

**EVALUATION OF  
PACIFIC PROVIDER DEVELOPMENT FUND  
2005-2007**

**Report for the Department of Internal Affairs**

**May 2008**

## Acknowledgements

We wish to thank the Pacific community organisations all around Aotearoa who lent their invaluable time, frank views and hospitality to this evaluation. We are grateful to the Pacific training providers for their insights to the PPDF process and thank them for their help to Pacific community organisations. We also wish to thank the members of the Pacific Provider Development Fund Subcommittee and of PICAG (Pacific Island Consultation and Advisory Group) for your contribution to the shape of this evaluation. We are also grateful to the PPDF Coordinator for extending her coordination skills to parts of this evaluation, and to the Community Advisors whose participation in this evaluation is a continuation of the huge contribution they make to build the capacity of Pacific community organisations.

We wish to acknowledge the commitment of both the New Zealand Lottery Grants Board and the Local Government and Community Branch of the Department of Internal Affairs (DIA) to Pacific community needs, and thank the many staff who made themselves available for interviews.

Finally we wish to thank Ingrid van Aalst, Jane Renwick and Roz Dibley from the DIA Research and Evaluation Unit for their support, assistance and guidance throughout the evaluation.

***“Ora’anga meitaki na roto i te akamatutuanga e te taokota’ianga e te iti tangata Pasifika”***

*“Building Pacific communities is the responsibility of all of us, not just individuals or organisations, in partnership with each other”*

***Meitaki ma’ata, kia orana e kia manuia***

### Disclaimer

This report was prepared by Kāhui Tautoko Consulting Ltd, Wellington, for the Department of Internal Affairs.

The information contained in the report is primarily intended for the use of the Department of Internal Affairs. While every effort has been made to ensure the accuracy of this document, Kāhui Tautoko Consulting Ltd gives no indemnity as to the correctness of the information or data supplied by third parties.

# Contents

---

1. Executive Summary.....	4
2. Background to PPDF .....	9
2.1 OBJECTIVES OF EVALUATION .....	9
2.2 STRUCTURE OF THIS REPORT.....	10
2.3 LIMITATIONS .....	11
3. Findings.....	13
3.1 EVIDENCE AND DATA ON PPDF .....	13
3.2 THE PPDF PROCESS.....	26
3.3 RESPONSIVENESS TO THE NEEDS OF PACIFIC COMMUNITIES .....	35
3.4 CAPACITY AND CAPABILITY DEVELOPMENT .....	41
SUMMARY OF OVERALL FINDINGS .....	45
4. Analysis .....	46
4.1 THE UPTAKE OF PPDF .....	46
4.2 THE RESPONSIVENESS OF PPDF .....	48
4.3 THE EFFECTIVENESS OF THE PPDF PROCESS.....	50
4.4 CAPACITY AND CAPABILITY DEVELOPMENT .....	51
5. Conclusion of evaluation findings.....	55
6. Recommendations.....	57
Appendix One Information Pack for PCOs.....	59
Appendix Two Interview tools.....	65
Appendix three.....	71
ABBREVIATIONS.....	71
METHODOLOGY .....	71

# 1. Executive Summary

---

The Pacific Provider Development Fund (PPDF) was set up by the New Zealand Lottery Grants Board (LGB) and is supported by a Secretariat located in the Local Government and Community Branch of the Department of Internal Affairs (DIA).

PPDF was established in 2001 as a short-term fund to enable an eligible Pacific Community Organisation (PCO) to access training and mentoring in corporate governance, financial management and general business management. The establishment of the Fund followed a cultural audit of lottery grants that found that Pacific communities were not receiving an equitable share of lottery funding, and that Pacific applicants were often declined owing to inadequate financial and management systems.

In 2004 the Board re-confirmed its commitment to PPDF and to improving its responsiveness to the Pacific community. However, it agreed the PPDF could not continue in its current form and it put the PPDF's 2004/05 funding round on hold pending modifications to ensure a greater focus and accountability. The Fund's operation was reviewed in 2004 and that review included an examination of the PPDF's activities. The Board continued to support the overall strategic investment to progressively build the capacity of Pacific organisations and thus improve Pacific equity of access to Lottery funds. The Fund re-opened in 2005/06 with a redeveloped approach to further facilitate eligible PCOs to have training, and mentoring, in corporate governance, financial, and general business management. The 2005/6 Fund allocated \$199,229 of training to 41 PCOs the 2006/07 Fund allocated \$314,877 of training to 39 PCOs.

---

In December 2007, DIA commissioned this evaluation of PPDF to assist the Board to make a funding decision about PPDF and to confirm the continuation of the Fund for at least two years post the 2008-09 financial year.

This evaluation has been undertaken on the relaunched PPDF and has looked at the funding rounds since then (2005/06 and 2006/07). PPDF has two primary objectives; the first is to build the capacity and capability of PCOs, the second is to improve the ability of PCOs to access other funding.

The evaluation had four specific objectives to be addressed:

- 1 Provide evidence and data to the LGB to enable it to make a decision on future funding allocations of the PPDF.
- 2 Identify whether the LGB and PPDF is being responsive to the needs of the Pacific community.
- 3 Identify what is working and what is not working within the PPDF.
- 4 Identify whether the capacity and capability of PCOs is being developed.

What the evaluation has shown about PPDF is evidence of a good process, a level of responsiveness to Pacific community organisational needs and some capacity and

capability building of individuals, and groups. While it is difficult to clearly establish overall how successful PPDF has been in achieving its primary objectives there is no evidence to suggest that PPDF should not continue for a further two years

The interview data indicates that PPDF has provided successful training experiences for the majority of PCOs over the period covered in this evaluation. The components of that training have been focused on financial, management and governance development. These components are identified as important for PPDF to give effect to its intended outcome which is to facilitate PCOs' successful applications for funding grants. Some of these organisations are pursuing those funding opportunities. However, there are limitations to the extent this evaluation can provide evidence that PPDF training is demonstrating its effectiveness in better funding outcomes for PCOs. There is, however, evidence that many PCOs that have had funding have moved to stronger positions in the business framework of their organisations and therefore would be in a position of strength if they were to apply for funding.

Key findings are:

PCOs from the eight main Pacific communities in New Zealand (and across a range of geographical locations) had made successful applications to PPDF.

PPDF had been responsive to meeting most of the training needs of PCOs; however:

- Those needs are narrowly defined and there is little opportunity to assess the ongoing relevance of those needs in the PPDF process.
- PCOs have training needs and priorities outside the scope of PPDF, but within PPDF there is no process for identifying and addressing these.
- The responsiveness has been limited by shortfalls in the availability of Community Advisor support.

A salient response from PCOs about the training was that it would enhance the building of their capacity and capability if it were part of a phased development plan. That plan, they suggested, would include mentoring, ongoing organisational development assistance and some infrastructural support.

The strengths of the PPDF process are:

- Central coordination and standardisation of information.
- The usefulness of the information sessions on PPDF provided to Pacific communities.
- Strong support provided by advisors and strong relationships between advisors and PCOs, particularly (but not solely) where there are Pacific advisors.
- Availability of skilled Pacific training providers who can deliver training in Pacific languages.
- An increased ratio of successful applications for funding.

The evaluation found that the PPDF process could be enhanced by focusing on the following areas for improvement:

- Better connection between the strategic, policy, and operational aspects of PPDF.
- Ensuring adequate levels of support for PCOs from Community Advisors.
- Consistent application of the PPDF process across the country.
- Adapting the Capacity Needs Assessment Tool to fit with emerging groups as well as established providers.

- Implementing better management practices for the contracting of training providers.

The evaluation also had findings regarding trainers, and raises factors for consideration in relation to this group. The trainers were not the focus of the evaluation or of PPDF. None-the-less, there are findings and outcomes about them of interest, which could be regarded as unintended components of PPDF. The following is a consideration for enhancement of PPDF with regard to trainers:

- Develop a mechanism for monitoring training to identify consistent application of high quality tuition that incorporates Pacific values and principles to training.

The extent to which PPDF has contributed to the development of the capacity and capability of PCOs is difficult to measure but all parties interviewed agreed that:

- Some development has occurred, though it has mainly been for individuals, to a lesser extent for PCOs and it is difficult to measure if a contribution has been made to the development of Pacific communities.
- The development is demonstrated through the raising of awareness of governance and management practices, the gaining of new knowledge, improved and changed governance and management practices and, in some cases, unification of group members.
- Development has also occurred through building a pool of Pacific training providers, though processes need to occur to ensure, and monitor, the quality of training providers.
- The extent of likely development depends very much on the stage at which a PCO is at when it applies; currently the PPDF process fits an established provider better than an emerging organisation.
- Effective development of PCOs must factor in the Pacific values framework that underpins the organisation; there is nothing in the PPDF process to ensure that the training addresses this (whether through content, delivery or both).

The overall conclusion is that PPDF is a mechanism that has enabled the LGB to be responsive to the needs of PCOs through a programme of specific training designed for the purpose of promoting better funding outcomes. As a result PPDF has assisted some development of the capacity and capability of PCOs in the areas of organisational development, which support good business practice, for example, governance and financial management. Further enhancements could occur to the capacity and capability development of PCOs if a wider range of capacity and capability building solutions were included for areas of funding in conjunction with training. This wider range of solutions could have a programme of mentoring and a training approach that includes the medium to long-term development of the PCO through assistance with strategic and business planning.

## Recommendations

The recommendations from this evaluation are:

- PPDF should continue for at least a further two years, on the basis that it has had a positive impact on PCOs.

- Policies and procedures for the operation of PPDF are clarified, and the supporting documentation consolidated so that it is readily accessible to Community Advisors and training providers. Currently documents are separately located, some are presented as formal policies, some are generic in nature and some are specific to the application of PPDF. Some procedures appear not to be formalised.

Examples of policies and procedures that could be identified for attention are:

- i. Respective roles and responsibilities of the Community Advisor, the PPDF Committee Coordinator, the training provider, the applicant organisation and the PPDF Subcommittee.
  - ii. The documents which guide processes for:
    - ` Making and assessing applications.
    - ` Eligibility for assistance.
    - ` Assessing Capacity Needs.
    - ` Selection of training provider.
    - ` Training arrangements.
    - ` Accountability reporting.
    - ` Payment of funds.
- Community Advisor resource is allocated according to the nature and extent of demand for PPDF in the regions where the fund is allocated.
  - The Community Advisor role is prescribed and documented.
  - Adequate professional development and resources are prescribed to support the Community Advisors in their role of assisting Pacific communities with PPDF.
  - The Capacity Needs Assessment Tool is reviewed to make it easier to apply to the needs of emerging organisations and flexible enough to factor into the assessment the operating environment of individual organisations.
  - Arrangements are formalised in the agreement between DIA and training providers that document the service deliverables, dates for delivery, reporting requirements and payment schedules.
  - Consideration is given to allocating PPDF grants for mentoring and organisational development, and consideration is extended to include whether this support might be an additional component to the PPDF Community Advisors role or a function for the trainer.
  - Systematic evaluation processes are in place to analyse information collected about PPDF activity for the purposes of monitoring performance and to effect improvements where required in a timely manner.
  - Information from the completion of training is analysed in a timely manner to provide knowledge of the capacity and capability development occurring for PCOs and PPDF as a whole.

- Consideration is given to utilising a PCOs training needs assessment in conjunction with a newly commissioned post-training training needs assessment to act as a proxy indicator of development, in part determined by the degree to which the PPDF training has usefully met the PCOs need, and what impact has occurred.
- Data analysis of reported information is fed back to Community Advisors, Managers, training providers and the PPDF Subcommittee to assist with monitoring the performance of PPDF.

## 2. Background to PPDF

---

The Pacific Provider Development Fund (PPDF) was set up by the New Zealand Lottery Grants Board (LGB) and is supported by a Secretariat located in the Local Government and Community Branch of the Department of Internal Affairs.

PPDF was established in 2001 as a short-term fund to enable eligible Pacific Community Organisation (PCO) access to training and mentoring in corporate governance, financial management and general business management. The establishment of the Fund followed a cultural audit of lottery grants that found Pacific communities were not receiving an equitable share of lottery funding, and that Pacific applicants were often declined owing to inadequate financial and management systems.

In 2004 the Board re-confirmed its commitment to PPDF and to improving its responsiveness to the Pacific community. However, it agreed the PPDF could not continue in its current form and it put the PPDF's 2004/05 funding round on hold pending modifications to ensure a greater focus and accountability. The Fund's operation was reviewed in 2004. The Board continued to support the overall strategic investment to progressively build the capacity of Pacific organisations and thus improve Pacific equity of access to Lottery funds. The Fund reopened in 2005/06 with a re-developed approach to further facilitate eligible PCOs to have training and mentoring in corporate governance, financial, and general business management. The 2005/6 Fund allocated \$199,229 of training to 41 PCOs the 2006/07 Fund allocated \$314,877 of training to 39 PCOs.

### 2.1 Objectives of Evaluation

In December 2007, DIA commissioned this evaluation of PPDF to assist the Board to make a funding decision about PPDF and to confirm the continuation of the Fund for at least two years post the 2008-09 financial year.

This evaluation is part of the LGB's overall strategic investment approach<sup>1</sup> to progressively build upon the capacity of Pacific groups and thus improve Pacific equity of access to lottery funds. This strategic investment approach includes:

- a) A three-year commitment to the Pacific Provider Development Fund (the PPDF), with a possible two-year extension to be determined by an evaluation of results and assessment of the need for such capacity-development assistance – in alignment with the Board's wishes for a finite five-year time-span for the PPDF, and support to improving responsiveness to the Pacific community.
- b) Developing collaborative arrangements with other funders, determining approved training providers, mentors and related programmes, and

---

<sup>1</sup> "Pacific Provider Development Fund Modifications: An Investment approach to Improving Responsiveness to Pacific Communities", LGB Meeting 4 May 2005, Agenda Item 5.5, Paper No. 9.

developing and delivering consistent information that directly addresses Pacific groups' particular needs, including the need for face-to-face verbal interaction.

- c) Appropriate external evaluation of the PPDF, and of the modified approach, to ensure more effective provision of information to Pacific applicants and ensure that they are better able to successfully apply for funding from other committees (and possibly other funders).

The evaluation has focused on the extent to which the PPDF programme has met its objectives since it was relaunched in 2005. The two key objectives of PPDF are to:

- Strengthen Pacific community groups' ability to operate in an effective and accountable way.
- Improve their access to funding from other lottery committees.<sup>2</sup>

The four specific objectives of the evaluation are to:

- 1 Provide evidence and data to the LGB to enable it to make a decision on future funding allocations of the PPDF.
- 2 Identify whether the LGB and PPDF are being responsive to the needs of the Pacific community.
- 3 Identify what is working and what is not working within the PPDF.
- 4 Identify whether the capacity and capability of PCOs is being developed.

While this evaluation seeks to achieve these objectives, there are limitations to the extent of evaluation possible (see section 2.3 below). Also, the evaluation raises some questions as to the appropriateness and measurability of some of the outcomes sought. However, at the very least, this evaluation provides a picture of how PPDF has operated over the past two years, and stories about the development of PCOs that have participated in PPDF.

## 2.2 Structure of this report

In this report, Section 2 describes the objectives and limitations of the evaluation.

Section 3 Findings – describes the findings made on:

- The PPDF process.
- The PCOs that participated 2005-2007.
- The roles and responsibilities of the training providers, community advisors, PPDF Subcommittee and other stakeholders.
- The responsiveness of LGB and PPDF to Pacific communities.
- The extent of building of capacity and capability of PCOs.

Section 4 analyses and discusses the major themes from the findings in respect of the overall objective of the evaluation. Section 5 provides overall conclusions on the operation of PPDF 2005–2007. Finally, Section 6 provides recommendations to the Department of Internal Affairs (DIA) and the LGB for the future PPDF process. Interview schedules are contained in the appendices. Appendix three lists the

---

<sup>2</sup> “Information for applicants to the Lottery Pacific Provider Development Fund, October 2006: information sheet.

abbreviations used in this report and documents the details of the methodology applied for this evaluation.

## 2.3 Limitations

The overall objective of this evaluation is to provide the LGB with information on the operation of, and outcomes from, PPDF to inform its decision regarding continuing the Fund for a further two years.

The scope of the evaluation is limited to:

- PPDF activity during the 2005/06 and 2006/07 application rounds.
- Findings from interviews with a selection of stakeholders and a review of key documents and information.
- Addressing the four identified objectives.
- Making recommendations that can be realistically considered within a two year timeframe.

The evaluation does not include:

- Financial analysis of the costs of implementing the revised PPDF.
- Consideration of the views of all DIA staff<sup>3</sup> who have an interest in PPDF, or of the Pacific caucus.

The extent to which this evaluation can measure the outcomes from PPDF is limited by the following factors:

- There have been only two funding rounds since the PPDF process was re-launched in 2005. This limits the extent of information available from various stakeholders to inform the evaluation (particularly since some of the Pacific organisations that received funding in the 2006/2007 round have not yet completed their training). Two funding rounds also limit the sample of PCOs available to be interviewed.
- The short timeframe for results to accumulate and be reflected upon in order to assess the long-term impacts of PPDF. What are presented are the views and thoughts of key stakeholders at this point in time on the short-term impacts.
- Information has been primarily gathered from and about PCOs, so the extent to which the impact of PPDF on the development of Pacific communities can be measured is limited.
- There is no repository of readily accessible information that can provide a proxy indicator of the total number of PCOs that could potentially be eligible to receive PPDF.
- Some client files did not contain a complete set of administrative data and therefore a comprehensive paper based analysis could not be conducted across the PCOs administrative data, which could complement the data

---

<sup>3</sup> For example, regional managers were not listed amongst the stakeholders of interest for data collection. At a later stage it was recognised that their inclusion would likely have contributed information for the evaluation.

captured at the time of the evaluation. In these instances the research relied on data that was captured during the interviews as the evaluative information, without the support of administrative data as a point of reference.

- The objectives for this evaluation required an assessment of the capacity and capability development of PCOs, which has focused the report to include those findings rather than limiting the research to an outcome assessment focused on the two primary PPDF objectives.

## 3. Findings

---

### 3.1 Evidence and Data on PPDF

The first objective in the evaluation was to provide evidence and data to the LGB, to enable it to make a decision on future funding allocations of PPDF.

The relevant evidence and data gathered:

- Describes the activity that has occurred during the two application rounds under evaluation in terms of:
  - The key parties involved in PPDF and their respective roles – DIA staff, Pacific communities and Pacific training providers.
  - The strategies and policies underpinning PPDF.
  - The training activities that have been funded and how much funding has been allocated.
- Describes the operational processes put in place to give effect to PPDF.
- Identifies how responsive PPDF has been to the needs of Pacific communities.
- Measures the capacity and capability development of PCOs.

Section 3.1 provides a description of PPDF activities over 2005-06 and 2006-07.

Section 3.2 provides evidence on PPDF processes and how they have operated in comparison to how they were intended to operate.

Section 3.3 provides evidence on the responsiveness of PPDF to the needs of Pacific communities.

Section 3.4 identifies the evidence that provides a measure of the capacity and capability development of PCOs from PPDF.

A summary of findings is provided in Section 3.5 to identify:

- What evidence and data there is to assist the LGB in its decision-making.
- Any enhancements for the evidence and data.

#### 3.1.1 Key parties

The PPDF process involves a number of parties. Those parties, their roles, responsibilities and inter-relationships are described in Diagram 2. Also identified is whether the party plays a strategic, policy or operational role in PPDF and whether there are linkages (defined as an active, two-way relationship) between parties. Diagram 2 also identifies parties who have an interest in PPDF but who do not have any formal links to PPDF. For example, PICAG has a direct link to Local Government and Community (LG&C) as they provide strategic advice on ways the Branch can improve its responsiveness to Pacific communities. However, there is no direct mechanism for the involvement of PICAG with PPDF.

Diagram 2 shows that while there are strong and active linkages between parties at an operational level, there are few, if any linkages within the strategic and policy levels, and between these levels and the operational level of the PPDF process.

For the 2005-2007 years, the PPDF process directly involved the following key parties within DIA:

- Seven Community Advisors working in Auckland, Hamilton, Napier, Wellington, Christchurch and Invercargill at varying levels of resource (see Diagram 1 below).
- A PPDF Subcommittee of four members (reduced to three in October 2007).
- A national central coordination function.

**Diagram 1: Regional Allocation of Community Advisor Resource to PPDF.**

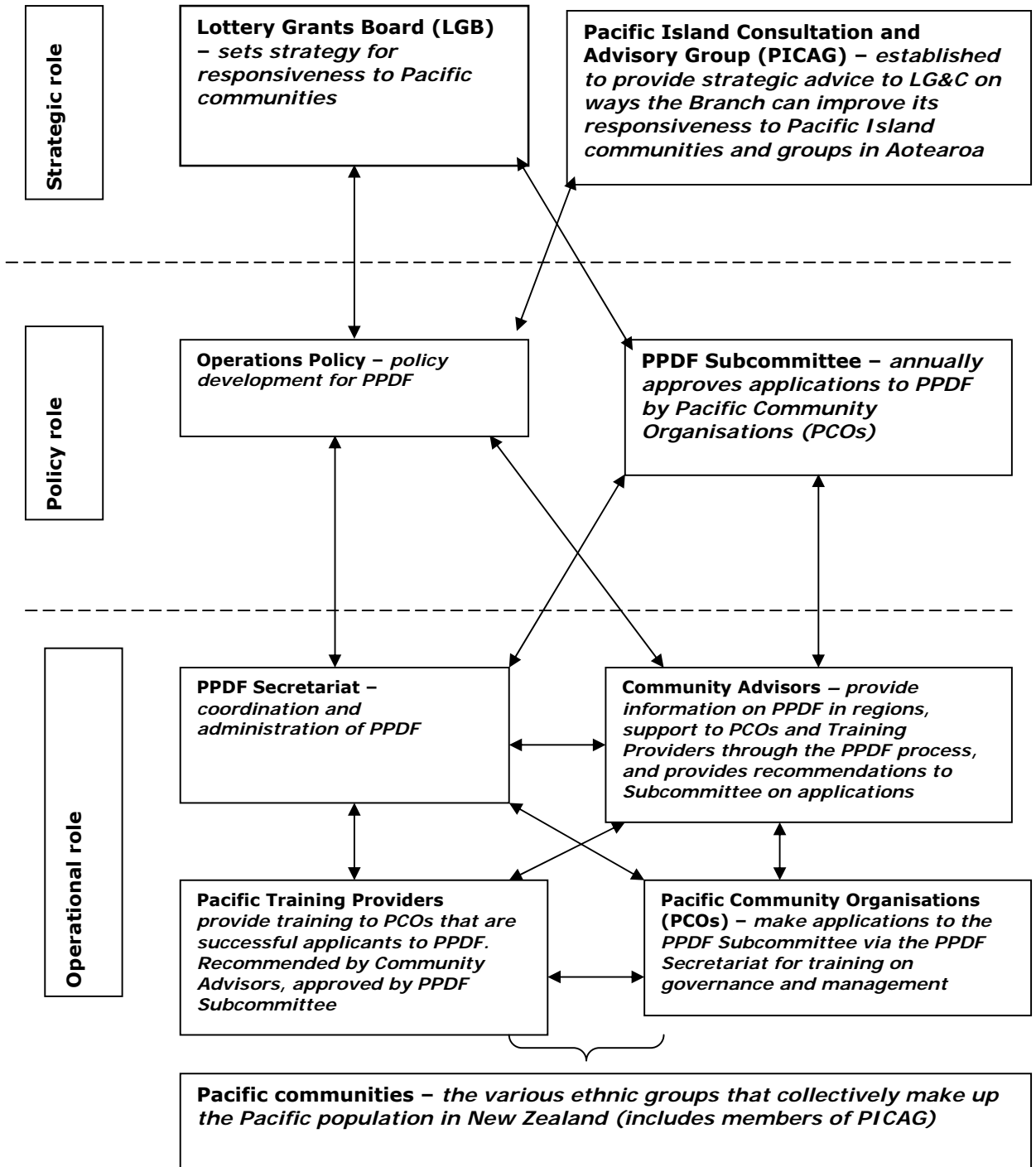
The allocation of Community Advisor resource to PPDF has changed in each region from the beginning of the 2005/2006 funding round to date as follows:

Region	Allocation 2005	Current Allocation
Auckland	1.5	1
Hamilton	0.5	0.25
Napier	0.5	0
Wellington	1	0.25
Christchurch	0.5	0.25
Invercargill	0.5	0
<b>TOTAL ALLOCATION</b>	<b>4.5</b>	<b>1.75</b>

An additional 0.5 full time equivalent (FTE) is currently allocated to a role at National Office that has a central coordination function for PPDF.

**Diagram 2: Key parties in PPDF**

**KEY:**  denotes linkage between parties



### 3.1.2 Strategies and policies

In our review of documentation, we looked for information on the strategies or policies that underpin PPDF and noted four areas of information to identify and include for the purpose of this evaluation.

#### *LGB Statement of Intent 2004-05 – 2007-08*

In the Lottery Grants Board's current Statement of Intent it notes the requirement to (among other things) 'consider the interests of Pacific people'. The Statement also notes that 'the Board is committed to improving its responsiveness to Pacific communities and has established the Pacific Provider Development Subcommittee. Complementing the Fund, Lottery staff and committee members undertook Pacific awareness training'. Outcome 6 in the Statement includes the requirement to increase responsiveness to Pacific communities (among others) by evaluating whether PPDF has achieved its objectives (by 30 June 2005) and ensuring all new committee members have participated in Pacific cultural awareness training.

#### *LGB Strategic Investment Approach*

The re-launched PPDF was a direct result of LGB's overall strategic investment approach to building the capacity of Pacific groups and as part of its overall aim to improve its responsiveness to Pacific communities as outlined in a Board paper in May 2005<sup>4</sup>:

- A three-year commitment to the Pacific Provider Development Fund (the PPDF), with a possible two-year extension to be determined by an evaluation of results and assessment of the need for such capacity-development assistance – this aligns to comments made at the last Board meeting about a finite five-year time-span for the PPDF, and supports the Board's wish to improve responsiveness to the Pacific community.
- Developing collaborative arrangements with other funders, determining approved training providers and mentors and related programmes, and developing and delivering consistent information that directly addresses Pacific groups' particular needs, including the need for face-to-face verbal interaction.
- Appropriate external evaluation of PPDF and of the modified approach to ensure more effective provision of information to Pacific applicants and ensure they are better able to successfully apply for funding from other committees (and possibly other funders).

For the purposes of this evaluation we believe that the intention was that all aspects of this approach would need to be completed in order for LGB to effectively build the capacity of Pacific groups and meet its overall aim of improving responsiveness to Pacific communities. We note the following about specific aspects of the approach:

- *Developing collaborative arrangements with other funders* – Two collaborative arrangements with the Pacific provider development funders' network have occurred; one was the development of the Capacity Needs Assessment Tool

---

<sup>4</sup> "Pacific Provider Development Fund Modifications: An Investment approach to Improving Responsiveness to Pacific Communities", LGB Meeting 4 May 2005, Agenda Item 5.5, Paper No. 9

which is used in the PPDF process. The other is a review of a Unitech course to gauge the extent to which it met the needs of Pacific providers in the social services sector (it is not clear how this has impacted on PPDF if at all). The previous formative evaluation identified some gaps that could be met by collaborative arrangements including the development of common criteria for selecting training providers and the maintenance of a joint list of approved training providers to help build Pacific organisational capacity. Neither of these gaps has been filled. During 2007-08, the PPDF Secretariat will be responsible for working with the Network to progress the work on the development of common criteria for the selection of training providers, and on considering a joint list of approved providers. There is no indication that this has taken place.

- *Determining approved training providers and mentors and related programmes* – there has recently been a more robust process put in place to select training providers for PPDF but there has been no formal determination for mentors or identification of related programmes.
- *Developing and delivering consistent information that directly addresses Pacific groups' particular needs, including the need for face-to-face verbal interaction* – while consistent information has been developed to operate the PPDF process (Capacity Needs Assessment tool, standard Advisor report, Development Plans, letters) there has been no consistent training material or information developed.
- All LG&C staff will participate in Pacific Cultural Awareness training as part of their professional development and performance management programme (to be conducted over 2007-08).

In summary, previous recommendations and suggested ways to modify or address PPDF have not always been acted upon.

### *PICAG Strategy*

The role of PICAG (the Pacific Island Consultation and Advisory Group) is to provide strategic advice to LG&C on ways the Branch can improve its responsiveness to Pacific communities and groups in Aotearoa. To facilitate its role, PICAG sets a strategy in partnership with LG&C. While this evaluation did not specifically look at the current PICAG Strategy (which is in the process of being developed) we do note that it exists without a formal linkage to the PPDF strategy and process or the LGB strategic investment approach. Similarly each has a focus to assist in the development of Pacific communities and a formal link might provide an enhancement to the common objective.

### *Policies and procedures*

Policy to support PPDF has been identified at a generic level, but the supporting documentation cited does not specifically address PPDF. For example, while there is a job description for Community Advisors, it does not specify expectations in relation to their role in PPDF.

There are policies in place around the operation of the PPDF Subcommittee, and these are set out in the Information for PPDF sheet. These include an explanation of the purpose of PPDF, the criteria for applications to PPDF and the process for

applying. There are no policies to govern the training providers and training under PPDF, or the support functions for PPDF. There appear to be some generally agreed practices that are upheld, but these are not documented in policy – for example, the requirements that training providers must be of Pacific descent or that training be tailored to suit the environment and context in which the PCO operates.

However, there are PPDF Procedures for Advisors which were issued to all PPDF Advisors in November 2006 in a memo from a Regional Manager. This sets out clear guidelines in respect of:

- Process for agreement on the training provider and applicant groups.
- Expectations regarding venue and catering costs.
- Information required in the training provider's quote.
- Procedures for PPDF Advisors to record the quote received from the Training Provider.

The memo also provides some information on the expected scope of the role of a PPDF Advisor:

- Work with groups requesting assistance to complete a needs assessment, and develop a training plan to meet the capacity needs of the group.
- Assist groups to identify a training provider that has registered an expression of interest with DIA.
- Submit a training plan agreed to by the applicant group and the training provider, with an Advisor's report to the PPDF Subcommittee for consideration.

### *Summary*

There are various components of strategy, policy and procedures that are associated with PPDF. These components are, in some instances, separate rather than strongly linked components. Amongst the detail there are some aspects of operations that are not formally documented as operational policy for PPDF.

#### 3.1.3 Financial commitment, application success

For the 2005-2007 period \$514,106 was committed to PPDF and distributed across regions to 71 PCOs in the Pacific community. Table 2 below shows the allocations made to the Fund (2005-2007), the actual funds committed and the number of PCOs received funds. For comparative purposes, information for the 2001-2004 years, and the financial commitment for 2007-08 are shown (noting that there was no application round for 2004-05).

**Table 2: Financial commitment to PPDF**

Year	Amount allocated	Amount committed	Number of successful applications	Number of applications declined
2001-02	\$500,000	\$332,040	125	47
2002-03	\$414,000	\$581,368	128	8
2003-04	\$414,000	\$230,959	70	29
<b>2005-06</b>	<b>\$200,000</b>	<b>\$199,229</b>	<b>41</b>	<b>5</b>
<b>2006-07</b>	<b>\$350,000</b>	<b>\$314,877</b>	<b>40 (includes 10 PCOs that received PPDF during 2005-2006)</b>	<b>4</b>
<b>TOTALS</b>	<b>\$550,000</b>	<b>\$514,106</b>	<b>81</b>	<b>9</b>
2007-08	<b>\$558,345</b>	To be determined June 2008		

*Note: The amount committed includes the amount distributed with any adjustments made for write backs or amounts carried forward from previous years (Table 2).*

This evaluation did not gather information on the basis for the amounts allocated. There has been no analysis conducted of past allocations or commitment; this would have provided an informed basis for future allocations.

The increase in allocations from the 2005-2007 years implied an expected increase in applications activity. The number of new groups applying has reduced over the two-year period – 41 in 2005-06, then only a further 30 in 2006-07, though it is noted that the average funds distributed per group rose from \$4,859 to \$7,871. Conversely, however, the extent of Community Advisor support allocated to PPDF was reduced between 2005-06 and 2006-07 from FTE 4.5 to FTE 2.25,<sup>5</sup> The rationale for these decisions is not entirely clear; there was an expectation earlier on that PPDF would be more labour-intensive in its first year of the re-launch, and less so in subsequent years.<sup>6</sup> Consideration of the long time-frame over which capacity building occurs could factor into an equation which shows that PCOs need for support is an ongoing labour-intensive demand for the Advisor.

It is noted that the success rate of applications has increased from 71% to 91% from 2003-04 to 2006-07. This addresses one of the earlier concerns that led to PPDF, that PCOs were being less successful with their applications.

#### 3.1.4 Information on Pacific Community Organisations (PCOs) that applied to PPDF

Information on the ethnicity and geographical location of successful and declined applicants to PPDF 2005-2007 is presented in Tables 3 and 4 below.

<sup>5</sup> These figures were provided by DIA Research and Evaluation Unit and further confirmed through interviews with Community Advisors.

<sup>6</sup> As stated in the LGB Board paper, 4 May 2005.

**Table 3: Applications to PPDF 2005-06** *Note: Applicants declined noted in ( )*

Ethnicity Region	Samoan	Cook Islands Māori	Tongan	Pan-Pacific	Tuvaluan	Niuean	Fijian	Tokelauan	Kiribas	TOTALS	% by area
Northland	1	0	0	1	0	0	0	0	0	2	5%
Auckland	3 (1)	4 (1)	0	0	2	0 (1)	0	0	1	10	24%
Waikato	6	1	3	0	0	0	0	0	0	10	24%
Hawke's Bay-Manawatu	1	3	0	1 (1)	0	0	0	0(1)	0	5	12%
Wellington	5	1	0	0	0	0	1	1	0	8	20%
Canterbury	3	0	0	0	0	0	0	0	0	3	7%
Otago/Southland	1	0	1	1	0	0	0	0	0	3	7%
<b>TOTALS</b>	<b>20 (1)</b>	<b>9 (1)</b>	<b>4</b>	<b>3 (1)</b>	<b>2</b>	<b>0 (1)</b>	<b>1</b>	<b>1 (1)</b>	<b>1</b>	<b>41 (5)</b>	
%	49%	22%	10%	7%	5%	0%	2%	2%	2%		
National population % (as per 2006 census)	49%	22%	19%		1%	8%	4%	3%			

**Table 4: Applications to PPDF 2006-07**

Ethnicity Region	Samoan	Cook Island Māori	Tongan	pan-Pacific	Tuvaluan	Niuean	Fijian	Tokelauan	Kiribas	TOTALS	% by area
Northland	1	0	0	0	0	0	0	0	0	1	3%
Auckland	2 (2)	5	8	1	2	2 (1)	2 (1)	1	0	23 (4)	58%
Waikato	3	1	3	0	0	0	0	0	0	7	18%
Hawke's Bay-Manawatu	1	0	0	0	0	0	0	0	0	1	3%
Wellington	1	2	1	0	0	0	0	0	0	4	10%
Canterbury	2	0	0	0	0	0	0	0	0	2	5%
Otago/Southland	1	0	1	0	0	0	0	0	0	2	5%
<b>TOTALS</b>	<b>11 (2)</b>	<b>8</b>	<b>13</b>	<b>1</b>	<b>2</b>	<b>2 (1)</b>	<b>2 (1)</b>	<b>1</b>	<b>0</b>	<b>40 (4)</b>	
%	28%	20%	33%	3%	5%	5%	5%	3%	0%		
National population % (as per 2006 census)	49%	22%	19%		1%	8%	4%	3%			

While it is not surprising to see that the majority of groups applying for PPDF came from the Auckland area, it can also be seen that there are groups applying from other cities and areas with smaller Pacific populations (e.g. Hawke's Bay, Manawatu). Also, applications have come from all eight of the major Pacific communities in New Zealand as well as from pan-Pacific groups, though in varying proportions.

A general comparison has been made between the percentage of PCOs per Pacific community applying for PPDF, and the 2006 census figures. To investigate this

further, Table 5 (below) makes a comparison between the proportion of each large<sup>7</sup> Pacific community in each main region<sup>8</sup>, and the number of applications from organisations in those communities in the 2006/2007 application round. For example, this shows that while Samoans are the second largest group in Northland (33% of the total population of the six groups), all the applications for Northland were from organisations in their community. Conversely, it shows that while the Tokelauan community make up 10% of the Pacific population in Wellington, there were no applications from organisations in their community. While it cannot be assumed that the size of the community alone has a direct bearing on the number of organisations operating to benefit that community, this does suggest that there are communities (both ethnically and geographically) who are not applying for or being successful in their applications to PPDF. This information provides a useful starting point for determining where and how effort needs to be applied to disseminating information about PPDF.

**Table 5: Regional breakdown of large Pacific communities and applications activity**

Ethnicity Region	Samoan		Cook Islands Māori		Tongan		Niuean		Tokelauan		Tuvaluan	
	% * TA	% **PP	% * TA	% **PP	% * TA	% **PP	% * TA	% **PP	% * TA	% **PP	% * TA	% **
<b>Northland</b>	100%	33%	0%	35%	0%	19%	0%	1%	0%	11%	0%	
<b>Auckland</b>	17%	48%	21%	19%	33%	22%	8%	1%	13%	10%	8%	
<b>Waikato</b>	43%	32%	14%	40%	43%	16%	0%	5%	0%	7%	0%	
<b>Hawke's Bay- Manawatu</b>	100%	43%	0%	33%	0%	16%	0%	3%	0%	5%	0%	
<b>Wellington</b>	25%	60%	50%	19%	25%	6%	0%	10%	0%	4%	0%	
<b>Canterbury</b>	100%	59%	0%	19%	0%	14%	0%	1%	0%	6%	0%	
<b>Otago/Sout hland</b>	50%	44%	0%	32%	50%	15%	0%	3%	0%	6%	0%	

\* TA = Total applicants

\*\* PP = Pacific population

#### Training providers and training activity

This section describes the training providers and the training services delivered during 2005-06 and 2006-07 years.

#### Training providers

- There were 12 Pacific training providers who were funded to provide training services to the 71 successful applicants.
- The 12 trainers were a mix of ethnically centred Pacific providers; five were Samoan, four were Cook Islands Māori, two were Tongan and one Fijian. At least seven were able to deliver training in a Pacific language where required

<sup>7</sup> Samoan, Cook Island Māori, Tongan, Niuean, Tokelauan and Tuvaluan – while Fijians are the fifth largest Pacific ethnic group in New Zealand, there was no individual profile available on this group so they have not been included.

<sup>8</sup> 2006 census, Pacific Profiles 2006, Statistics New Zealand.

and at least two focused on delivering to pan-Pacific groups, from a pan-Pacific perspective.

- Sixty percent of the training was provided between two training providers; the remaining 40% was provided by the other 10 providers.
- While all training providers were based in three large cities (eight in Auckland, two in Wellington and two in Christchurch), many training providers travelled to different parts of the country to provide training services.
- Training providers became associated with PPDF either through requests from the PCOs to DIA, through being known by the Community Advisor or through a request from DIA to join a National List of training providers. There does not appear to have been a consistent process to date for the selection of training providers, or for the monitoring of the quality of training delivered. In some areas it appears that expressions of interest were called for, in other area informal contact was made by DIA with training providers.
- The range of training topics delivered by the providers included:
  - governance,
  - roles and responsibilities,
  - financial management – including basic book-keeping, budgeting, taxation, reporting, financial management systems,
  - vision and mission development – including the development of strategic plans, and
  - management systems.
- The training providers' key relationships were with:
  - Community Advisors,
  - the PCO.

### *Training activity*

- The PPDF process specifies the capacity training areas as:
  - vision and mission.
  - governance.
  - finance and accounting.
  - general management, and
  - human resources.
- These five areas are determined in the Capacity Assessment Tool (as contained in the Workbook). There has been no review since the identification of these areas to ensure that they remain relevant and necessary for the PCOs applying to PPDF. It was also noted that while the information for applicants on PPDF does discuss the assistance that may be given it does not specifically identify the areas of training that will be provided.
- In 2005-06, most organisations received funding for multiple areas of development training. The three priority areas in which the PPDF Subcommittee most frequently approved capacity development training were:

- corporate governance (76%),
  - financial management (56%), and
  - vision and mission development (54%).
- Again in 2006-07, nearly all organisations received funding for multiple areas of development training. The four priority areas in which the PPDF Subcommittee most frequently approved capacity development training were:
    - corporate governance (60.9%),
    - financial management (85%),
    - vision and mission development (46%), and
    - management (39%).

A body of training material has been built up over the two funding rounds (at least 140 training sessions developed under PPDF, on the basis of at least two sessions per PCO). There is information contained in the accountability reports on the views of the PCO, training provider and advisor in relation to the training. However, there is no systematic analysis of that material. There is also no process for ensuring the consistency of the quality or content of the training delivered. The Community Advisors rely on their experience to assess the appropriateness of training without considering what constitutes good content delivery in, for example, governance and management.

There is a well-established body of knowledge regarding governance and management practice generally. However, there has been less development of governance and management practices that take into consideration Pacific values, principles, environment and Pacific concepts of governance and management. Training providers noted their knowledge of the workings of Pacific communities, or their own Pacific heritage and/or language skills, as being key competencies that they bring to PPDF. However, training providers appear to have different approaches and philosophies with regards to the content of the training. For example, one provider approached the training with a generic governance package. Another tailored a session to include Pacific concepts of governance as a means of explaining governance eg, the Samoan concept of matai.

Three PCOs that had received governance training from a training provider who delivered a corporate-style governance training session shared similar views on the content of the training:

*"A lot of the material was not relevant to our little organisation; we could not see how it applied to us".*

One PCO that received financial management training from another training provider commented:

*"We could understand what he meant because he used the Tongan language and Tongan concepts to explain technical terms, and it made it easier for us".*

Another PCO commented that training providers:

*"Need to be community people so that they can speak in the language of the community".*

Overall, PCOs mentioned the following characteristics of the training provider and training as those that contributed to their development:

- Relevance of both the content and delivery style to their organisation and community.

- Understandable.
- Delivery appropriate for our situation (not-for-profit, Pacific community vs. corporate and mainstream).
- An empathetic training provider (*“one who understands us”*).
- Appropriate language used (linguistically, as in Samoan/Tongan, as well as technically suited to the group).
- Clear points of delivery.
- Tailored delivery (tailored specifically to suit PCOs needs and capability – for example, shorter, more frequent sessions rather than one full-day session).

Interviews with training providers also highlighted that they could contribute to the consistency of information and they explicitly expressed an interest in having opportunities to share practice with other training providers, and that the promotion of combined best practice would benefit PCOs. This is not to say that training providers are expected to have the same style of training; however, it is realistic to expect that there is a consistency in quality and content. One training provider’s comment described the merit in sharing practice with other providers:

*“PPDF could provide an opportunity for training providers to have peer support to share ideas and learnings from their experiences with these different groups. Have done this informally”.*

Training providers under PPDF may also deliver similar training to Pacific groups under other funding schemes. This is an area where DIA could collaborate with other funders to support training providers to jointly develop best practice. The output of this activity would be beneficial to all funders.

A key recommendation from the previous formative evaluation was that DIA encourage the Pacific Provider Development Funders Network to progress work on the development of common criteria for the selection of training providers. In addition, there was a recommendation for a joint list of approved training providers to help build the capacity among Pacific providers in the social sector. There was an undertaking made in the management response to this recommendation that work in this area would commence during years 2007-2008 with the Ministry of Pacific Island Affairs, Children, Youth and Family (CYF) and Te Puni Kokiri. There is no evidence of progress in this area; DIA has recently produced an Expression of Interest process.

### 3.1.6 Community Advisors’ activity

The key roles of the Community Advisor in relation to PPDF are promotion, dissemination of information, undertaking of a needs assessment, support to applicants throughout the process, identification of a training provider and facilitation of training arrangements.

The Community Advisors have been described by all groups of stakeholders interviewed as the linchpin for the PPDF process. PCOs noted that where there is a strong and active Community Advisor they have felt well-served because there has been a strong understanding of their needs, and an appropriate training provider has been selected for them. In particular, PCOs and training providers noted the additional value received from Pacific Community Advisors due to their innate understanding of the Pacific communities, which has contributed to their ability to facilitate groups to take up PPDF.

The Community Advisors' key relationships are with the:

- PCOs.
- Training providers,
- The Committee Coordinator, and
- The Subcommittee (only at the time applications are being processed and only if the Subcommittee requires further information/clarification from the Community advisor).

As noted previously in section 3.1.1 the extent of support to the PPDF process designated to be provided by Community Advisors has reduced over the evaluation period from FTE 4.5 to FTE 2.25, and ranges from a full-time position down to a 0.25 FTE. The rationale for this reduction in support is that PCOs would require less support from Community Advisors as time went on, supposedly because they would have an increasingly stronger understanding of the PPDF process and that they would be strengthened through the training provided. It is unrealistic to expect the PCOs would have been significantly strengthened in such a short timeframe and particularly since the majority of the applications during the two year period were only for one year.

The true extent of the support actually provided by Community Advisors is difficult to measure for two reasons; firstly, nearly all advisors are committing more time to supporting PPDF than the time designated, and secondly, there are advisors who provide extensive support to PPDF because of the demand in their community but are not officially designated to do so. There is some evidence to show that managers are taking a range of approaches to maximising the limited resources to ensure that Pacific communities can be served. The evaluation did not gather information from regional managers as to management strategies in this respect. There is a view at National Office level that there is a demand for Community Advisor support, which cannot be met by the current allocation of resource.

There has been very little policy and procedures for building and maintaining the capability of Community Advisors to effectively undertake their role in PPDF.<sup>9</sup> Importantly, the Community Advisors are responsible for clearly understanding the needs of PCOs as well as selecting appropriate training providers. They need to be capable of judging the appropriateness and quality of the training provider and the training material. Therefore a policy and procedure for building and maintaining the capability of Community Advisors warrants attention.

We note that Pacific cultural awareness training has recently been started by PICAG and the Pacific Caucus. It is intended that all LG&C staff will attend training. Training is also planned for Lottery Distribution Committees. We also note that information about the PPDF process and the roles and responsibilities of PPDF Community Advisors is provided via memos from regional managers to all staff.

---

<sup>9</sup> We note that Pacific cultural awareness training has recently been started by PICAG and the Pacific Caucus; it was anticipated in the management response to the previous PPDF Evaluation that all LG&C staff would attend training, commencing in 2007/2008. Training has commenced though it is not compulsory. Training is also planned for all members of Lottery Distribution Committees in 2008/2009.

## 3.2 The PPDF Process

### 3.2.1 Our understanding of the intended process

In this section we outline our understanding of how the PPDF process is intended to work. Section 3.2.2 details our findings on how the processes have actually been implemented.

The key steps in the PPDF process as intended are:

- 1 Information dissemination on PPDF through a range of mechanisms:
  - a. Specific fono held in regions about PPDF and other LGB funds, as organised and facilitated by Community Advisors.
  - b. Community Advisors making direct contact with PCOs to provide information about PPDF.
  - c. Community Advisors responding to queries from PCOs about funding.
  - d. The Committee Coordinator responding to queries from PCOs.
- 2 PCOs complete application form, including identification of training needs.
- 3 PCOs and Advisors meet and conduct a needs assessment process using the Capacity Assessment workbook.
- 4 A training provider, or a mentor, is identified, provides a training proposal and quote to the Advisor, a Development Plan is completed and copied to the PCO.
- 5 The Advisor completes the Advisor Report and submits it to the PPDF Coordinator who then sends it on to the PPDF Subcommittee to accompany the application.
- 6 The application is considered by the PPDF Subcommittee in one approval session per year (normally in June) and a decision is made.
- 7 The decision is communicated to the PCO by the PPDF Coordinator.
- 8 The Advisor contacts the PCO and the training provider and facilitates the training arrangements (in accordance with the PPDF Procedures for Advisors memo, outlined previously in section 3.1.2).
- 9 The training provider delivers the training to the PCO as agreed.
- 10 Once the training has concluded, the Advisor, PCO and training provider complete their documentation which includes: an Advisor Report, a Client Evaluation Form and the Training Provider Accountability Report, they are then submitted to the PPDF Coordinator. The training providers are then paid for their services upon submission of a GST invoice.

Our findings on the process

### 3.2.2.1 *Information dissemination on PPDF*

PCO data was complimentary about the funding information sessions/fono that provided them with information on PPDF as well as other sources of funding. All PCOs interviewed stated that they had received information on PPDF either directly from a Community Advisor or via the DIA sessions for the community on funding available. Other sources of information were media (mainly Pacific radio) or communication from other community organisations in their area. Many commented that there were still a large number of groups who had never heard of PPDF.

*"We first heard about PPDF through Samoan radio – they were advertising community information sessions. So we went along and it was a good session. That's when we first heard about training".*

All Community Advisors interviewed noted that information dissemination on, and promotion of, PPDF was a key part of their role.

*"I speak at community forums, I do face-to-face contact, funding workshops, other seminars, expos and any community forum I can".*

One advisor noted that in order to get information out to PCOs requires working extra hours.

*"If I was really working within 0.25 I would feel really frustrated that I couldn't do a proper job. I have to work around groups and look at the best time for them. Often we have fono in evenings 'cause everyone works".*

### 3.2.2.2 *Completion of application form*

Overall, most PCOs were comfortable with completing the application form, though the following comments were made by three groups (two of whom were experienced in making funding applications, and one for whom this was the first time):

*"A lot of hoops to go through for a relatively small amount of money".*

*"There are more things that you can't apply for than things you can apply for...".*

*"The form has a lot of similar questions and the purpose of all the questions is not clear.....it is quite repetitive".*

PCOs also made reference to the assistance provided by advisors in the completion of application forms.

Many groups had not always fully thought through their training needs at the time the application was being filled out. In those cases, groups applied for governance training, roles and responsibilities and financial management training.

### 3.2.2.3 Capacity Needs Assessment

The Capacity Needs Assessment tool used in the PPDF process was the result of collaboration between DIA and other members of the Pacific provider development funders' network.<sup>10</sup> It was envisaged that the tool would increase the effectiveness of Pacific provider development funding for the whole Pacific provider sector through:

- Training Pacific providers in the use of the tool.
- Helping them to draw up development plans that could be funded by all funding agencies that had an interest in that Pacific provider.
- The eventual formation of a basis for further collaborative work.

The previous evaluation (Paulin and Tanielu, 2006) did make some observations about the application of the Capacity Needs Assessment Tool; one comment was that it was an excellent tool that sets a benchmark for best practice. While the advisors noted that the re-development of the tool was a positive step, they did note that they only had a short time (one month) to become familiar with the tool before having to apply it.

Of the 29 successful PCOs interviewed in this evaluation, only three recalled the Capacity Needs Assessment process being undertaken with the advisor as the basis on which the training needs were determined. The rest either:

- Did not recall their needs being determined at all but acted upon the advice of the advisor.
- Did recall a discussion with the Advisor but had not appreciated that the purpose of it was to determine the training needs.
- Had their needs determined by their leaders.
- Were happy to have any training, even if they hadn't initially identified that they had a need for that training.

Those PCOs that did recall undertaking the Capacity Needs Assessment had mixed views about the process and the tool.

*"It was good to have a chance to think about what we really need".*

*"Many of the questions were not relevant to us – we're only a small organisation and we don't have staff".*

*"The Capacity Needs Assessment does not take into account our preferred method of training delivery".*

These comments highlighted that the Capacity Needs Assessment Tool did not recognise the characteristics of new, emerging or informally structured PCOs that were primarily in place to facilitate community activities. Given that one of the key characteristics of PPDF was that it would fund both established and emerging groups, it is reasonable to expect that the Capacity Needs Assessment Tool could be effectively applied to both sets of groups.

Comments from the Community Advisors also highlighted this point.

---

<sup>10</sup> A Formative Evaluation of the Redeveloped Pacific Provider Development Fund, Judy Paulin and Liz Tanielu, August 2006, pages 39 – 41.

*"The tool is quite high level; I spend a lot of time explaining the tool and what it means. It gives me a guide but it's not that useful to form information for the development plan. Some groups think the tool is a criticism of them the things they don't have. It was developed to meet the needs of larger groups".*

*"It's an appropriate and useful too. However, I tend to modify it a bit depending on the group. If they aren't well-established I won't ask them all the questions, it depends on their stage. It doesn't necessarily meet the needs of the organisation but it does meet the needs of DIA".*

*"It's a good tool, though over-the-top for groups we are working with. It was developed for providers, groups that had capacity already. Our fund is targeting emerging Pacific groups who haven't yet got their foot in the door. The tool isn't practical for these groups".*

#### **3.2.2.4 Training/mentoring arrangements**

Both training and mentoring were envisaged as part of the LGB's overall strategic investment approach to responsiveness to the Pacific community. In addition, the information provided on PPDF clearly states that assistance may include, among other things, 'access to mentors for specific advice and guidance' and 'access to targeted training and skill development'.

From our interviews and documentation review we saw that training providers/mentors were selected and invited to submit a training proposal and quote either:

- At the request of the PCO – because it was someone they knew and trusted, or someone who had the necessary skills and could speak their language.
- At the recommendation of the Community Advisor; or
- Because they were on the National Training list.

The process for becoming a PPDF training provider has best been described as loose to date, with no means of ensuring or monitoring quality of training providers or of ensuring consistency of the standard of training material delivered to PCOs. The PPDF Procedures for Advisors Memo refers to training providers who have registered an expression of interest with the department'. Not all training providers that were delivering training had registered an expression of interest. The one commonly required and applied characteristic appears to be that the training provider is of Pacific descent, though this is not documented or recorded in policy. The need to improve the process to ensure and monitor quality of training providers was raised by the Subcommittee during the last two application rounds. In March 2008, the PPDF Secretariat instituted a new Expression of Interest process for all training providers, requesting information on qualifications, skills, experience, training programmes offered, referees, and costs.

There was a consistent view, however, among Community Advisors, PCOs, the Subcommittee and PICAG that while there was no robust process for ensuring training provider quality that in fact the PPDF Pacific training providers were of high calibre.

In nearly all cases, the training provider based their proposal upon the conversations had with the Community Advisor about the group's needs. Four of the seven training providers interviewed mentioned the constant need to be flexible in the scoping and delivery of training material, as many of the specific needs of the organisation did not become fully clear to them until they were delivering the training.

One of the training providers interviewed specifically requested to be part of the Capacity Needs Assessment process, to enable him to gain first-hand understanding of the training needs and to tailor the training accordingly. The PCO that received training from this training provider commented on the usefulness of having the training provider present during the discussion to hear their needs. They also commented on how they were thankful to have an opportunity to properly establish a relationship with the training provider, and one that in true Pacific style has extended well beyond the training sessions.

Only two PCOs interviewed noted that the training provider who was approved to deliver their training was not their original choice – either because they had someone else in mind or because they specifically wanted a training provider who could speak their language (and one was not available).

Of the PCOs interviewed, only two were funded to receive both training and ongoing mentoring. Some PCOs believed (upon the advice of the Community Advisor or from the experiences of other applicants) that mentoring could not be funded under PPDF. All seven training providers interviewed spoke of the importance of providing ongoing assistance/mentoring/follow-up support work over and above the training to help PCOs practically apply the learning's from the training. In all cases, training providers had provided an amount of post-training assistance that was not covered by the funding.

None of the PCOs interviewed made any reference to the Development Plan in the PPDF process.

Finally, half of the PCOs interviewed stated that they were happy with the training provider being directly funded by DIA as it reduced the amount of work they had to do to manage and be accountable for the funding.

*"We receive the benefit of the training directly so it is only right that the training provider receives the funding directly".*

The other half of interviews where there was no statement of being happy with the training provider funding process included responses as follows:

*"The amounts are too small, too limiting. We would like to see more funding for more training and we would like to control our own funding"*

*"It's like they don't trust us..."*

### **3.2.2.5 Approval of applications by the PPDF Subcommittee**

The process for approval of applications is that the Subcommittee reviews all applications with the Advisor Reports prior to the meeting and notes all issues where follow-up is required by the Community Advisors (ideally to be completed by the

time they meet but this does not always happen). Subcommittee members noted the inconsistency in the delivery and quality of information provided to them by Community Advisors and expressed some frustration that there appeared to be different models of operating the support function for PPDF. On the whole, though, the Subcommittee members commented on the hard work undertaken by Community Advisors within limited (and reducing) capacity.

The Subcommittee members noted the wide spread of the successful applications, both geographically and over different Pacific communities. They also commented on the generally high standard of the applications received, which is reflected in the low number of declined applications. Two PCOs mentioned in their interviews that they would be interested in receiving information from the Subcommittee as to why their applications had been successful, to enable them to replicate this for subsequent funding applications. Of the two PCOs interviewed who were declined, one still did not understand the basis for the decision, while the other one was clear.

The Subcommittee members noted the lack of connection with other parties and processes within PPDF. It is only when they are assessing applications that they have contact with the Committee Coordinator and the Community Advisors. The Subcommittee noted the lack of analysis of trends in applications and lack of information on training completed in previous years<sup>11</sup>. They commented that this data would be useful in their ongoing deliberations about applications, as well as useful information for the advisors to consider when planning their promotional work on PPDF. The Subcommittee, has, at times, undertaken its own analysis of applications in order to gauge a picture of the applications activity.

Comments were made by some PCOs that there was an unnecessary time lag between making the applications (around March) and the applications being assessed (around June) and that it would be more useful to have two funding rounds a year. The Subcommittee members agree that more than one funding round would be useful to PCOs. However, this would place an even greater demand on the Community Advisors, which would not be able to be met.

The Subcommittee's decision on applications is communicated in a letter to the group from the Committee Coordinator. This is a key piece of documentation that all PCOs interviewed could recall; also, it clearly sets out the amount and type of training approved for funding, and forms the basis of the training provider/PCO relationship.

### 3.2.2.6 *Training arrangements*

The Community Advisor plays a key role in facilitating and confirming the training arrangements between the training provider and the PCO. Overall, there were inconsistencies in the arrangements made with training providers. The following findings were made about the conventions being applied for training arrangements:

- Funding for venue or equipment hire and refreshments – in some cases, Community Advisors have advised training providers that funding is only for

---

<sup>11</sup> While Advisor Reports do contain comments on the outcomes of previous training, there is no overall summary or analysis conducted to enable an overall picture to be seen of the type and extent of training completed.

the delivery of training, and that PCOs have to supply their own venue, equipment and refreshments. In other cases, training providers have been funded for the costs of hiring a venue, equipment and refreshments and have either provided it themselves or made payment to the PCO for the provision of these things. (In one instance, a training provider invoiced DIA for the cost of venue hire and refreshments, yet these things were provided by the PCO). The Committee Coordinator noted that almost half the cost is in resource hire, food, equipment and travel. Some PCOs have been unhappy at having to provide venue and refreshments themselves. The PPDF Procedures for Advisors Memo clearly states that venue and catering costs may be considered reasonable and appropriate expenses for the provision of training. The procedures also allow for the applicant group's venue to be used for training on the basis that the group invoices the training provider for the cost.

- Payment for training services – in some cases, training providers are not paid until the conclusion of the training and submission of accountability reports, which are required to be signed off by the PCO. Depending on the PCO, there may be a large time lag between training sessions delivered, which subsequently delays payment. In other cases, training providers have been able to negotiate milestone payments.
- The agreement between the training providers and DIA for the provision of services is not underpinned by a contract; instead, the arrangements are contained in correspondence (formal/informal) between the training provider and the Community Advisor. The lack of a formal contract has become an issue for some training providers particularly in relation to delays in payments and lack of specificity regarding deliverables:

*"I was not entirely aware of what the deliverables were. It is a written letter only and in some cases there is no letter, just a verbal understanding".*

### 3.2.2.7 Training Delivery

From the interviews of PCOs it is clear that the majority of training received was as expected and followed what was agreed to with the training provider. There were three PCOs that were less than satisfied with the training received:

- In one situation, the PCO had a specific need for information that the advisor had assured them would be addressed in the training, but it was not. In this same situation, the PCO was extra aggrieved as it was felt that the training had been developed for a corporate audience and not to suit their type of organisation (a small, emerging organisation).
- In the second situation, the training provider was from a different Pacific community to the PCO; it was the view of the PCO that the training provider failed to consider the intangible cultural barriers and adjust his training style accordingly.
- In the third situation, the training provider undertook to deliver the training in the language of the PCO, but on the day sent a replacement training provider who did not speak the language.

However, for the majority of the PCOs interviewed there was much appreciation for the willingness and ability of the training provider to be flexible in the delivery of training, with a strong focus on addressing the specific needs of the PCO.

### 3.2.2.8 *Accountability reporting*

We found that not all of the PCO files contained all of the required documentation so it was difficult in some cases to determine if the accountability reports had been fully completed. While most PCOs interviewed were aware of the requirement to fill out an evaluation following the training, not all had completed the reports. However, the central coordination function ensured that all training providers completed their reports, as one of the conditions of receiving payment. One associated issue raised by training providers in particular was the lack of clarity around the purpose of the PCOs signing off a training provider's invoice for service.

Again we noted that while this information (on the whole) is gathered after each training session and sent to the Committee Coordinator there is no process for reviewing and analysing it, or utilising it, to continually improve processes. The information is filed, though Community Advisors may review it on a case-by-case basis when groups apply for funding in subsequent years. The review and analysis of information could be a key task at a national level and would be further enhanced by a process for disseminating the results of the analyses to all Community Advisors, as well as to the PPDF Subcommittee.

### 3.2.2.9 *Summary*

Overall, the process has supported Pacific community organisations to apply for and receive training.

The strengths of the PPDF process are:

The development of standard documentation to support the process.

- The central coordinating function ensuring accountability of training providers.
- The strength of the support from the Community Advisors (and from Pacific advisors).
- The range of applications ethnically and geographically.
- The high rate of successful applications.
- The flexibility of training providers.

Some process issues were noted regarding:

- Some inconsistencies in processes across the country (particularly around training arrangements and administration of information on PPDF activity).
- The lack of business practices such as contracts and milestone payments for training providers.

However, the process has not been as effective for the capacity and capability building aspect of PPDF owing to:

- A lack of linkages between key parties in the process, and between strategies, policies and business procedures.
- The demand for advisor support outweighing supply.
- Mixed views on the usefulness and the application of the Capacity Needs Assessment Tool for emerging organisations.

- No formal analysis and evaluation of the information on PPDF activity at the conclusion of training activities to determine how effective the training is at building capacity and capability.

### 3.3 Responsiveness to the needs of Pacific communities

The LGB asks the question as to whether it and PPDF are being responsive to the needs of Pacific communities. We made the following assumptions before addressing the answer:

- 1 This evaluation focused on interviewing PCOs; while these organisations are part of the wider Pacific community it cannot automatically be assumed that the needs of individual organisations represent the needs of the wider community.
- 2 In the context of PPDF, the needs of Pacific communities have already been defined by the LGB as training to build capacity and capability and to improve PCOs' abilities to access other funding.
- 3 The extent to which PPDF can be responsive to the needs of Pacific communities depends on the strength of the strategy for PPDF, the underlying policy framework and the operational processes.

On the basis of the assumptions listed above, we have interpreted the original question to be whether PPDF is being responsive to the training needs of Pacific communities.

The Capacity Needs Assessment tool is used by the Community Advisors to further specify the training needs of each PCO, within five areas already pre-determined in the tool – vision and mission, governance, accounting and finance, human resources and management.

So PPDF is, more specifically, in place to be responsive to a specific set of training needs, should these be the needs of PCOs, (as one action included in a set of actions required to be undertaken by the LGB overall strategic investment approach).

#### 3.3.1 Provided access to training

The first point to demonstrate PPDF's responsiveness is to note that PPDF has allowed a number of PCOs to access training which they otherwise may not have had. In particular, it is evident that training has been accessed by emerging, informally structured organisations. The fund is one of few (if not the only) that is made available to organisations without a formal structure.

#### 3.3.2 Partially met training needs

Secondly, both the PCOs and the training providers interviewed agree that where PCOs have governance and management training needs, these are only partially being met through the PPDF process. While the training has provided groups with new knowledge and skills, the process has not necessarily supported PCOs to apply their learnings. One comment made was:

*"this is just a start.....it needs to be sustained"*. Another comment was:

*“They delivered what was planned but then we realised we wanted and needed more to really get off the ground”.*

PCOs consistently identified that they required other forms of support in conjunction with the training to sustain, and apply, what they had learned during training. For example, one PCO noted how the financial management training they had received was excellent, but when they returned to their organisation after the training, they were unable to fully apply what they had learned owing to a lack of necessary equipment and tools (computer and accounting software). Another PCO commented that while they could provide management training for their administrator, they did not have the funding to sustain this position in the long-term, so the training could not be practically applied, and the opportunity to build their capacity was lost.

The finding, that PCOs consistently identified, that they required other forms of support in conjunction with the training, highlights the importance of applying the Capacity Needs Assessment in ways which maximise the effect of assessment. The process of assessment could be enhanced if it considered how training would be applied in the context of the operational environment of the PCO.

Members of the Subcommittee, and training providers also supported the need for PPDF to provide a wider range of capacity-building options, not just training, to fully meet the needs of PCOs and to sustain their development. Such options could include:

- Regular training, conducted over a medium-long term period.
- Infrastructural support, such as the purchase of equipment to help apply the training.
- Ongoing mentoring.
- Contributions to ongoing maintenance costs.

We note that the overall strategic investment approach to PPDF did envisage mentoring as being a key component of what would be provided. We also note that the information provided publicly on PPDF states that access to mentors for specific advice and guidance may be included in assistance provided under PPDF.<sup>12</sup> However, the instances of mentoring we saw, happened where the training provider initiated this and factored it into their quote for service or provided it free of charge. It was not included as part of the normal PPDF process.

The range of stakeholders’ interview data indicated a shared perspective that PCOs would benefit from the systematic assessment of training options, which included mentoring as part of the PPDF activities. The data also supported the view that an increase in the scope of what PPDF could deliver would benefit PCOs in their pathways of development. These suggestions include medium to long-term planning involving business and strategic factors for consideration. Other suggestions to increase the scope of PPDF were infrastructure support for business processes including staffing and Information Communication Technology (ICT).

This evaluation did not venture into a systematic assessment of the factors raised in interview data against a typology for activities that build capacity in PCOs, and lead to the access of funding grants. Mentoring was regarded as an important development activity and is clearly a readily achieved option as it is already identified

---

<sup>12</sup> “Information for applicants to the Lottery Pacific Provider Development Fund, October 2006” information sheet.

in the policy framework of PPDF. It is also highly likely that medium and long-term strategic plans could provide some guidance to PCOs about their short, medium and long-term funding options. In addition, the option of introducing an organisational capacity needs assessment as part of PPDF could provide PCOs with guidance towards building their infrastructure. The assessment would support the development of their business process, for example, ICT systems, and by inference, assist with funding related activities, such as reporting.

### 3.3.3 Demonstrating PPDF helped with access to other funding

Thirdly, the short time between the evaluation and the training has not allowed a clear picture to emerge on the extent to which PPDF has contributed to PCOs accessing funding. Overall, the data indicated PCOs were not engaged in sufficient numbers with funding applications to suggest PPDF impact was evident in a boost to that activity.

We sought to establish through the interviews (comments below) the extent to which PCOs were accessing funding. This was supplemented with an analysis of information from the DIA Grants Online to gauge the extent the PCOs we interviewed had made applications to other Lottery Grants funding post their PPDF training. This analysis is unlikely to present numbers at the optimal point in time as many PCOs have only recently (within the last six – nine months) completed their training, leaving little time to apply the learnings into applications for grant funding. Some PCOs have training to complete so PPDF is yet to impact their activities.

From the Grants Online System it was identified that:

- All of the 28 PCOs in our sample (those successful applicants) had made applications to other funds at some point in time, but only 13 of those had made applications since they were granted PPDF.
- Of those 13 organisations, three had not yet completed their training.
- Of the remaining 10 organisations, the timeframes between them receiving training and being granted other applications were between one and five months; this indicates that the timeframes between them receiving training and making the applications are even shorter.

The interviews with PCOs sought to establish the extent to which:

- They saw a need to improve their ability to access funding.
- They had applied to PPDF for this specific reason.
- PPDF training had contributed to improving their ability to access funding.

From the interviews it was found that:

- PCOs did not identify that they had a need to improve their ability to access funding.
- The need for PCOs to improve their ability to access funding was not a driving purpose for PCOs to apply for PPDF.

The range of reasons that PCOs had for applying to PPDF included:

- Having a particular governance/management training need within the suite of training needs funded by PPDF.
- Having no particular training needs but thought it was good practice to have training.
- Having needs/priorities other than training, but saw how training could contribute to their other needs being met.

Only one PCO interviewed identified that it had applied for other funding following on from its training received under PPDF, on the basis that they were now better able to demonstrate their robustness as an organisation because of the training. (Their application was declined and the PCO did not seek information as to the basis of the decline, so it is difficult to determine the extent to which the PPDF training impacted the decision). None of the other PCOs sought training specifically to help them access other funding.

*"Having had the training did not necessarily assist us to apply for other funding but it makes us look good to other funders".*

It was noted that one of the objectives of the previous formative evaluation was to form a judgement as to how successful PPDF was in assisting Pacific groups to obtain more equitable access to lottery funds. The evaluation is not conclusive in this respect; in 2003/04 about 2.7% of successful applications for funds across all lottery committees, excluding the PPDF, were from groups whose projects/services benefited Pacific peoples. If the PPDF was included the percentage rose to 4.4%. The evaluators concluded "..... the need for the PPDF will continue for some years yet until Pacific groups are accessing lottery funds roughly in proportion to their 6% representation within the New Zealand population". No clear links were made between PPDF and the ability of PCOs to get more equitable access to lottery funds.

Similarly to the previous evaluators, this report has identified New Zealand census data as a reference to establish whether PCOs are accessing PPDF funds proportional to their representation. The data is used to demonstrate across census regional data the proportion of Pacific sub-populations and the portion of PPDF funds distributed to PCOs of those sub-populations, for example, Tongan and Samoan community organisations. It is important to note there are difficulties in quantifying the population of PCOs and therefore drawing conclusions about their representation across grant funds. Sources of data to identify the numbers of PCOs include the charities register, however, this will not inform on the organisations that are not legal entities.

It was evident from the PCOs interview data that they were not aware that the overall purpose of their training was to support access to funding grants. The finding can be presented as an unintended outcome of the evaluation. The intention that PPDF training will provide the support needed to access funding grants is readily identifiable in the LGB policy, however, there is no specific mechanism to ensure that this purpose is actively communicated. For example, there is no requirement on training providers to include, in their delivery or material, guidance on applying for grant funding. This raises the question, should the purpose of the training in relation to PCO funding outcomes be transmitted clearly in PPDF policy and communication?

However the funding outcome is pitched, and communicated, the outcome can only be readily measured by DIA through a proxy indicator of access to funding. The LGB intent of PPDF to increase PCO access to funds is not specific to DIA grants. The indicator can be measured across LGB and DIA funds but is more difficult to measure across other grants. Primary data collected from PCOs is the best method to measure grant funding activity, across the possible sectors of funding they have access to, to gauge whether the activity can be attributed to PPDF training. The point at which the information is collected is a factor for consideration. The data collected in this evaluation suggests PCOs have not necessarily reached the phase of

development where their training knowledge has embedded and led to other activities, such as applying for grants. If data were collected from PCOs to measure funding activity, it is likely that surveying shortly after PPDF training would show little movement in applications for grant funding.

There are a range of complexities to establishing whether or not PCOs have increased their access to funding as an impact of PPDF. It is not necessarily an indicator of development that is readily available for the LGB to consider. However, the prescribed areas of PPDF training are modelled on criteria considered important for tuition so that PCOs are accountable and the training has occurred. It is therefore fair to suggest that recipients of PPDF have moved their organisations to an improved position as accountable entities, which has a positive impact, if pursued, on their ability to access other funding.

#### 3.3.4 Responsiveness dependent on form of PCO

Fourthly, the extent to which PPDF can be responsive to the training needs of PCOs is also dependent on the form and state of the PCO. PPDF focuses both on established groups as well as new groups. As commented earlier, emerging, informal and yet-to-be established organisations have significantly different training needs to established service providers. Therefore, in order for PPDF to be responsive to the training needs of all PCOs, it needs to recognise that organisations will have different purposes, capacity and capability, and provide a range of training solutions. Of the 30 PCOs interviewed, 15 can be described as emerging and the remaining 15 as established. Currently, the training solutions offered are determined by a capacity needs assessment process that was developed primarily for established groups. Our key finding here is that PPDF is more responsive to the training needs of established groups than it is to the needs of an emerging organisation. However, many PCOs commented at how flexible the training providers were in adjusting their training material to ensure they could address those groups' needs. While on the one hand the flexibility of training providers and willingness to ensure needs are met increases the extent of responsiveness of PPDF, on the other hand it increases the likelihood of an inconsistency of training material delivered across all PCOs.

#### 3.3.5 More responsive to larger Pacific communities than smaller ones

A fifth point is that PPDF has been responsive to the training needs of certain Pacific communities where it has been able to provide, upon request, training providers who can deliver the training in the first language of the PCOs. In this respect, PPDF has been more responsive to the larger Pacific communities (Samoan, Tongan) than to the smaller ones, because it provided training providers who spoke the languages of those larger communities. Two of the PCOs from smaller Pacific communities spoke of their desire to have training delivered not only by someone who spoke their languages, but could also understand the dynamics of their communities.

#### 3.3.6 Lack of supporting framework, other actions

Finally, as discussed in section 3.1.2, while there are some elements of strategy and policy that are associated with PPDF there is no robust, coordinated framework to ensure the consistent responsiveness of PPDF. The importance of such a framework

is reinforced by other capacity-building funds and programmes (discussed further under 3.4).

The overall strategic investment approach envisaged was that in addition to PPDF operations, other actions would also have to be taken to improve responsiveness:

- There would be collaborative arrangements with other funders.
- Approved training providers, mentors and related programmes would be developed.

There is no information provided as to who would be responsible for undertaking these actions. As discussed earlier, there has been little development in these areas to date; there is no doubt that the completion of these actions could enhance PPDF.

### 3.3.7 PCOs have other priorities

It was noted that some time has passed since LGB defined the needs of PCOs that they would respond to through PPDF (and these came largely out of the Capacity Needs Assessment tool). Since those needs were defined there has been no review to determine if they are still relevant for PCOs. This point was reflected in interview data where some PCOs commented that no-one had ever asked them what their needs were. One of the questions asked during the interviews: "what were the needs of your organisation at the time you applied for PPDF?". While at least one-third of the PCOs did identify they had training needs, the remainder cited a need for funding to provide more services, to maintain infrastructure, or to sustain ongoing maintenance costs, as being of a higher priority.

### 3.3.8 Summary

In summary, the findings on the extent of responsiveness of PPDF to Pacific communities are:

- It has been responsive by:
  - providing access to training for groups who may not otherwise have received training,
  - developing a needs assessment tool to assess the needs of established organisations,
  - providing training providers who can deliver training in the first languages of larger Pacific communities, and
  - providing new knowledge and skills.
- It has been less able to be responsive where:
  - it has not supported PCOs to apply the learnings from their training,
  - there is little evidence to show that PPDF has assisted PCOs to access other funding and there are data issues regarding this measurement,
  - it could not provide smaller Pacific communities with training providers who could deliver training in the languages requested,
  - emerging organisations have a different set of needs to established organisations, and
  - the needs that PPDF is prepared to address are not necessarily the priorities of PCOs.

## 3.4 Capacity and capability development

### 3.4.1 Intended capacity and capability development

It was our understanding that the capacity and capability development intended by PPDF was to strengthen Pacific community groups' ability to operate in an effective and accountable way and to improve their access to funding from other lottery committees. This is clearly stated in key documentation that we reviewed.

There is no clear definition of how this was intended to be measured, so it is difficult to establish whether, or not, this has been achieved. In addition, the following factors cause difficulty in measuring the extent of development overall:

- A lack of clear baseline information on the capacity and capability needs, particularly for emerging organisations.
- Practically applied the Capacity Needs Assessment indicators are too prescriptive for emerging organisations and this is a hindrance to the Community Advisors assessing their needs using the assessment framework.
- The lack of analysis of any information gathered on the capacity and capability of groups.
- The period of PPDF operations included for this evaluation is a short timeframe to measure the development outcomes for PCOs.

The previous evaluation noted difficulties in measuring the extent of PCO development. The evaluators suggest building Pacific provider capacity takes time, and government funders, and the Pacific providers, need to be properly resourced.

Given that one of the objectives of PPDF was to develop the capacity and capability of PCOs to access more funding from other sources, there is an implication that PCOs are expected to be developed to the same standards as other groups that are more successful at accessing funding. What is not addressed is the extent to which Pacific values, Pacific principles, governance and management practices are recognised as being part of acceptable standards for PCOs operational environments. Some of the training providers use Pacific models and concepts in the training to demonstrate governance and management. From the point of view of the PCOs receiving such training this has two key benefits:

- It makes the training content more understandable and relevant because they can see it in the context of things that are familiar to them.
- It confirms to them that Pacific approaches are just as valid as Western concepts.

This is supported by findings on other capacity-building initiatives for Pacific communities (discussed further in section 3.4.4).

### 3.4.2 Actual capacity and capability development of PCOs

It is the view of PCOs, training providers and most Community Advisors that some capacity and capability development (in relation to effective operation) has happened as a result of PPDF. This is demonstrated through PCOs seeing the following in its members and groups after the training:

- Raised awareness of the importance of good governance and management practice.
- A gaining of new knowledge and skills, although this could be improved by the opportunity or tools to support PCOs apply the gain.

- Improvements or changes in practices within the group; for example:
  - the Treasurer now produces regular monthly financial reports for meetings,
  - the Secretary now better understands his role and takes minutes that record key decisions rather than verbatim discussion, and
  - office-bearers now have a better understanding of their respective roles and responsibilities and don't overstep the mark so often.
- Improvements or changes in practices within other groups in the same community; there were four instances where PCOs opened up their training to representatives of other groups in their community to share with them the benefit of that training.
- Unification of the group.

*"We work together better as a group now, because our whole Committee attended the training together".*

From the interviews with the PCOs, and other stakeholders, it was also identified that:

- Training has improved the personal development of many individual members of groups; this is a good outcome, though not one that was primarily intended by PPDF.
- Training has contributed to the development of the PCO but to a lesser extent than that of individuals.
- The development of the PCO was the primary intention of PPDF but there are no specific processes to ensure, or measure, group development.
- The extent to which the wider community has developed as a result of the training delivered under PPDF cannot be clearly measured. There is no specific process within PPDF to give effect to this as an objective.

#### 3.4.3 Capacity and capability development of training providers

Capacity development can also be seen through the participation of 12 Pacific training providers over the last two years. While their capacity and capability development was not a primary objective of PPDF, it was referred to in the overall strategic investment approach in terms of determining approved training providers, mentors and approved programmes. Of the 12 training providers, only seven were identified as being currently associated to PPDF; the remainder had either left New Zealand, or had sought work elsewhere or were not contactable.

For the individual training providers, PPDF had provided an opportunity to make a contribution to the development of Pacific communities; often this was a key factor behind their participation as trainers for PPDF (more so than for economic reasons). It is fair to suggest that if the capacity and capability of PCOs is to be effectively built, and sustained, then the capacity and capability of training providers are a component of assisting PCOs towards those objectives. We suggest DIA gives additional consideration to this equation and discusses further strategies to provide sufficient high quality trainers to implement PPDF training, which optimally includes delivery specific to the PCO and the provision of speakers of particular Pacific languages.

#### 3.4.4 Other capacity and capability development initiatives

We gathered some information on other programmes or funding of capacity and capability development for PCOs to identify from current practices success factors for

effective capacity and capability development. We note that in the New Zealand government and not-for-profit sectors a repository of knowledge has been built up from programmes focused on building the capacity of Māori and Pacific people.

Firstly, the evaluation of the JR McKenzie Trust's Building Pacific Organisations (BPO) Programme<sup>13</sup> discussed capacity building and noted that BPO's notion of capacity building has led to its focus on governance, management infrastructure and skill development. However, the notion of capacity building for many of the community organisations has been to fund, or support, programme or service delivery.

Secondly, we noted the Ministry of Health's Pacific Provider Development Framework and its overall aim to 'substantially increase the number of appropriately structured, skilled, qualified and experienced Pacific providers across the state sector'. It is underpinned by the Pacific Provider Development Fund Purchasing Strategy and focuses on improving the overall quality of services delivered to the Pacific community. The Ministry provides more specific measures of increasing the capacity and capability of Pacific providers to ensure they:

- Are robust organisations with demonstrably sound governance and management infrastructures.
- Have an appropriately qualified and competent workforce with tertiary qualified staff.
- Are self sufficient, sustainable, and provide high quality community focused services.

The Ministry of Health's Pacific Provider Development Framework is underpinned by a set of principles:

- Recognition of Pacific values and principles.
- Recognition of diversity.
- Partnership relationships.
- Sustainability of Pacific providers.
- Governance and ownership of 'by Pacific for Pacific' services.

Thirdly, we noted the recent work undertaken by the Tindall Foundation on the SCOPE (Supporting Community Organisations) Capacity Building Programme, Pilot Project. Its strategic capacity building model was constructed 'with the goal of being adopted by other funders<sup>14</sup>. While the programme targets groups with little or no resources (in the Auckland area), it also has a particular focus on Māori and Pacific organisations. Based on a successful Scottish model<sup>15</sup>, it built the capacity of a pool of advisors to conduct a two-stage approach to capacity building. The first stage was organisational reviews of the organisations participating in the capacity building project. The second stage was identification of the key areas of focus from the following areas:

- Strategic planning.
- Organisational structure (governance/management).
- Operational systems and processes.
- Financial systems.
- Marketing.
- Information technology.

---

<sup>13</sup> Final History and Evaluation of the Building Pacific Organisations Programme, Sam Uta'i, November 2006.

<sup>14</sup> Refer to [http://www.tindall.org.nz/feature\\_project\\_main.htm](http://www.tindall.org.nz/feature_project_main.htm) (sourced April 2008).

<sup>15</sup> Lloyds TSB Foundation Capacity Building Grant Programme.

Some of the key results from the two-year pilot of the SCOPE Capacity Building Programme were:

- It was important to have a strong, skilled group of advisors to support the groups.
- Capacity building could not happen without internal organisational development.
- The organisational review provided a clear pathway forward for the organisations.

This programme has recently been evaluated, and a final report was expected at the end of March 2008. The Tindall Foundation notes that it would 'welcome conversations with other funders interested in NFP (not-for-profit) sector capacity building'.

Te Puni Kokiri operates a similar programme for Māori organisations, called the Strengthening Management and Governance programme. It uses a pool of six independent assessors to conduct an assessment of the management and governance of a Māori organisation, with the purpose of identifying specific areas where capacity-building assistance is required in the following areas:

- Strategic planning and performance (including acknowledgement of the role of culture underpinning strong performance).
- Governance.
- Human resource management and organisational structure.
- Financial management.
- Risk management.
- Communications (internal and external).

In order to capture best and appropriate practice in these areas for Māori organisations, as well as ensure consistency of approach by the six assessors, the assessment tool was developed collaboratively by the pool of assessors.

More recently, we received information that the ASB Trust is investigating partnership arrangements with local economic development agencies to deliver capacity-building training to community groups on its behalf.

In summary, there are elements of all of these programmes that provide us with some information on what is required for capacity and capability to be successful which include:

- Strong capacity building needs are underpinned by a strong strategy.
- Pacific capacity building requires acknowledgement of Pacific values and principles.
- Good capacity building for small community organisations requires dedicated, skilled and consistent advice.
- The process for clearly identifying capacity building needs is just as important as the provision of capacity-building assistance.
- Capacity building needs to encompass all aspects of organisational development.
- Capacity building can be delivered in a number of forms – directly or by brokering or facilitating the supply of capacity-building assistance.

## Summary

Firstly, there are inherent limitations in measuring the capacity and capability building development of PPDF owing to a lack of clear, Pacific-appropriate standards, a lack of baseline information and a lack of analysis of information held on PPDF activity.

Secondly, despite these limitations, we do have some information that suggests that some capability development has occurred from the training provided by PPDF. The development is in the form of raised awareness, new knowledge and skills and improved practices. The development is most easily measured in terms of its impact on individuals, rather than groups.

Thirdly, capacity and capability development has happened in the form of Pacific training providers; however, no mechanisms have been put in place to sustain this capability.

## Summary of Overall Findings

The first objective in the evaluation was to provide evidence and data to the LGB about the impact of the PPDF, to enable it to make a decision on future funding allocations.

Evidence and data has come from:

- The views of PCOs and DIA staff who have participated in PPDF
- Quantitative data on the numbers of PCOs, training providers and DIA support staff participating in PPDF, and the monetary amount allocated to the fund and to individual applicants.
- Key documentation on PCO files as well as information on grants activity held on Grants On Line (GOL).
- Other capacity and capability building activity in New Zealand.

There are areas of evidence and data that could enhance the identification of PPDF outcomes, which were not readily accessible here:

- GOL information drawn at a point in time sufficient to permit the training to have matured and PCOs to have accessed other funds.
- Explicit promotion that PPDF is intended to result in PCOs abilities to access other grants.
- Baseline information on the capacity and capability of PCOs to assist with marking the extent of the PPDF contribution.
- A system for measuring capacity and capability development of PCOs on the basis of before and post training assessments.

The evidence gathered has shown that PPDF has had some positive impact on Pacific communities that might not have otherwise occurred. While the evidence is not conclusive (particularly with regards to impacting on ability to access other funding) there is nothing to indicate that PPDF should not continue into the future.

## 4. Analysis

---

### 4.1 The uptake of PPDF

#### 4.1.1 Awareness of and involvement in PPDF

There is a general level of awareness of, and involvement in, PPDF in Pacific communities in the different regions. It is noted that the number of applications for each of the two funding rounds have been similar, but that there is an expectation of significantly more in the 2007/08 round, particularly in Auckland. There is also a consistent message in the interview data of an expectation that more needs to be done to increase the distribution of information to Pacific communities, and especially emergent organisations. The promotion, and information needs to highlight the following key features of PPDF:

- You do not need to be a formally constituted organisation to be eligible for PPDF.
- The funding is paid directly to the training provider.
- There is a process for assisting groups to clearly identify their training needs.
- You can apply for PPDF for more than one year, depending on how your applications fit with your development plans.
- One of the purposes of PPDF is to improve your success rate with other funding applications.

It was noted in the previous formative evaluation<sup>16</sup> that more could be done to establish whether Pacific communities were receiving and understanding information about PPDF. It was recommended that regional advisors use a more interactive approach in their face-to-face communications at community meetings about the Fund in order to draw out whether those in attendance fully understood the content of the information. The department's management agree with this approach, it is an important component of the Community Advisors interface with Pacific communities. There were consistent comments from interviews with all parties that identified the Community Advisor(s) as a key factor in the success of PPDF. Interview data from PCOs and trainers provided examples of the added value of Pacific Community Advisors, especially their ability to facilitate the uptake of PPDF by PCOs.

It is intended that all LG&C staff will be participating in Pacific Cultural Awareness training as part of their professional development and performance management programme (to be conducted over 2007-08). A Pacific Cultural Awareness training programme for all LG&C staff has been developed jointly between the LG&C Pacific Caucus and PICAG and includes the development of a resource book "Towards Effective Engagement with Pacific Communities". Training commenced in November 2007, though it is not compulsory for staff to attend. It would be reasonable to expect that staff working closely with Pacific communities would need this competency and might be required to attend the training as part of their professional development. In addition, the training will be offered to all members of Lottery Distribution Committees during 2008/2009.

---

<sup>16</sup> A Formative Evaluation of the Redeveloped Pacific Provider Development Fund, Judy Paulin and Liz Tanielu, August 2006, pages 4, 54.

#### 4.1.2 Lack of analysis of PPDF information

There is a lack of analysis of the information about the PPDF activity. A wealth of information is gathered from:

- Advisor Reports.
- Capacity Needs Assessments.
- Client Evaluations.
- Training provider accountability reports.

However, this information is filed away and not used for any particular purpose, apart from supporting processes for payments to training providers. It is not used to plan, monitor or evaluate the effectiveness of PPDF activity. While external evaluations will provide a useful picture of the PPDF process and impact at a designated point in time, it is the regular analysis of information that will enable lessons learned to be applied in a timely manner to ensure the effective operation of PPDF. This evaluation has not examined the additional costs of implementing a systematic analysis of PPDF information. However, it is fair to suggest that cost savings could be realised if analysis occurred through internal processes and this contributed to an evaluative assessment.

In our view this analysis role should be a key component of the PPDF as it can add value to the processes and maximise the effort put in. There is an issue as to the resource necessary to complete this task; it is not feasible that the Community Advisors could complete this work given that their time is already stretched. We note that some Managers and Community Advisors have already developed innovative approaches to supplementing the hours allocated to PPDF.

As an example, the brief analysis of the ethnicity and geographical location of applicants over 2005-06 and 2006-07 years (Tables 3-5) highlights some useful information about PPDF:

- The numbers of groups who applied each year (new and return groups).
- Those Pacific communities that are, and are not, applying to PPDF, and the areas in which they are located; this information could be utilised in the review of the required Community Advisor resource, as one of the key relevant factors in determining appropriate resource.
- The extent to which the proportion of groups applying by Pacific community aligns to national population figures; this can provide a general indication of the level of awareness of that particular community.
- The geographical locations that have Pacific communities where there have been few or no successful applications; this can provide a general indication of where additional or targeted promotion of PPDF may need to occur.

At a minimum, some analysis could be conducted on the applications of those PCOs that have received PPDF to determine the extent to which PPDF has contributed to their capacity and capability development (as a group and in their ability to access other funds).

#### Best practice development

As previously noted, there was a mixture of views amongst those interviewed about the appropriateness of the training material in relation to the needs of individual

PCOs. The views about providers were not as variable and on the whole it was agreed that the training providers were high calibre.

It was envisaged in the LGB's strategic investment approach that the development of programmes and consistent information should occur, but:

- This has never been clearly confirmed as one of the intentional objectives of PPDF.
- There have been no processes to give effect to the strategic approach.

We suggest that there is an opportunity here for DIA to further the strategic approach the LGB envisaged and additionally benefit PCOs and training providers. The department could actively promote, through facilitation and contribution, a collaborative approach, to the development of best practice Pacific governance, and management. This could occur through fono involving training providers, Community Advisors and DIA stakeholders, where participants discuss Pacific governance and management concepts as considerations for inclusion in a best practice framework for PPDF training.

#### 4.1.4 Community Advisor resource

The support of all of the Community Advisors has been a key success factor in the PPDF process; however, the demand for their support from PCOs currently involved in PPDF outweighs the service they can supply. Their capacity to provide the support PPDF requires is a key factor in the PPDF process. As there is an increase in the funding available for 2007-08 this is likely to result in more applications and therefore an even greater demand on the already-stretched resource of Community Advisor support. The current allocation of resource needs revision to identify a balance between the supply and demand from PCOs for service. This identification would include how the Community Advisor resource can be strategically allocated to PPDF. As part of this identification there could be clear specifications for the role of a PPDF Advisor. It is suggested that an optimal set of competencies for this role should include:

- Ability to connect with and facilitate Pacific communities to considering PPDF as a means of building their capacity.
- Understanding of the dynamics of Pacific communities.
- Experience in organisational needs assessment of a range of community organisations.
- Ability to evaluate the effectiveness of training programmes.

Interview data from PCOs and trainers indicated much value was placed on the Pacific Community Advisors for their ability to facilitate the uptake of PPDF. They were described as successful facilitators because they understood the communities and how to reach them. The identification of Community Advisor competencies should consider the value-added component a Pacific person brings to the role and determine the extent to which it should be a core competency of a PPDF advisor.

## 4.2 The responsiveness of PPDF

The key findings on the extent of responsiveness of PPDF to Pacific communities are that it has been responsive by:

- Providing access to training for groups who may not otherwise have received training.
- Developing a needs assessment tool to assess the needs of established organisations.
- Providing trainers who can deliver training in the first languages of larger Pacific communities.
- Providing new knowledge and skills.

However, its responsiveness has been limited owing to the following:

- PCOs are likely to benefit from ongoing support to apply the learnings from their training and have not generally been provided with these opportunities.
- Programme delivery has not been implemented with the intent to show that PPDF has assisted PCOs to access other funding.
- Few smaller Pacific communities found training providers who could deliver training in the languages requested.
- Emerging organisations have a different set of needs to established organisations.
- The needs that PPDF is prepared to address are not necessarily the priorities of PCOs.

In our view, overall, PPDF has shown to be responsive to Pacific communities. However, examined in a broader context of further consideration to responsive activity, the following factors could enhance its effectiveness.

1. The strategic objectives and plan for PPDF are clarified, and the operational processes are supported through readily accessible consolidated information.
2. Appropriate policies which are developed and documented to support the operational processes.
3. PICAG and the PPDF Subcommittee are invited to play a key role in discussion and development of a strategy for PPDF and the capacity/capability building mechanisms of the Fund. Local Government and Community has facilitated the role of PICAG as a provider of strategic advice on how they can be responsive to Pacific communities. As such it is logical that it could be included in consultation regarding PPDF. One of the expected outcomes of this consultation would be the bringing together of Pacific expertise that otherwise is not connected.
4. A wider range of capacity-building solutions could be funded and provided to PCOs in conjunction with the existing training. This view is supported by other capacity-building programmes as discussed in section 3.4.4. This wider set of solutions could assist PCOs to apply the learnings from training more effectively and sustain the development of PCOs into the long term. For PCOs the optimal set of solutions should be set out in a medium to long-term development plan and, ideally, the development plan should be informed by the Capacity Needs Assessment. In its current form the PPDF Capacity Needs Assessment would require adjustments to accommodate the information requirements of a development plan as, at present, there are a limited range of needs to assess in the capacity framework.

5. If the long term development plan were implemented as a component of the PPDF training it would need a funding duration of greater than one year, and progress towards the plan would have to be systematically evaluated. In order to be fully effective there would also need to be some in-built evaluation of progress against the plan, for funding to be provided over a term of longer than a year.
6. We also suggest consideration for the training provider to be involved in an initial conversation with the PCO and the Community Advisor so they gain benefit from familiarity with the organisation and its needs in the context of the Capacity Needs Assessment.
7. If the opportunity is presented for PPDF to explore other capacity and capability development options the following examples are how those might be configured:
  - Mentoring over a medium term period:
    - For example, an established group, engaging the training provider to be a mentor for six months following the training. The trainer would be tasked to observe Board meetings and provide feedback, be a sounding-board regarding governance and management practice, and provide advice on organisational development.
  - Organisational development assistance:
    - For example, training providers tasked to help PCOs develop plans, policies, procedures and systems tailored to fit their organisation's needs.
  - Infrastructural support (equipment, learning tools):
    - For example, funding the purchase of accounting software to implement accounting processes learned in training.

Clearly some of these solutions are more easily implemented than others, particular to this context is the limited funding projection for PPDF, which is no less than two more years. We suggest mentoring and organisational development assistance are two solutions that could be readily implemented. The options could be funded in the same way training is currently funded and without salient disruption to the current operational environment. Less readily implemented solutions are infrastructural support, as this requires changes to the funding parameters of PPDF. The supporting information for such funding would require establishing criteria and eligibility for such funding, and a monitoring regime to assist in the evaluation of the effect of infrastructural support in the context of the PCO's capacity and capability development.

### 4.3 The effectiveness of the PPDF process

There are many effective parts of the PPDF process that make it operate well overall:

- Where advisors have been able to maintain regular contact with PCOs their needs have been well-served by the training.
- When the training provider has been able to be involved early in the process it has enabled them to gain a better understanding of the needs of the PCO and develop the training programme accordingly.

- Where PCOs have been able to maintain a longer-term relationship with the training provider and use them as a mentor, they have been better able to develop their capacity.
- Where training has been delivered in the primary language of the PCO (as requested by them) it has enhanced their understanding of the content.
- As PPDF Subcommittee members have strong networks within and understanding of Pacific communities, this has enabled them to better assess applications from PCOs, and proposals from training providers.

There are also parts of the process that have hindered but not prevented its effectiveness, where:

- The capacity needs assessment process does not always clearly identify the training needs of the PCO according to their assessment of what their training needs are.
- Community Advisors have not been allocated sufficient resource that correspond to the support needs Pacific communities have presented with as they engage in the PPDF process.
- Policies and procedures are not visible resulting in the application of inconsistent operational practices.
- Administrative practices have not included explicit negotiations of the business relationship between the training provider and DIA; for example, the instance of no formal contract and the application of inconsistent practice regarding milestone payments for the completion of training.
- Information on PPDF activity is generated but has not been systematically analysed for the purposes of establishing information that could offer optimal utility for DIA. Exploration of the data to identify the distribution of funds to sub- populations of Pacific communities across regions is one example where there is a likely indicator of PPDF achievement towards an equitable funding allocation for capacity and capability development.

## 4.4 Capacity and capability development

### 4.4.1 Discussion

The findings from the evaluation point to some inherent limitations in measuring the extent to which PPDF is a successful means of developing capacity and capability of PCOs. There are ways to mitigate such an event. One way is to remove the apparent barriers to creating a successful measurement and develop a system that will permit an assessment to occur that establishes the extent to which PPDF is adding the value intended by the LGB. However, it is unlikely that the benefits versus cost of developing such a system of measurement could be realised within two funding rounds. Furthermore, there is little merit in developing a measurement indicator of successful capacity and capability development in isolation to PPDF. There are likely synergies across funded activities of the LGB where these successes could be similarly measured. We are aware of discussions occurring in relation to development of an LGB outcomes framework and there are good examples from PPDF that could be considered as part of the outcomes framework dialogue.

#### 4.4.2 The impact of PPDF

These three vignettes<sup>17</sup> were developed during the evaluation to demonstrate the impact of PPDF with regard to the capacity and capability development training received by three PCOs.

##### **Scenario 1 – New organisation**

A youth-focused group from a large Pacific community in a large city has been operating informally as part of a church, and decided to formally establish itself. The first priority of the leaders of the group was to clearly establish with the whole group exactly what they were doing and why. On this basis, they decided that as part of their establishment processes, the officers and members of the group would benefit from training on planning, roles and responsibilities and financial management. It was important to them that the training happened before they got too far into their group activities to get a strong start. The local Community Advisor, who was already known to them, provided the group with information on PPDF, as they had never applied for funding before. The group undertook the application process (with some assistance from the Community Advisor), stating that it was "OK but we weren't really sure at first why they asked some of the questions". While they were offered a choice of training provider, the training provider they selected was recommended to the group by the Community Advisor on the basis of both skills and ability to speak the same Pacific language as the group. Training was delivered in six sessions on vision and mission, and finances, to approximately 20 people per session.

While the training only took place within the previous 12 months, the group has seen the following impacts:

- The whole group is now collectively focused on the key priorities, not just the leaders.
- There has been a change in the way that financial reports are done, on the basis that the Treasurer now has better understanding of the role and responsibilities; reports are done regularly, with information that helps the group to make decisions.
- The group has put together an Operations Manual that very clearly describes the accepted policies and procedures for the group, its activities and "how we do things".
- One of the youth leaders has since gone on to apply the learnings from the training to another group in the community they are involved in.
- The group has since identified other areas of training they would like to receive next year.
- The group has developed enough confidence to apply for more funding from another source to support the development of a building.
- Ultimately, they would like to be in the position of passing on their training to the rest of their community.

##### **Scenario 2 – An established organisation**

An organisation representing a large Pacific community based in a small city, had been well-established formally for at least 15 years, with the purpose of advising members of their community who settled in this city on key information for living in this country. This organisation was familiar with the processes for applying for grants, and PPDF was well known to them, and this was the second time they had applied and been successful. They have also been successful at applying for a

---

<sup>17</sup> Short descriptive essay or characterisation.

number of different funds. They applied because the leaders of the group had made observations of the 'less than satisfactory' financial management processes within the wider community and wanted to facilitate training for the community to attend. They were supported by a local Community Advisor through the application process and noted how handy it was to have someone to provide this assistance. When they submitted their first application for training regarding governance, they had received training from a training provider who "was really good, knew his stuff but didn't speak our language, and had to come from out of town". Because of this, they specifically requested someone who spoke their language, and the Community Advisor recommended someone who was already familiar to members of the group. At the group leader's request, training on book-keeping and accountable documentation was delivered in four short sessions within one week as the leader was of the view that this would better maintain momentum and retain knowledge. Training was attended by 20 – 30 members of the governing body of the group and of the wider community, and these have been the impacts to date:

- Because the training was delivered in the language of the group, people understood the training material better than the previous year, and are enthusiastic about having ongoing, regular training.
- It provided the opportunity for frank discussions regarding the clash between traditional roles and responsibilities in this Pacific community, and roles of officer bearers within an organisation.
- Changes in the ways that Treasurers of some churches handle their finances – more accountable.

### **Scenario 3 – Organisation from a small Pacific community**

This group was established about 10 years ago to provide support services to their Pacific community, which is small in number nationally, but heavily concentrated within one particular district where the organisation is based. The group were initially looking for funding for tertiary training for individual staff, as well as for a business mentor, to assist them to develop alternative sources of revenue. They heard about PPDF through Pacific radio advertising of a DIA information workshop which some trustees and management from the group attended, and noted that it 'provided very good information'. At the same time, they had been subject to an audit from another funder which had highlighted some management issues to be addressed. After the workshop, they were contacted by the Community Advisor and provided with a list of training providers, along with a recommendation (for a training provider who did not speak their language). The group did have a preference for a training provider who spoke their language; however, there was no-one from their community on the list of training providers. The group spoke about knowing people from their own community who are skilled in training but not knowing the process for them becoming training providers for PPDF. The advisor was very helpful to the group throughout the whole process.

One of the reasons for the group wanting a mentor was that the members of the group wanted to receive training that included instruction on how they provide training for the rest of the community to enhance their unification. The group was funded to receive training on finance and governance but only received a one-day training session on finance, delivered to the Board of the group and a few other members (and have not since received any of the additional training still owed to them).

The group had concerns about the small amount of funding made available for the training, saying it 'didn't really make a dent' though they saw a marginal improvement in their book-keeping. The group also felt it was not fair that the training could not be provided to individuals, as this would build their capability to deliver services to the wider community.

#### 4.4.3 Gauging achievement of PPDF capacity and capability building

Some anecdotal evidence has been provided to show that PPDF has enabled some capacity and capability development to occur through the delivery of training that PPDF provided. PCO interviews provided examples of how the training received under PPDF had contributed to their capacity and capability development and PCOs noted their gratitude to the LGB for this Fund. Training providers and other stakeholders also acknowledged some capacity and capability building but noted that the extent of development was limited by the narrowness of the PPDF criteria, as well as the short timeframe.

Overall, the ability of this evaluation to measure the capacity and capability building that has occurred through PPDF has been hampered by the absence of:

- Baseline data from PCOs from which measurements of development can be gauged.\
- Principles and standards that take into account Pacific values and practices.
- A regime for analysing regular and consistent data against a pre-existing standard for outputs.
- A framework to measure achievement that acknowledges the medium to long- term duration by which capacity and capability development occurs.

## 5. Conclusion of evaluation findings

---

The PPDF evaluation has shown evidence of a good process, a level of responsiveness to Pacific community organisational needs, and some capacity and capability building of individuals and groups. The training has provided development in areas that support accountability-based business processes and these are pre-requisite areas to access funding. It is difficult to draw conclusions regarding PPDF contribution to better funding outcomes, in part because that goal is not explicitly communicated to trainers or PCO's. Correspondingly, little consideration has been given to gathering and monitoring data which could indicatively suggest if PCOs were accessing other funding or that goal is being sought.

There is evidence that while the funding component of PPDF is well managed, the capacity and capability aspect is an area where further investment is likely to produce effective results. This raises questions for the future development of PPDF and what other capacity and capability development options could also achieve the outcomes expected. Other options for PPDF are worth DIA considering in their future discussion.

Key points arising from the evaluation are:

- A high standard of applications are being received from PCOs across the country.
- It generally appears there is a good level of awareness of PPDF in Pacific organisations, however, a review of census data indicates that some Pacific populations in particular regions are under represented in the applications for funding. Therefore promoting PPDF to a wider representation of Pacific communities ought to occur.
- The PPDF process operates well because of the support provided by Community Advisors.
- DIA are operating PPDF with a resource of Community Advisor support that is likely to be under further pressure as new organisations are allocated grants and rely on advisor assistance.
- PPDF has been responsive to the governance and management training needs that established Pacific community organisations have.
- PPDF has accumulated a pool of high calibre, flexible training providers, many of whom can deliver training in the languages of the PCO if requested.
- PPDF has contributed to building the capacity of Pacific training providers.

Further consideration of the following factors is likely to enhance capacity and capability development in PCOs:

- The inclusion of other capacity-building solutions which enhance the ability of PPDF to be responsive to PCOs as groups with various and different needs, which are not limited to the prescribed training being offered.
- A Capacity Needs Assessment process that involves the training provider and has the flexibility to cater for emerging organisations.
- Revisiting the allocation of Community Advisor time to account for the new and ongoing demand for PPDF services.
- Fine-tuning the practices between DIA and training providers to better manage the relationship, for example, the inclusion of a contract with clear deliverables.

- Fine-tuning policies and procedures to ensure a consistency of training material that incorporates Pacific values and systems.
- A review of the strategic and policy framework that supports PPDF to identify the strengths, concurrent themes and shortcomings of the documentation.

## 6. Recommendations

---

The recommendations below have arisen on the basis of our evaluative assessment of the impact of PPDF.

- PPDF should continue for at least a further two years, on the basis that it has had a positive (albeit limited) impact on PCOs.
- Policies and procedures for the operation of PPDF are clarified, and the supporting documentation consolidated so that it is readily accessible to Community Advisors and training providers. Currently documents are separately located and some are generic in nature with little specificity to the application of development for Pacific communities.  
Examples of policies and procedures that could be identified for this attention are:
  - a. Respective roles and responsibilities of the Community Advisor, the PPDF Committee Coordinator, the training provider, the applicant organisation and the PPDF Subcommittee.
  - b. The documents which guide processes for:
    - i. Making and assessing applications.
    - ii. Eligibility for assistance.
    - iii. Assessing Capacity Needs.
    - iv. Selection of training provider.
    - v. Training arrangements.
    - vi. Accountability reporting.
    - vii. Payment of funds.
- An allocation of Community Advisor resource is generated that reflects the nature and extent of demand for PPDF by the various populations of Pacific communities in the regions where the fund is allocated.
- The Community Advisor role is prescribed and documented in relation to PPDF and adequate professional development is given to support Community Advisors to assist Pacific communities.
- A review of the Capacity Needs Assessment Tool to make it easier to apply to the needs of emerging organisations and to factor into the assessment the current operating environment of the individual organisation.
- Arrangements are formalised between DIA and training providers that document the service deliverables, including outputs that have been agreed to, and the dates for delivery, reporting and payment.
- Consideration is given to widening the current criteria of PPDF to include mentoring and organisational development support.
- Systematic evaluation processes are in place to analyse information collected about PPDF activity for the purposes of monitoring performance and to effect improvements where required in a timely manner.
- Information from the completion of training is analysed in a timely manner to provide knowledge of the capacity and capability development occurring for PCOs and PPDF as a whole.
- Data analysis of accountability reporting information is fed back to Community Advisors, Managers, training providers and the PPDF Subcommittee to assist with gauging the performance of PPDF.

- Policies and procedures are formalised and clearly communicated to Community Advisors, training providers and other involved parties to ensure a consistent application of PPDF practice.

We also present a list of considerations that could be included in discussion regarding improvement for PPDF. We suggest:

- DIA continues its focus on maintaining the capacity and capability of training providers, in collaboration with other funding agencies.
- DIA and LGB explore further collaborative options for building Pacific community organisational capacity and capability where roles include acting as a facilitator of development, instead of provider, and designer of the activities.
- DIA could further utilise and build upon the information gathered from PCOs regarding the capacity and capability training delivered for PPDF. The information gathered for this purpose could include:
  - identification of short-term (immediately following training) and long-term objectives for each PCO and identification of how progress towards those objectives will be measured, documented and reported.
- Facilitation of a face-to-face forum which brings various PPDF stakeholders, including trainers and Community Advisors, together to:
  - discuss and determine internal evaluation processes, and
  - discuss and record good practices for capacity and capability building for PCOs.

## Appendix One Information Pack for PCOs

---

DATE

Contact name  
Name of group  
Postal address

Appropriate greeting

**INTERVIEW ABOUT THE DEPARTMENT OF INTERNAL AFFAIRS PACIFIC PROVIDER DEVELOPMENT FUND AND name of group**

Thank you for your time on **date contacted** when we discussed by telephone our proposed interview with you about the **name of group** participation in the Pacific Provider Development Fund (PPDF).

The purpose of this letter is to provide you with:

- An Information Sheet on the evaluation work we are undertaking on the PPDF; and on the interview, including who will be attending the interview, the list of questions we will be asking you (and any other attendees) during our interview; and
- a Consent Form for you/your organisation's representative to sign to show that you consent to the interview taking place; and
- Confirmation of the date, time and venue for our interview with you.

Based on our telephone discussion on **date contacted** we would like to confirm the following arrangements for our interview:

**Date: As per list**

**Time: As per list**

**Venue: As per list**

**Those attending from your organisation: Yourself, and any other members of your organisation you wish to attend**

**Interviewer:**

We would appreciate it if you could confirm that you are happy with these arrangements either by:

- calling me on freephone 0800 524 848 or calling/texting on 021 2272983; or
- emailing me at
- writing to me at Kahui Tautoko Consulting Ltd, P O Box 5502, Wellington

If you have any questions at all about the interview, please contact me or you can also contact Ingrid van Aalst at the Department of Internal Affairs, Research and Evaluation Services, P O Box 805, Wellington, or [Ingrid.vanAalst@dia.govt.nz](mailto:Ingrid.vanAalst@dia.govt.nz)

We look forward to meeting with you and hearing your views about PPDF.

Kia manuia

Caren Rangī  
Senior Consultant  
Kahui Tautoko Consulting Ltd (contractor to the Department of Internal Affairs)

## **DEPARTMENT OF INTERNAL AFFAIRS PACIFIC PROVIDER DEVELOPMENT FUND (PPDF) – INFORMATION SHEET**

### **Background information**

The PPDF was set up in 2001 by the NZ Lottery Grants Board (LGB) to help build the capacity of Pacific organisations through the provision of funding for accessing training and mentoring. The PPDF is supported by a Secretariat located in the Local Government and Community Branch of the Department of Internal Affairs (DIA). In 2004 the LGB reviewed the PPDF to see how it could be more responsive to the needs of Pacific communities. As a result of that review, the PPDF was re-launched in the 2005/06 financial year with some changes regarding funding allocation, evaluations of PPDF, the structure of the PPDF Subcommittee, resources and pre-application liaison with Pacific groups.

The LGB is currently considering whether the PPDF should continue to be funded for another two years (from 1 July 2008). To help LGB make its decision, it has requested DIA to undertake some evaluative activities to assess how the changes to PPDF are working. One of these activities is to interview PCOs like yours, who have been involved in PPDF at some time during the last three years, about PPDF and how it has contributed to the organisation. DIA has contracted Caren Rangī, of Kahui Tautoko Consulting Ltd to undertake these interviews on their behalf during January and February 2008. The information gathered from these interviews will be put together with other information into a final report, which will be completed between March and June 2008.

### **Your interview**

The purpose of the interview with your organisation is to help DIA to determine:

- whether PPDF is being responsive to the needs of Pacific communities; and
- what is and is not working within the PPDF; and
- whether the capacity and capability of PCOs is being developed.

There are 12 questions that will be asked during the interview and these are listed below. The question sheet that will be used by the interviewer is attached for your information and to assist you in preparing your answers.

### **Questions**

1. Can you describe what types of training your organisation received, and who (numbers and people) attended that training?
2. What do you think about the past and current allocation of funding to your group?
3. What were the needs of your Pacific community at the time you applied for PPDF?
4. How did you intend for PPDF to help meet the needs of your Pacific community?
5. How will you/have you measure/measured the extent to which PPDF has met the needs of your Pacific community?

6. If you think PPDF has NOT met the needs of your Pacific community, then what could LGB do differently to be more responsive?

7 What did you understand about how the PPDF process was intended to work? (From the time you heard of PPDF right up to the time when you had received training.) What did you understand was the intended role of your group in this process?

8. How did the PPDF process actually work for your group?

9. Were you happy with how well the PPDF process worked – why/why not?

10 How did you determine the capacity and capability of your group (what skills you had and what skills you needed) before receiving PPDF?

11 How did/will the training received help develop your group?

12. Do you have any other comments about PPDF?

The interview is planned to take no longer than 1.5 hours. The information gathered during the interview will remain confidential between your organisation and the interviewer and will only be used for the purposes of the evaluative activities. Organisations will not be identified in the final report. Your participation is voluntary; however, you will be required to sign a Consent Form to show that you have agreed to undertaking the interview and that you understand the purpose of the interview and what the information gathered will be used for.

As a token of appreciation for the time you have taken to participate in this interview, your organisation will receive a \$50 stationery voucher.

**For further information please contact:**

Caren Rangī

Kahui Tautoko Consulting Ltd

P O Box 5502, Wellington

Telephone (0800) 524 848 or (04) 470 7644 or (021) 227 2983

Email [caren.rangi@kahuitautoko.co.nz](mailto:caren.rangi@kahuitautoko.co.nz)

Or

Ingrid van Aalst

Department of Internal Affairs

Research and Evaluation Services

P O Box 805

Wellington

Telephone (04) 494 5761

Email [Ingrid.vanAalst@dia.govt.nz](mailto:Ingrid.vanAalst@dia.govt.nz)

**DEPARTMENT OF INTERNAL AFFAIRS PACIFIC PROVIDER DEVELOPMENT FUND (PPDF) INTERVIEWS – CONSENT FORM**

*(for seeking the consent of representatives of Pacific Community Organisations to being party to this interview and the PPDF evaluation)*

As previously noted, your participation in this interview is voluntary. However, we require you to sign this Consent Form to show that you (as a representative of your Pacific Community Organisation):

- agreed to take part in this interview; and
- understand the purpose of the interview; and
- understand what the information gathered during the interview will be used for.

**YOUR RIGHTS**

- All information gathered during the interviews will remain strictly confidential to the research company Kahui Tautoko Consulting Ltd and the Department of Internal Affairs.
- Your organisation’s name and any other personal identifiers will **not** be used in any reports arising from this project.
- Participation in this project is voluntary.
- All information gathered will be treated with respect and dignity.
- Declining to be party to the evaluation in no way affects your future participation in the Pacific Provider Development Fund.

**Please sign below to indicate you agree to the following statements:**

As a representative of the **name of group**, I have read and understand the letter, Background Information and Consent Form provided about this evaluation of the Pacific Provider Development Fund and agree to being interviewed.

**Representative’s signature:** .....**Date:**.....

**QUESTION SHEET –PACIFIC COMMUNITY ORGANISATIONS (PCO)**

<b>REF NO.</b> See list	<b>NAME OF PCO: Name of group</b>	<b>DATE: As per list, time</b>
<b>NAME OF INTERVIEWEE(S): Contact person</b>		

<b>Key evaluation objectives</b>	<b>Questions</b>	<b>Responses</b>
1. Provide evidence and data to the LGB to enable it to make a decision on future funding allocations of the PPDF.	1. Can you describe what types of training your organisation received, and who (numbers and people) attended that training?	
	2. What do you think about the past and current allocation of funding to your group?	
2. Identify whether the LGB and PPDF is being responsive to the needs of the Pacific community.	3.What were the needs of your Pacific community at the time you applied for PPDF?	
	4. How did you intend for PPDF to help meet the needs of your Pacific community?	
	5. How will you/have you measure/measured the extent to which PPDF has met the needs of your Pacific community?	

Key evaluation objectives	Questions	Responses
	6. If you think PPDF has NOT met the needs of your Pacific community, then what could LGB do differently to be more responsive?	
3. Identify what is working and what is not working within the PPDF.	7. What did you understand about how the PPDF process was intended to work? (From the time you heard of PPDF right up to the time when you had received training). What did you understand was the intended role of your group in this process?	
	8. How did the PPDF process actually work for your group?	
	9. Were you happy with how well the PPDF process worked – why/why not?	
4. Identify whether the capacity and capability of Pacific community organisations is being developed.	10. How did you determine the capacity and capability of your group (what skills you had and what skills you needed) before receiving PPDF?	
	11. How did/will the training received help develop your group?	
	12. Do you have any other comments about PPDF?	

## Appendix Two Interview tools

---

This section contains the interview tools used for:

- PPDF Subcommittee Members
- Community Advisors
- Training providers

**Interview Tool – PPDF SUBCOMMITTEE MEMBERS**

Evaluation Objectives	Qualitative Information required from PPDF Subcommittee members	Questions	Responses
<p>1. Provide evidence and data to the LGB, to enable it to make a decision on future funding allocations of the PPDF.</p>	<p>Opinions on extent and nature of applications to PPDF.</p>	<p>1. What are your views on the extent and nature of applications to PPDF over the last two rounds?</p> <p><i>Are the numbers of applications increasing/decreasing?</i></p> <p><i>Are groups being more/less successful with their applications?</i></p>	
<p>2. Identify whether the LGB and PPDF is being responsive to the needs of the Pacific community.</p>	<p>Opinions on extent to which PPDF is being responsive to needs of Pacific communities.</p>	<p>2. What are your views on the responsiveness of PPDF to the needs of Pacific communities?</p> <p><i>Is it the right mechanism to meet the needs of Pacific communities?</i></p> <p><i>How do you define the needs of Pacific communities?</i></p> <p><i>How do you measure PPDF's responsiveness to Pacific communities?</i></p>	
<p>3. Identify what is working and what is not working within the PPDF.</p>	<p>Information on actual PPDF process and roles and</p>	<p>3. Describe the PPDF Subcommittee's role in the PPDF process (scope of work required, criteria used to assess applications, criteria used to allocate</p>	

Evaluation Objectives	Qualitative Information required from PPDF Subcommittee members	Questions	Responses
	responsibilities of SC as well as other parties, including criteria applied to assess applications. Opinions on how well process worked for SC in relation to SC expectations.	funds) <i>How effective is the PPDF Subcommittee process – actual process vs expected process?</i> <i>How effective are other parts of the PPDF process?</i>	
4. Identify whether the capacity and capability of Pacific community organisations is being developed.	Opinions on actual and/or expected developments and how these are reflected in the applications process.	4. How do you measure the extent to which PPDF is contributing to the development of the capacity and capability of Pacific community organisations?  <i>What were your expectations of development of Pacific community organisations prior to the two application rounds? How were you measuring this?</i>  <i>What are your views on the actual development of the capacity and capability of Pacific community organisations? How do you measure this?</i>	
		5. Do you have views on:  ▪ The process for selecting training providers?	

Evaluation Objectives	Qualitative Information required from Subcommittee members	Questions	Responses
		<ul style="list-style-type: none"> <li>▪ The quality of the training delivered?</li> <li>▪ The evaluation of the training?</li> <li>▪ The amount of funding allocated to PPDF?</li> <li>▪ The criteria for PPDF?</li> </ul>	
		6. Any other views on any aspects of the PPDF process?	

## **Interview tool - Community Advisors**

NB- Provide assurance to participants that their data is confidential to the researchers and they will not be identifiable in the reporting of the findings.

- 1) We are interested in understanding your role and interaction with the PPDF process. Could you please describe your role in the PPDF process?

How are groups/individuals made aware of the PPDF process?

*Prompt for **Community Organisations and Training Providers***

- 2) Briefly describe the needs assessment process that is undertaken for each applicant? How are you using and applying the tool? Is it appropriate and useful?
- 3) Does the tool enable you to meet or identify the particular needs of the Pacific Organisations you work with? If so what are the particular needs?
- 4) The PPDF focuses on meeting the training needs of Pacific community organisations. Do you think the PPDF process meets the needs of Pacific Community Organisations? Please explain why?

If PPDF is not the right mechanism what is?

What other needs do Pacific Organisations have that are not being met through the PPDF?

- 5) How much of your role is focused on PPDF? Is this sufficient?

*Prompt – describe your role, what are the successes or weaknesses in your ability to focus on PPDF – work demand etc.*

- 6) PPDF requires that you maintain relationships with various stakeholders in PPDF. Could you please describe your relationship with the following groups? Could you also identify any specific issues with these stakeholders and the relationship you have?

- a) Pacific Community Groups
- b) Training providers
- c) PPDF Sub committee
- d) Other stakeholders?

- 7) Please describe the mechanisms you use to gather feedback and monitoring the quality of training from Pacific community organisations the Pacific Training Providers?
- 8) Do you think PPDF has had an impact on developing Pacific communities? If so can you describe the impact? And how do you know it is occurring?
- 9) Do you see PPDF as a useful programme to assist Pacific communities and if so how are you measuring the utility?

## **Interview schedule - Training Providers**

NB - Provide assurance to participants that their data is confidential to the researchers and they will not be identifiable in the reporting of the findings.

1. Could you think back to the time when you first became involved with PPDF and tell me about the process? For instance, how did you become known to DIA as a training provider?
2. What specific skills do you bring to the PPDF training process?  
  
Prompts – language / cultural skills, subject knowledge etc
3. Could you give me a brief summary of what you delivered to Pacific communities for PPDF? For example, what did you do with the groups you worked with, when did you do it, and who were the community that received this training? What is the quality of the relationship you have with these organisations?
4. What was your understanding of the needs of the groups prior to the training being delivered? What information were you given about the community organisation that enabled you to target the focus of the training you delivered?
5. Can you describe the relationship you have with the groups you worked with? How did their needs align with the training you gave? How did you gather the feedback or evaluate the training delivered to the groups?
6. What are the contractual arrangements between you and DIA? What are the specific deliverables in your contract?

Prompt - feedback, evaluations, follow up.

Do those arrangements meet your needs and the needs of the group?

Overall, how would you describe your relationship with DIA?

7. Do you think that the training addressed all of the needs of the group? What additional needs or ongoing issues are faced by the groups?

Strengths and Weaknesses of PPDF

8. What difference do you think that the training has made to the development of the group? And how do you know this?
9. Have you undertaken any follow up since the training? Can you describe your view on the aspect of follow up post the delivery of training?
10. Do you have any other comments or discussion you would like to contribute to the evaluation of PPDF?

## Appendix three.

---

### Abbreviations

The following abbreviations are used in this report:

PPDF Pacific Provider Development Fund  
PCO Pacific Community Organisation  
DIA Department of Internal Affairs  
LGB Lottery Grants Board  
LG&C Local Government and Community Branch of DIA  
PICAG Pacific Islands Consultation and Advisory Group

### Methodology

Our approach

The methodology for this evaluation was largely determined by the Department of Internal Affairs (DIA) in the Request for Quotation<sup>18</sup>, and the final details jointly agreed with us (Kahui Tautoko Consulting Ltd).

Our approach was to:

- Gather and analyse information through interviews, documentation review and further exploration of learnings from other similar funds.
- Utilise our knowledge, background and experience with Pacific Community Organisations to develop appropriate questions and to ask questions in ways to ensure they were best understood.
- Acknowledge the experiences and findings from past evaluation activity.
- Work collaboratively with staff within DIA's Research and Evaluation team, and the Local Government and Community Branch.
- Consult key stakeholders on the draft report.
- Apply key principles of respect, objectivity and understanding during the course of the interviews and the entire evaluation.

Interviews

#### *Interview selection*

**Interviews (mainly face-to-face, some conducted by telephone where this was the only practical method) with:**

- Thirty<sup>19</sup> Pacific Community Organisations (PCOs) who were successful or unsuccessful applicants to PPDF in either the 2005/06 funding round, the 2006/07 round or both (28 successful, two unsuccessful). The selection of PCOs for interviewing was purposive and the guiding principle was representativeness of the population. The interviewee selection was made in consideration of the share of each Pacific community within the total

---

<sup>18</sup> Request for Quotation Reference DIA/034/Q.

<sup>19</sup> We had originally aimed for a sample of 34; however four groups were unavailable to be interviewed owing to there being no personnel currently in the organisation who were involved in PPDF in past years, (2), illness and unforeseen circumstances (2).

Pacific and national populations, their geographic location, and to reflect the nature and extent of applications received. The ethnicity and location of the PCOs within the sample are detailed in Table 1 below. Of the 30 interviews, 24 were conducted face-to-face, and six by telephone in accordance with the availability of representatives of PCOs.

- Seven Community Advisors from DIA, all of whom are either current advisors or who have been involved with PPDF since its re-launch.
- The three members of the PPDF Subcommittee in place at the time of the evaluation.
- Seven training providers from a total population of 12 training providers who had participated in PPDF over the two funding rounds evaluated.
- The Chair and members of PICAG (the Pacific Island Consultation and Advisory Group to the Local Government and Community Branch (LG&C) of DIA).
- Other DIA staff involved in PPDF functions (coordination, administration, management and policy).

**Table 1: Sample of Pacific Community Organisations interviewed**

Ethnicity Region and area	Samoan	Tongan	Cook Islands Māori	Fijian	Tokelauan	Tuvaluan	Kiribas	Niuean	pan- Pacific	TOTAL
<b>Auckland</b>	2	5	2			2	1	1		<b>13</b>
<b>Waikato</b>		2	1							<b>3</b>
<b>Manawatu</b>	1									<b>1</b>
<b>Hawke's Bay</b>	1		2							<b>3</b>
<b>Wellington</b>	2			1	2					<b>5</b>
<b>Christchurch</b>	2									<b>2</b>
<b>Dunedin</b>									1	<b>1</b>
<b>Invercargill</b>	1	1								<b>2</b>
	<b>10</b>	<b>8</b>	<b>5</b>	<b>1</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>30</b>

### *Instrument development*

We developed questionnaires and interview protocols for the interviews with PCOs and the PPDF Subcommittee (included in Appendix One). Interview tools for the remaining interviews were developed jointly with DIA Research and Evaluation staff who conducted these interviews (also in Appendix One). All interview tools were developed by identifying key questions to be asked of each group of stakeholders that would inform each of the four evaluation objectives. All interview tools were cross-checked to identify gaps in our information base and adjusted where identification occurred.

For the interviews of PCOs and the PPDF Subcommittee members an information pack containing a standard letter about interview arrangements, a background information sheet and a consent form were developed to accompany the interview tool.

### *Contacting interviewees*

Interviews were organised by telephone during late December 2007 – early February 2008, and telephone arrangements were followed up by sending the

information pack either by post or email according to what was more convenient for the PCO.

Phone contact was first made to facilitate an introduction between the evaluator and the participants. This personal contact approach is consistent with best practice for engagement with Pacific communities as it permits the researcher to identify themselves to the people they are engaging with for research purposes and creates the link between the researcher and the Pacific communities.

The interviews were planned to ensure that they were convenient for the PCOs, including leaving it to their discretion as to who attended the interviews. Our preference was for face-to-face interviewing as this technique is an effective mechanism to establish a rapport with interview participants and presents opportunities for discussion and prompting unlikely to occur to the same extent if other techniques are employed. Overall our approach was guided by the necessity to create a conducive and comfortable environment for the research to take place. Where a face-to-face interview was not practicable we collected data via a telephone interview.

In several instances, attempting to contact PCOs was problematic as they could not be contacted at the addresses/phone numbers provided either on the files or by the Community Advisors. Other means were used to make eventual contact.

For the interviews of the training providers, contact was made by telephone from information supplied within DIA. Here the same approach to gathering data was applied. Preference for face-to-face interviews was promoted at the time of phone contact with providers and this was followed up with information via email about the research, including the purpose of data collection, a copy of the interview questions, the process for informed consent and the appointed arrangements for conducting the interviews. Five of the 12 training providers could not be contacted on the basis of the administrative information supplied at the time of the evaluation activities, at least three of these providers are known to have left New Zealand.

Interviews with DIA staff were arranged by phone and personal contact. The consultation with PICAG included an interview with the Chair followed by a meeting with the whole group. All participants were presented with their interview questions well in advance of the data collection.

### *Interview fieldwork*

All interviews took between 45 minutes and 1.5 hours. All interviewees were asked to sign a consent form prior to the interview commencing to demonstrate that they were agreeable to the interview taking place, and understood the purpose and scope of the interview.

The consent process was approached as a formal requirement for the research to occur. It documented processes of maintaining data confidentiality and how the information would be used. It is well established that a likely outcome of that formal process is the facilitation of a degree of commitment and trust between the researcher and participant. This can enhance the extent to which participants impart their information. Therefore the process of consent had a two-pronged focus the establishment of trust, and the assurance of an ethical research process.

Throughout the process of data collection the interviewer focused on making the interviewees feel as comfortable as possible, and reaffirmed the interviewees' answers to all questions at the conclusion of all interviews. All groups were provided with a \$50 stationery voucher as a token of appreciation for their valuable time and views. All groups were informed of the evaluation process, and an undertaking was made to provide information to all groups interviewed on the final decision of the LGB regarding the future of PPDF.

For the interviews of the PPDF Subcommittee members, the interview tool was posted out to them before the interview. Two interviews were conducted face-to-face and one by telephone.

The remaining interviews with training providers, Community Advisors and DIA staff were conducted either face-to-face or by telephone.

Notes were taken during interviews and written up in full following the event. Training providers and Community Advisors were forwarded a copy of their interview notes for review. All interview notes were processed with an Excel spreadsheet to assist analysis and enable clear identification of key quantitative and qualitative information.

#### Documentation review and evaluation

- We reviewed key documents and information on PPDF as follows:
  - LGB Committees Handbook, including "Information for applicants to the Lottery Pacific Provider Development Fund".
  - "A Review of Lottery Responsiveness to Pacific Community Groups: A Pacific Cultural Audit of the NZ Lottery Grants Board", February 2000.
  - "Pacific Provider Development Fund Modifications: an Investment Approach to Improving Responsiveness to Pacific Communities", LGB Meeting 4 May 2005, Agenda item 5.5, Paper No: 9.
  - "A Formative Evaluation of the Redeveloped Pacific Provider Development Fund", Judy Paulin and Liz Tanielu, August 2006.
  - Pacific Provider Development Fund Evaluation Findings and Management Response.
  - DIA LG&C Memo 8/11/06 PPDF Procedures for Advisors.
- For the 30 PCOs interviewed, we reviewed their Client Files that are required to contain:
  - PPDF Advisor reports and recommendations to Subcommittee,
  - application forms for PPDF,
  - PPDF Capacity Assessment Workbook (Needs Assessment),
  - a development plan,
  - communication between advisors, PCOs and training providers,
  - evaluations of training from community organisations,
  - reports from training providers, and
  - invoices for training provided.

We observed that some files did not contain all the information.

#### Development of case studies

In the Request for Quotation, DIA anticipated that a small number of case studies of PCOs could be used to illustrate the impact of PPDF to date in more depth.

In conducting the interviews we sought to identify three PCOs whose experience in the PPDF process illustrated different aspects and the impact of PPDF on their organisation. In order to depict a wide range of aspects, we selected the three PCOs as follows:

- One recently formed organisation (formed within the period 2005–2007).
- One established provider (established prior to 2005 and delivering services).
- An organisation from a smaller Pacific community (a Pacific community that is not one of the three largest communities).

Owing to the variability of access to information of sufficient detail to provide three case studies we instead present three vignettes<sup>20</sup> to highlight the various impacts of PPDF on these different PCOs.

---

<sup>20</sup> Short descriptive essay or characterisation.