government staff on a regular basis so that they knew we were out there (SSRS).</li> </ul>
10. Good financial management by the organisation.	<ul style="list-style-type: none"> <li>• Avoiding buying into competitiveness with other organisations and stick to the core work is important (SLUH).</li> <li>• Flawed financial monitoring systems led to abuse of position by some managers and indeed some board members (FLRH).</li> <li>• The funders had a hugely different expectation of our contractual obligations than our manager did (FSRS).</li> <li>• Poor reporting process affected accountability (FLRH).</li> <li>• We established very tight control of our costs and expenditure (SLUH).</li> <li>• The financial reporting was inadequate and did not allow the board to keep a close eye on things (FLRH).</li> <li>• Flawed and inappropriate processes for accounting for funding opened up the opportunity for misappropriation of funds (FLRH).</li> </ul>

Main themes from management interview responses (17)	
Theme headings developed from responses	Summary of significant interviewee statements
1. Maintaining good staff/board/management relations	<ul style="list-style-type: none"> <li>• Keeping clarity around individual roles and responsibilities is essential in avoiding problems (SLUH).</li> <li>• Problems between staff members being left unresolved helped our demise (FSRS).</li> <li>• An over-restrictive board attitude that obstructed external contacts by staff prevented us from being effective in our jobs and within the community. An organisation cannot be viable without trust (FLRH).</li> <li>• Getting the Board to understand its role of governance is sometimes difficult but needs working at. We must remember that they are volunteers (SLUH).</li> <li>• There was a lack of accountability among senior management and the Board (FLRH).</li> <li>• Appointing a Board that is dedicated to the goals and aims of the organisation and be aware of the need to change is important (SLUH).</li> <li>• Some members of the Board lost interest very quickly- there was little commitment really despite promises at the beginning (FSRS)</li> </ul>

Main themes from management interview responses (17)	
Theme headings developed from responses	Summary of significant interviewee statements
	<ul style="list-style-type: none"> <li>• Most Board members did not maintain a sufficiently close interest in the workings of the Trust, and as a result the task of governance fell upon 2 or 3 people who became overloaded (FSRS).</li> <li>• Inappropriate people were recruited onto the Board, the Board changed for the worse (FLRH).</li> <li>• Ineffective Board members were selected and there was no one with the will or authority to get them replaced (FLRH).</li> <li>• Too many people didn't take any action, that was the problem (FLRH)</li> <li>• Understanding that good governance is not about interfering with management is an essential (SLUH).</li> <li>• The manager we had did not report fully to the Board by withholding information was able to manipulate the organisation's funding (FLRH).</li> <li>• The Trust's rules were amended such that the senior manager and some Board members were able to take control of the finances. Within two years the organisation did not exist (FLRH).</li> </ul>
2. The recruitment and retainment of appropriate staff and volunteers	<ul style="list-style-type: none"> <li>• Having flawed recruitment processes and poor judgement around staff selection caused many long-term problems (FLRH).</li> <li>• Coping with a bad choice of staff for senior management positions affected our sustainability (FLRH).</li> <li>• Employment of family members and friends did not work in our organisation because they were not necessarily the best candidate for the role (FSRS).</li> <li>• Finding the right sort of people to be on the Board is an ongoing difficulty (SSRS).</li> <li>• The lack of skilled people in the rural communities is also ongoing (SSRS).</li> <li>• We could not keep the people we needed to run the service. The work was hard and the pay was pitiful (FSRS).</li> <li>• We found and kept good volunteers from our local community because we built up a rapport (SSRS).</li> <li>• Win and keep community support is the ideal (SLUH).</li> </ul>
3. The need to ensure security of funding on an ongoing basis	<ul style="list-style-type: none"> <li>• Keeping on side with Child Youth and Family Service (CYFS) to obtain funds is very important to our organisation and keeping up with the constant policy changes too (SSRS).</li> <li>• We did not have time to establish a financial buffer so once we did not have our contract renewed we were in trouble (FSRS).</li> <li>• Having financial systems that provide all the information in an appropriate way is pivotal (SSRS).</li> <li>• Year after year getting the money to keep the work going is our largest task (SSRS).</li> <li>• The shortage of funding was an ongoing problem, when you have nothing in reserve you are constantly in fear of something going wrong and it costing money (FSRS).</li> <li>• Funding Insecurity is ongoing (SSRS).</li> <li>• We are afraid to grow because of funding insecurity (SSRS).</li> <li>• We were shocked to discover that some well resourced for-profit organisations had started to move into our sector for the first time. The Board met to discuss the implications and an action plan was formed to combat the new competitors (SLUH).</li> </ul>
4. Meeting all the requirements of cultural sensitivity	<ul style="list-style-type: none"> <li>• In Northland getting acceptance of the whole community is essential and this has to be maintained over time (SSRS).</li> <li>• Māori organisations being accepted by all in the community is something we hope for (SLUH).</li> <li>• Getting our heads around cultural sensitivity was difficult for our organisation I think (FSRS).</li> </ul>
5. Good financial management of the organisation	<ul style="list-style-type: none"> <li>• Maintaining good financial management systems that accommodate all the reporting demands is imperative (SLUH).</li> <li>• Staying positive and enthusiastic in the face of ongoing financial uncertainty is a must but it is also very stressful (SSRS).</li> <li>• Convincing the staff of the need for maintaining adequate funding within the organisation for sustainability is an ongoing issue because they know they would be paid more in the for profit sector (SSRS).</li> <li>• Finding the money to pay for it all was a constant worry (FSRS).</li> </ul>

Main themes from management interview responses (17)	
Theme headings developed from responses	Summary of significant interviewee statements
	<ul style="list-style-type: none"> <li>• There is always insufficient funding to employ, retain and train qualified staff (FSRS).</li> <li>• I believe the biggest challenge for management is finding the money to keep going, it's a constant worry (SSRS).</li> <li>• Our organisation failed to meet contractual targets (FLRH).</li> <li>• Our costs were rising faster than funding (FSRS).</li> </ul>
6. Retaining a focus on the mission or vision of the organisation	<ul style="list-style-type: none"> <li>• An organisation must constantly refer back to its original vision; otherwise it loses its way, as we did (FLRH).</li> <li>• We are continuously reminding staff of the need to stick to the mission statement and original goals of the organisation (SLUH).</li> </ul>
7. Effective communication within the organisation	<ul style="list-style-type: none"> <li>• Maintaining good relations within the organisation by creating a "family-like" atmosphere helps our success (SLUH).</li> <li>• The internal communication systems left a lot to be desired (FLRH).</li> <li>• Internal squabbling which was never addressed and killed off the organisation (FLRH).</li> <li>• The Board and management met to sort things out but each had a different perception of the problems, there was no agreement and so there were no solutions (FSRS).</li> <li>• A good internal communication system was established, this proved to be most valuable (SSRS).</li> </ul>
8. Effective networking with funders and other agencies	<ul style="list-style-type: none"> <li>• The lack of interest shown by our funders, except at reporting and contracting times has not helped (SSRS).</li> <li>• There was nothing we could do about the way the government funder operated, we just accepted the situation and made allowances in our work practices and we took care designing our reporting responsibilities in order to protect our contracts (SSRS).</li> <li>• The difficulties created by the prescriptive details contained within government contracts are very real (FSRS).</li> <li>• The high turnover of staff in government departments have added to a lack of clarity of understanding (FLRH).</li> <li>• Jealousy from other organisations was obvious to us therefore communication was difficult (FSRS).</li> <li>• One major difficulty is dealing with the government departments, they don't talk to each other so you have to repeat yourself and they have a high staff turnover so you are forever explaining things to some new worker (SLUH).</li> <li>• The government department we deal with seems to have a number of administrative systems that handle client details, this causes delays and extra work because of the need for repetition and sometimes the transfer of inaccurate information (SLUH).</li> <li>• For us the support of the local community is essential and it's something we have to keep working at</li> <li>• We have been told that there is a threat to our funding now from commercial businesses (SLUH).</li> <li>• Turnover of staff at government departments, we are forever educating them (SLUH).</li> <li>• Poor internal communication systems in government departments, we have to keep repeating ourselves (SSRS).</li> <li>• Our organisation failed to meet contractual targets (FLRH).</li> <li>• The Trust made a special effort to keep the support of the community in the face of all the other causes and organisations competing for support (SSRS).</li> <li>• The Board members instigated a publicity drive through the community in an attempt to get more volunteers (SSRS).</li> <li>• The Board developed a succession plan to make sure they could find new board members when they were needed (SLUH).</li> </ul>
9. Carrying out regular organisational reviews	<ul style="list-style-type: none"> <li>• Establishing realistic benchmarks for staff performance is a priority (SLUH).</li> <li>• Having a set of effective policies and procedures to guide staff and to review them regularly is important (SLUH).</li> <li>• The Board kept us informed about how things were going, contracts, finances etc (SSRS).</li> <li>• Effective problem solving processes were put in place (SSRS).</li> </ul>
10. Caring for all staff including volunteers	<ul style="list-style-type: none"> <li>• Looking after staff, finding the cost of providing, supervision and training, and promoting self-care is ongoing and essential for success (SSRS).</li> <li>• The increasing volume of paperwork to meet funding requirements caused stress (FLRH).</li> </ul>

Main themes from management interview responses (17)	
Theme headings developed from responses	Summary of significant interviewee statements
11. Ensuring staff exercise self care	<ul style="list-style-type: none"> <li>• The organisation provides staff with regular supervision which helps us with ideas and keeps the stress on staff under control (SSRS).</li> <li>• The Board approved and some attended social events for the staff to help with morale (SLUH).</li> </ul>
12. Establishing and retaining a safe environment for staff and volunteers	<ul style="list-style-type: none"> <li>• We give the staff the opportunity for further training that helps with staff loyalty (SLUH).</li> <li>• Creating an environment in which people get on well with each other is difficult but not impossible if you work hard at it every day (SSRS).</li> <li>• We work to avoid burnout of self and staff by keeping a warm and friendly good feeling amongst the staff (SLUH).</li> </ul>
13. Developing and maintaining a good reputation with funders and the local community	<ul style="list-style-type: none"> <li>• We found it difficult to deal with the competitiveness that comes from the growth in the number of community organisations since the 1980's (FSRS).</li> <li>• We sought feedback from our clients to help us with monitoring the organisation's performance (SLUH).</li> <li>• Competition for funding from larger better resourced organisations was devastating (FSRS).</li> <li>• The lack of clarity from government departments helped facilitate unscrupulous behaviour (FLRH).</li> <li>• Government contracts deal in outputs - we work for health and social improvements... outcomes (SSRS).</li> <li>• The clients often come with the expectation that you can make everything right, that they don't have to do anything. Getting them to realise they have a role to play and then to do it takes time and effort (FSRS).</li> <li>• There is no proper networking between organisations; there is still a sense of competitiveness between them (SLUH).</li> <li>• The complexity of the problems presented by clients increased, but there was no funding to train staff so some poor decisions and sub-standard work occurred (FSRS).</li> <li>• We have made a special effort to connect with the local community in an effort to find volunteers (SSRS).</li> <li>• We modified our reporting processes to accommodate our contractual obligations (SSRS).</li> <li>• We cannot change external influences so we aligned ourselves with the relevant political movers and shakers (SLUH).</li> </ul>
14. The provision of clear guidelines for staff	<ul style="list-style-type: none"> <li>• From the start we had workable, relevant procedures in place which helped the staff deal with the day to day issues and relationships (SLUH).</li> <li>• There was a lack of any policies and procedures for guidance (FSRS).</li> <li>• Management produced an effective risk management plan for the organisation (SLUH).</li> <li>• The introduction of clear, understandable job descriptions for staff is required (SSRS).</li> <li>• Policies and Procedures were introduced for the organisation but they were not properly thought through and no one took them seriously (FSRS).</li> </ul>
15. Good effective organisational leadership	<ul style="list-style-type: none"> <li>• Having a Board made up people who are passionate about the work, care about the staff and have the skills to provide proper governance is essential- we didn't (FLRH).</li> <li>• No one on the Board had the guts or understanding to deal with the issues presented to them (FLRH).</li> <li>• As problems mounted staff morale dropped and the performance of the organisation (FSRS).</li> <li>• Inappropriate people on the Board assisted our failure (FLRH).</li> <li>• It transpired that our manager was not suitably experienced for the role, and so he made some serious mistakes. He was replaced but it was too late for the organisation (FSRS).</li> </ul>
16. Ensuring ongoing appropriate training for staff	<ul style="list-style-type: none"> <li>• We try but it is getting harder to find genuine volunteers today (SSRS).</li> <li>• The Board agreed to staff receiving training and supervision which helped to make them feel appreciated (SLUH).</li> <li>• With the loss of local facilities and services, it's hard to get anything done nowadays, staff training etc especially in rural areas (FSRS).</li> <li>• I believe that our board and senior management had inadequate training and this contributed to our downfall (FSRS).</li> </ul>

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**Main themes from management interview responses (17)**


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<b>Theme headings developed from responses</b>	<b>Summary of significant interviewee statements</b>
17. Finding sufficient numbers of volunteers	<ul style="list-style-type: none"> <li>• Securing and maintaining suitable staff and volunteers is an ongoing issue and it is getting harder to find volunteers because people need money just to live day to day (SLUH).</li> <li>• Finding and keeping suitable and trusted volunteers is difficult and the younger people do not seem as interested in volunteering as the older folk (SSRS).</li> </ul>

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**Main themes from staff interview responses (13)**


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<b>Theme headings developed from responses</b>	<b>Summary of significant interviewee statements</b>
1. The need to ensure security of funding on an ongoing basis	<ul style="list-style-type: none"> <li>• Getting enough funding to keep the place going is our issue. I don't know how the board/management kept the money coming in but they do (SSRS).</li> <li>• Looking after the money properly, having good systems in place is what it is all about (FLRH).</li> <li>• We have been told that there is a threat to our funding now from commercial businesses (SLUH).</li> </ul>
2. Good financial management by the organisation	<ul style="list-style-type: none"> <li>• Once you've got the money, you must be accountable for it so good systems are very important (SLUH).</li> <li>• No preconceptions equals no disappointment when it comes to gaining funds, nothing is guaranteed (SSRS).</li> <li>• We did not set up our reporting processes properly so we did not meet our contractual responsibilities.</li> <li>• Our systems were such that we could not monitor what was happening with the money (FLRH).</li> <li>• A lack of ethics on behalf of the Trust's decision makers filtered throughout the organisation and resulted in funds being used incorrectly and eventually our demise (FLRH).</li> </ul>
3. The ongoing recruitment and retention of quality staff and volunteers	<ul style="list-style-type: none"> <li>• We have a good bunch of people here, picking the right person is so important for each job (SSRS).</li> <li>• Finding and keeping a good manager is very important indeed for success (FSRS).</li> </ul>
4. Retaining a focus on the mission or vision of the organisation	<ul style="list-style-type: none"> <li>• Staying true to the original aims (SSRS).</li> <li>• Keeping a focus on the organisation's vision, and applying it to our work practices (SSRS).</li> <li>• There was a failure to get back to the original aim of the organisation. And the organisation had lost its way and become hijacked (FLRH).</li> <li>• Staff were encouraged to refer back to the original purpose and aim of the organisation (SSRS).</li> </ul>
5. Effective communication within the organisation	<ul style="list-style-type: none"> <li>• We meet regularly with the manager and so we have the opportunity to provide feedback and our ideas (SSRS).</li> <li>• We have very good relations throughout the organisation at the moment (SLUH).</li> <li>• Making people clear about their responsibilities would have helped (FSRS).</li> <li>• As staff we tried to inform management and Board about our concerns, but were told to just get on with our work. There was no line of communication for us to the Board to provide feedback and voice our problems (FLRH).</li> <li>• Manager spent too much time involved in the work of the service, not enough on leadership and dealing with problems. It was clear from early on that the manager was not coping, but they covered up their incompetence, until it was past the point of no return. We all suffered as a result (FSRS).</li> <li>• The work we did was good, effective and helpful to our clients but some Board members and higher management were in it for themselves and they sucked the service dry (FLRH).</li> <li>• As staff we were not listened to, not valued (FSRS).</li> <li>• Keeping everyone informed, having good communication inside the organisation, very important (FSRS).</li> </ul>

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Main themes from staff interview responses (13)	
Theme headings developed from responses	Summary of significant interviewee statements
6. Adhering to the core business of the organisation	<ul style="list-style-type: none"> <li>• Keep the faith ...belief in what we are doing... sticking to our core work and the aims of the organisation (SSRS).</li> <li>• We had to learn to sort out our own problems, otherwise how can we help our clients? (SSRS).</li> <li>• The team learnt they must stick to their core work to be successful (SLUH).</li> <li>• Making sure everyone stuck to the vision of the organisation was missing (FSRS).</li> </ul>
7. Effective networking with funders and other agencies	<ul style="list-style-type: none"> <li>• Working and networking with other organisation and government departments is imperative (SSRS).</li> <li>• We had to get on with government department people, despite the frustrations of their high staff turnover (SLUH).</li> </ul>
8. Always maintaining a work ethic that is positive	<ul style="list-style-type: none"> <li>• The Board kept in touch with the staff, listened to staff and responded positively (SSRS).</li> <li>• Keeping up with the latest developments in your field (SLUH).</li> <li>• The board and management sympathised but didn't do anything about the overwork and poor pay (FSRS).</li> <li>• There was no understanding from the manager that our work was getting more difficult (FLRH).</li> </ul>
9. Staff support of each other within the workplace setting	<ul style="list-style-type: none"> <li>• Everyone in the organisation must get along, especially in a small outfit like ours (SSRS).</li> <li>• Issues between staff members were left to fester and escalate (FSRS).</li> <li>• The Board agreed that the staff should feel valued; we wanted to create a family-like atmosphere (SSRS).</li> <li>• Care for staff was taken seriously with active encouragement of personal development for staff (SLUH).</li> <li>• The Trust helped us manage our stress by providing a supervisor to meet regularly with us and discuss our work issues (SLUH).</li> <li>• The complexity of the problems presented by clients increased, but there was no funding to train staff so some poor decisions and sub-standard work occurred (FLRH).</li> </ul>
10. Maintaining a good relationship with funders based on trust	<ul style="list-style-type: none"> <li>• Our reputation as a service provider with the local community suffered as a result of the behaviour of our management and some of the Board and so our support evaporated (FLRH).</li> <li>• Our manager spent time with our funders, making sure she knew exactly what they wanted and building a strong relationship with them (SSRS).</li> </ul>
11. Maintaining good staff/board/management relations	<ul style="list-style-type: none"> <li>• Appointing a Board that is dedicated to the goals and aims of the organisation and be aware of the need to change is a priority (SSRS).</li> <li>• The manager was an autocrat, would not discuss things or listen to other people's point of view (FLRH).</li> <li>• The Board agreed to staff receiving training and supervision which helped to make them feel appreciated. This helped to counter the adverse effect of not being able to pay market rates (SLUH).</li> </ul>
12. Establishing and maintaining a good reputation with clients, community, other agencies and funders	<ul style="list-style-type: none"> <li>• Be clear who your intended client group is and precisely what services you plan to provide. Do not change that without a lot of thought and investigation (SLUH).</li> <li>• Good internal and external systems of communication are essential for an organisation to be successful (FSRS).</li> <li>• The support of the community is a great help to us as we go about our work. This is particularly important in a rural setting (SSRS).</li> <li>• Funders became sceptical about our lack of accountability (FLRH).</li> <li>• Keeping the community involved in the organisation.</li> <li>• We attended all local meetings of community organisations, and public meetings distributing our message and looking to network (SSRS).</li> </ul>
13. The organisation having the ability to change when needed to meet changes in community needs.	<ul style="list-style-type: none"> <li>• Getting staff to share ideas, resources with and sometimes referring clients to other organisations (SSRS).</li> <li>• A lack of awareness of the community's perception of the organisation did our credibility no good (SLUH).</li> </ul>

## Appendix G: Mail Survey

### Statistical Information



Please place a \* (star – Shift + 8\* key) after the appropriate category to indicate your reply.

1. Which of the following categories best describes your position with the organisation?

MANAGER

STAFF MEMBER

BOARD MEMBER

2. Which field of service delivery does the organisation that you work for operate in?

HEALTH

SOCIAL SERVICES

HEALTH AND SOCIAL SERVICES

3. Which of the following best describes the legal status of your organisation?

CHARITABLE TRUST

INCORPORATED SOCIETY

UNREGISTERED COMMUNITY GROUP

4. Where in Northland is your community organisation located?

MID AND FAR NORTH DISTRICT

WHANGAREI DISTRICT

KAIPARA DISTRICT

4. How many years has your organisation been operating?

LESS THAN ONE YEAR

ONE TO TWO YEARS

THREE TO FIVE YEARS

MORE THAN FIVE YEARS

5. Staff and Volunteers

HOW MANY STAFF DOES YOUR ORGANISATION EMPLOY

HOW MANY VOLUNTEERS WORK FOR YOUR ORGANISATION

*Thank you for your time and co-operation.*

*Please now complete the following questionnaire.*

## Survey Questionnaire



To what extent do you agree or disagree with the following statements?

Please indicate by typing a \* (star) in the appropriate table/box.

Also there is an opportunity for you to write additional comments below each section.

Place your cursor at the end of the line – *Please write additional comments here* - hit the 'Enter' key and then type your comment. Do not be concerned when the sections below move down, as this is a normal feature all in word-processors.

1. "Apart from delivering services, securing adequate funding just to survive is our most important issue"

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

2. "There are sufficient people with the skills and experience we need in the community"

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*



3. “Staff burnout is one of the biggest obstacles to staff retention”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

4. “Educating volunteers in the provisions of the current legislation which impacts on the work they do is a major undertaking”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

5. “Community organisations seldom experience a situation where government department requirements are in conflict with the demands of cultural sensitivity”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

6. “Costs have risen and continue to rise more than funding increases”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

7. “The uncertainty of not knowing if there will be sufficient funds for this year and/or the next has a demoralising effect on our staff and our planning”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

8. “Regular internal reviews of organisational goals, aims and operational performance are crucial for providing quality services and the overall success of the organisation”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

## Appendix G

9. “It is essential for the survival of a community organisation to establish and maintain a good working relationship with its local community”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

10. “To create and maintain good staff relations an organisation must establish a culture of openness, safety and support amongst staff, management and board”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

11. “The government departments that we work with possess a good understanding of the difficulties that organisations such as ours face on a day to day basis”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

12. “Limited funding inhibits our ability to recruit and retain good staff”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

13. “The performance level of the government departments we work with is such that they make our community work go much more smoothly for us than it otherwise would”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

14. “Easily understood job descriptions are essential for good staff relations”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

## Appendix G

15. “It is essential for the survival of a community organisation to establish and maintain a good working relationship with its funders”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

16. “Time spent attracting funding does not mean less time spent delivering services”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

17. “Nowadays most community organisations have a good understanding of the cultural differences in Northland and provide services which are culturally appropriate”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

18. “The presence of mutual respect and support between the Board, Management and Staff is an essential element for successful staff recruitment and retention”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

19. “In my experience it is extremely rare for a person to get a job because they are a family member or friend of the person doing the recruiting”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

20. “Ongoing training, supervision and professional development for staff is essential to ensure that staff feel valued within the organisation”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

**Appendix G**

21. “It is essential to the survival of an organisation that it wins the trust and support of the local community”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

22. “Clear lines of responsibility are essential for good staff relations”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

23. “There are a sufficient number of volunteers in our community to provide us with the help we need”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

24. “Having a clear and achievable Mission Statement is essential for the on-going strategic planning of an organisation”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

25. “The level of funding we receive enables us to meet the cost of complying with our contract reporting requirements and accountabilities without taking funds from the monies used for service delivery”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

26. “Good staff relations can be maintained if everyone involved with the organisation regularly refers back to the organisation’s core values”

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*



## Appendix G

27. "Easily understood job descriptions, employment contracts and clear lines of responsibility are an essential ingredient for successful staff recruitment and retention"

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

28. "The operating climate of most community organisations does not encourage them to share knowledge and resources"

Strongly Agree	Agree	Slightly Agree	Neutral	Slightly Disagree	Disagree	Strongly Disagree	Does not apply to me
1	2	3	4	5	6	7	99

*Please write additional comments here:*

## Appendix H: Invitation to Hui

<p><i>AN INVITATION TO A HUI TO DISCUSS THE MAIN FINDINGS OF A RESEARCH PROJECT</i></p>	 <p>AUCKLAND UNIVERSITY OF TECHNOLOGY TE WĀNANGA ARONUI O TAMAKI MAKĀU RAU</p>
-------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------

Kia ora

My name is Tina Darkins. I am a PhD student at the Auckland University of Technology (AUT) and I am completing research into the difficulties facing community organisations in Northland. I am holding a hui to discuss the main findings of this research and would like to invite you to attend. The hui will be held on:

**DATE:** Thursday, April 26th, 2007      **TIME:** 10am - 1.15pm  
**VENUE:** Conference Room of the Cobham Oval Cricket Pavilion, at Okara Drive in Whangarei.  
 Morning tea and a light lunch will be served.  
 Please RSVP by April 24<sup>th</sup> 2007 to [tina.darkins@xtra.co.nz](mailto:tina.darkins@xtra.co.nz);  
 09-4339650 or 0274-544-027; Address: 100 Pigs Head Rd, RD4, Hikurangi, Northland

### ***Research Project***

An Evaluation of Community Service Organisations in Tai Tokerau (Northland), New Zealand.

### ***Timetable***

10am - Welcome	11.45 - Feedback
10.05 - Introductions	12.05 - The Future
10.15 - The Research	12.30 - Lunch
10.35 - Morning Tea	1.15 - Closing
10.45 - Workshop	

### ***Important Notice***

Any concerns regarding the nature of this project should be notified in the first instance to:

*Dr Deb Spence  
 Project Supervisor  
 C/- School of Nursing and Midwifery  
 Auckland University of Technology  
 P O Box 92006 Auckland  
 Phone: 09-921 9999 Extn 7844.  
 Email: [deb.spence@aut.ac.nz](mailto:deb.spence@aut.ac.nz).*

If you have any queries or concerns regarding your rights as a participant in this study, you may wish to contact your professional organisation

*This study has received ethical approval from the Northern X Regional Ethics Committee.*

## Appendix I: Varimax Rotation/Exploratory Factor Analysis Results

Varimax Rotation of exploratory factor analysis			
Survey items	Scales		
	1	2	3
1. Apart from delivering services, securing adequate funding just to survive is our most important issue			.679
2. There are sufficient people with the skills and experience we need in the community		.672	.390
3. Staff burnout is one of the biggest obstacles to staff retention	.317		.577
4. Educating volunteers in the provisions of the current legislation which impacts on the work they do is a major undertaking	.299		.584
5. Organisations seldom experience a situation where government department requirements are in conflict with the demands of cultural sensitivity		.595	.230
6. Costs have risen and continue to rise more than funding increases			.539
7. The uncertainty of not knowing if there will be sufficient funds for this year and/or the next has a demoralising effect on our staff and our planning			.782
8. Regular internal reviews of organisational goals, aims and operational performance are crucial for providing quality services and the overall success of the organisation	.494		.298
9. It is essential for the survival of a community organisation to establish and maintain a good working relationship with its local community and govt	.629		.391
10. To create and maintain good staff relations an organisation must establish a culture of openness, safety and support amongst staff, management and board	.578		
11. The government departments that we work with possess a good understanding of the difficulties that organisations such as ours face on a day to day basis		.721	
12. Limited funding inhibits our ability to recruit and retain good staff			.462
13. The performance level of the government departments we work with is such that they make our community work go much more smoothly for us than it otherwise would		.754	
14. Easily understood job descriptions are essential for good staff relations	.516		.297
15. It is essential for the survival of a community organisation to establish and maintain a good working relationship with its funders	.575		
16. Time spent attracting funding does not mean less time spent delivering services		.572	
17. Nowadays most community organisations have a good understanding of the cultural differences in Northland and provide services which are culturally appropriate		.532	
18. The presence of mutual respect and support between the Board, Management and Staff is an essential element for successful staff recruitment and retention	.746		
19. In my experience it is extremely rare for a person to get a job because they are a family member or friend of the person doing the recruiting	.217		-.253
20. Ongoing training, supervision and professional development for staff is essential to ensure that staff feel valued within the organisation	.549		
21. It is essential to the survival of an organisation that it wins the trust and support of the local community	.564		
22. Clear lines of responsibility are essential for good staff relations	.714		
23. There are a sufficient number of volunteers in our community to provide us with the help we need		.744	
24. Having a clear and achievable Mission Statement is essential for the on-going strategic planning of an organisation	.494		.264
25. The level of funding we receive enables us to meet the cost of complying with our contract reporting requirements and accountabilities without taking funds from the monies used for service delivery		.577	
26. Good staff relations can be maintained if everyone involved with the organisation regularly refers back to the organisation's core values	.545	.249	
27. Easily understood job descriptions, employment contracts and clear lines of responsibility are an essential ingredient for successful staff recruitment and retention	.540		
28. The operating climate of most community organisations does not encourage them to share knowledge and resources			.267

Note: Only factor loading above 0.25 are shown. Statements 19 and 28 scored less than 0.30 and therefore did not load into any of the 3 identified factors and were therefore eliminated from the survey.

## Appendix J: Factor analysis and coefficient alpha analysis

Factor 1 Item-Total Statistics					
Item	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
st8sum	17.40	24.744	.474	.452	.811
st9sum	17.96	26.570	.630	.525	.800
st10sum	18.01	27.709	.501	.432	.810
st14sum	17.72	26.261	.506	.433	.806
st15sum	17.92	28.122	.447	.335	.813
st18sum	17.84	26.970	.552	.513	.805
st20sum	17.67	26.695	.446	.343	.811
st21sum	17.67	26.596	.366	.448	.819
st22sum	17.81	26.333	.620	.505	.800
st24sum	17.43	24.581	.505	.402	.808
st26sum	17.06	25.041	.436	.216	.816
st27sum	17.57	26.009	.503	.301	.806

Factor 1 Reliability Statistics		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.822	.841	12

Factor 1 Case Processing Summary		
Cases	N	%
Valid	204	91.9
Excluded(a)	18	8.1
Total	222	100.0
<i>A Listwise deletion based on all variables in the procedure</i>		

## Factor 2: Item-Total Statistics

Item	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
st2sum	27.16	63.898	.563	.380	.766
st5sum	27.05	68.695	.494	.304	.777
st11sum	26.61	66.514	.579	.488	.763
st13sum	26.61	66.060	.636	.552	.755
st16sum	27.34	68.704	.434	.222	.788
st17sum	28.52	76.175	.395	.201	.790
st23sum	26.32	66.382	.577	.394	.763
st25sum	27.32	74.096	.383	.176	.792

## Factor 2 Reliability Statistics

Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.797	.797	8

## Factor 2 Case Processing Summary

Cases	N	%
Valid	194	87.4
Excluded(a)	28	12.6
Total	222	100.0

*A Listwise deletion based on all variables in the procedure*

Factor 3: Item-Total Statistics					
Item	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
st1sum	12.91	19.179	.450	.261	.634
st3sum	11.42	16.590	.507	.307	.611
st4sum	12.01	19.505	.429	.223	.641
st6sum	13.08	22.787	.308	.129	.677
st7sum	12.34	18.469	.486	.289	.621
st12sum	12.22	19.754	.332	.199	.675

Factor 3 Reliability Statistics		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.686	.685	6

Factor 3 Case Processing Summary		
Cases	N	%
Valid	25	11.3
Excluded(a)	222	100.0
Total	197	88.7

*A Listwise deletion based on all variables in the procedure*

Item Frequencies								
N	st1sum	st2sum	st3sum	st4sum	st5sum	st6sum	st7sum	st8sum
Valid	210	219	216	194	197	219	211	222
Missing	12	3	6	28	25	3	11	0
	st9sum	st10sum	st11sum	st12sum	st13sum	st14sum	st15sum	st16sum
Valid	222	222	214	216	215	216	221	217
Missing	0	0	8	6	7	6	1	5
	st17sum	st18sum	st19sum	st20sum	st21sum	st22sum	st23sum	st24sum
Valid	219	219	216	220	222	220	209	220
Missing	3	3	6	2	0	2	13	2
	st25sum	st26sum	st27sum	st28sum				
Valid	177	219	211	210				
Missing	45	3	11	12				

Item means					
Item	N	Mean	Item	N	Mean
st1sum	210	1.89	st16sum	217	3.65
st2sum	219	3.75	st17sum	212	2.47
st3sum	216	3.46	st18sum	219	1.46
st4sum	194	2.78	st19sum	216	3.70
st5sum	197	3.98	st20sum	220	1.75
st6sum	219	1.68	st21sum	222	1.61
st7sum	211	2.43	st22sum	220	1.50
st8sum	222	1.89	st23sum	209	4.67
st9sum	222	1.31	st24sum	220	1.98
st10sum	222	1.28	st25sum	177	3.73
st11sum	214	4.37	st26sum	219	2.32
st12sum	216	2.56	st27sum	211	1.76
st13sum	215	4.45	st28sum	210	3.65
st14sum	216	1.59	Valid N (listwise)	127	
st15sum	221	1.45			

Total Variance Explained									
Extraction Method: Principal Component Analysis									
Component	Initial Eigenvalues			Extraction Sums of Squared Loadings			Rotation Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	5.899	21.066	21.066	5.899	21.066	21.066	3.194	11.408	11.408
2	2.991	10.682	31.749	2.991	10.682	31.749	2.550	9.106	20.514
3	2.211	7.897	39.646	2.211	7.897	39.646	2.365	8.447	28.962
4	1.760	6.286	45.932	1.760	6.286	45.932	2.267	8.096	37.058
5	1.614	5.763	51.695	1.614	5.763	51.695	2.234	7.979	45.036
6	1.321	4.716	56.411	1.321	4.716	56.411	2.214	7.907	52.944
7	1.263	4.510	60.921	1.263	4.510	60.921	1.698	6.066	59.009
8	1.129	4.034	64.955	1.129	4.034	64.955	1.380	4.929	63.938
9	1.021	3.648	68.603	1.021	3.648	68.603	1.306	4.664	68.603
10	.885	3.159	71.762						
11	.810	2.893	74.655						
12	.774	2.765	77.420						
13	.681	2.431	79.852						
14	.668	2.384	82.236						
15	.592	2.115	84.351						
16	.537	1.917	86.268						
17	.507	1.812	88.080						
18	.464	1.656	89.736						
19	.449	1.604	91.340						
20	.424	1.516	92.856						
21	.360	1.285	94.141						
22	.289	1.031	95.172						
23	.284	1.014	96.185						
24	.270	.963	97.149						
25	.232	.829	97.977						
26	.205	.733	98.710						
27	.195	.698	99.408						
28	.166	.592	100.000						



Total Variance Results			
Extraction Method: Principal Component Analysis			
Component	Initial Eigen Values		
	Total	% of Variance	Cumulative %
1	5.899	21.066	21.066
2	2.991	10.682	31.749
3	2.211	7.897	39.646
4	1.760	6.286	45.932
5	1.614	5.763	51.695
6	1.321	4.716	56.411
7	1.263	4.510	60.921
8	1.129	4.034	64.955
9	1.021	3.648	68.603
10	.885	3.159	71.762
11	0.810	2.893	74.655

9 factors Rotated Component Matrix(a) Eigenvalues > 1									
Item	Component								
	1	2	3	4	5	6	7	8	9
st1sum	-.005	.013	.054	.147	.784	.000	.127	.145	-.039
st2sum	.543	-.268	.325	-.054	.190	.185	.369	.097	.157
st3sum	.211	.055	.358	.278	.491	.160	-.287	-.297	.160
st4sum	.129	.238	.191	-.170	.628	.014	.027	.107	.386
st5sum	.647	.203	.082	-.126	.245	-.113	.201	-.049	-.261
st6sum	-.034	-.038	-.106	.160	.318	.058	.677	-.132	.099
st7sum	-.012	.048	-.049	-.091	.687	.336	.182	-.294	-.099
st8sum	.152	.144	.738	.107	.051	.223	.029	-.068	-.034
st9sum	-.024	.138	.146	.452	.314	.183	.394	.179	.278
st10sum	-.007	.116	.218	.645	-.072	.451	.025	-.130	.061
st11sum	.758	-.046	.099	.292	.016	-.037	.035	.175	.021
st12sum	.119	-.296	.409	.377	.203	-.271	.095	-.391	.273
st13sum	.855	.177	-.017	.154	.017	-.090	-.037	-.103	-.004
st14sum	.015	.237	.103	.245	.193	.729	.061	.036	.059
st15sum	.080	.759	.167	.126	-.004	.201	.075	-.023	-.043
st16sum	.381	.061	.243	-.221	-.232	.201	.272	.199	.298
st17sum	.364	.274	.006	-.053	-.045	-.045	.642	.028	.010
st18sum	-.008	.605	.080	.510	.098	.089	-.016	.073	.053
st19sum	.016	-.045	.030	.177	.029	.028	-.030	.831	-.004
st20sum	.081	.359	.723	.114	.099	-.005	-.280	.116	-.095
st21sum	.044	.137	.083	.797	.017	.010	.043	.218	.030
st22sum	-.061	.451	.506	.187	.037	.293	.280	.205	-.049
st23sum	.650	-.113	.163	-.229	-.075	.289	.104	-.050	.102
st25sum_A	.004	.167	.499	.109	.075	.612	.140	-.007	-.063
st25sum	.564	.062	-.187	-.139	-.047	.447	-.235	-.080	.123
st26sum	.192	.414	.213	-.019	.154	.523	-.087	.181	-.020
st27sum	.035	.739	.143	.008	.106	.124	.080	-.100	.180
st28sum	.006	.085	-.120	.129	.050	4.85E-005	.084	-.047	.830

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

A Rotation converged in 21 iterations.

5 factors Rotated Component Matrix(a)					
Item	Component				
	1	2	3	4	5
st1sum	.158	-.051	<b>.568</b>	.287	-.162
st2sum	.026	<b>.656</b>	.315	.201	-.019
st3sum	.311	.118	.152	<b>.705</b>	-.174
st4sum	.281	.168	.461	.173	-.267
st5sum	.095	<b>.631</b>	.111	.045	-.159
st6sum	-.001	.042	<b>.727</b>	-.058	.012
st7sum	.252	-.005	.505	.161	<b>-.553</b>
st8sum	<b>.521</b>	.228	-.081	<b>.431</b>	.013
st9sum	<b>.344</b>	.014	.608	.153	<b>.340</b>
st10sum	<b>.471</b>	-.045	.085	.341	.375
st11sum	-.009	<b>.691</b>	.033	.245	.337
st12sum	-.192	.082	.278	<b>.712</b>	.115
st13sum	.023	<b>.757</b>	-.032	.184	.127
st14sum	<b>.666</b>	.052	.213	.063	-.002
st15sum	<b>.715</b>	.092	.018	-.117	.102
st16sum	.172	<b>.546</b>	.030	-.193	.106
st17sum	.130	<b>.475</b>	<b>.360</b>	-.306	.135
st18sum	<b>.577</b>	-.089	.149	.103	<b>.383</b>
st19sum	.101	.021	.015	-.141	<b>.470</b>
st20sum	<b>.572</b>	.075	-.273	<b>.439</b>	.079
st21sum	.244	-.068	.182	.295	<b>.685</b>
st22sum	<b>.729</b>	.047	.133	.027	.220
st23sum	.061	<b>.734</b>	-.049	.031	-.149
st25sum_A	<b>.681</b>	.114	.051	.183	-.046
st25sum	.151	<b>.541</b>	-.159	-.056	-.188
st26sum	<b>.690</b>	.232	-.022	-.021	-.080
st27sum	<b>.628</b>	.067	.151	-.102	-.020
st28sum	-.027	.041	<b>.423</b>	.013	.190

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

A Rotation converged in 8 iterations.

4 Factors Rotated Component Matrix(a)				
Item	Component			
	1	2	3	4
st1sum			.730	
st2sum		.677	.342	
st3sum	.244		.293	.704
st4sum	.293		.514	.282
st5sum		.599	.270	
st6sum			.636	
st7sum			.804	
st8sum	.439			.510
st9sum	.643		.402	
st10sum	.538			.321
st11sum		.719		
st12sum				.721
st13sum		.754		
st14sum	.536		.330	
st15sum	.611			
st16sum		.567		
st17sum		.530	.223	-.313
st18sum	.748			
st19sum	.269			-.409
st20sum	.476			.515
st21sum	.546			
st22sum	.731			
st23sum		.749		.221
st24sum	.481			.219
st25sum		.577		
st26sum	.565	.240		
st27sum	.547			
st28sum			.248	

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

A Rotation converged in 6 iterations.

<b>3 Factor Rotated Component Matrix(a)</b>			
<b>Item</b>	<b>Component</b>		
	<b>1</b>	<b>2</b>	<b>3</b>
st1sum			<b>.679</b>
st2sum		<b>.672</b>	.390
st3sum	.317		.577
st4sum	.299		<b>.584</b>
st5sum		.595	.230
st6sum			<b>.539</b>
st7sum			<b>.782</b>
st8sum	.494		.298
st9sum	.629		<b>.391</b>
st10sum	.578		
st11sum		.721	
st12sum			.462
st13sum		.754	
st14sum	.516		.297
st15sum	.575		
st16sum		.572	
st17sum		.532	
st18sum	.746		
st19sum	.217		-.253
st20sum	.549		
st21sum	.564		
st22sum	.714		
st23sum		.744	
st24sum	.494		.264
st25sum		.577	
st26sum	.545	.249	
st27sum	.540		
st28sum			.267

Extraction Method: Principal Component Analysis.  
 Rotation Method: Varimax with Kaiser Normalization.  
 A Rotation converged in 5 iterations.

### **Promax rotation for 3 factors ~ Component Correlation Matrix**

<b>Component</b>	<b>1</b>	<b>2</b>	<b>3</b>
1	1.000	.166	.327
2	.166	1.000	.277
3	.327	.277	1.000

Extraction Method: Principal Component Analysis.  
 Rotation Method: Promax with Kaiser Normalization.