Evaluation of the Community Initiatives Scheme, Cook Islands

Commissioned by:
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Glossary of acronyms and abbreviations

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
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<tbody>
<tr>
<td>AMD</td>
<td>Aid Management Division</td>
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<tr>
<td>AusAID</td>
<td>Australian Agency for International Development</td>
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<td>BTIB</td>
<td>Business Trade Investment Board</td>
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<tr>
<td>CIANGO</td>
<td>Cook Islands Association of Non-Government Organisations</td>
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<td>CIFWA</td>
<td>Cook Islands Family Welfare Association</td>
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<td>CIG</td>
<td>Cook Islands Government</td>
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<td>CIS</td>
<td>Community Initiatives Scheme</td>
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<td>Coordinator</td>
<td>CIS Coordinator</td>
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<td>CSO</td>
<td>Civil Society Organisation</td>
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<td>EU</td>
<td>European Union</td>
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<td>FAO</td>
<td>Food and Agriculture Organisation of the United Nations</td>
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<td>GEF</td>
<td>Global Environmental Facility Small Grants Programme</td>
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<td>GFA</td>
<td>Grant Funding Arrangement</td>
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<tr>
<td>HOMF</td>
<td>Head of Mission Fund</td>
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<td>JCS</td>
<td>Cook Islands/New Zealand/Australian Joint Country Strategy 2008-2017</td>
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<td>JICA</td>
<td>Japan International Cooperation Agency</td>
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<tr>
<td>MFAT</td>
<td>Ministry of Foreign Affairs</td>
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<td>MFEM</td>
<td>Ministry of Finance and Economic Management</td>
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<td>NCW</td>
<td>National Council of Women</td>
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<tr>
<td>NGO</td>
<td>Non Government Organisation</td>
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<tr>
<td>NSDP</td>
<td>National Sustainable Development Plan</td>
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<td>NZHC</td>
<td>New Zealand High Commission</td>
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<td>NZODA</td>
<td>New Zealand Overseas Development Assistance</td>
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<td>OIGDF</td>
<td>Outer Islands Development Grant Fund</td>
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<tr>
<td>PDAE</td>
<td>Paris Declaration on Aid Effectiveness</td>
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<td>PIAF</td>
<td>Pacific Islands Aids Foundation</td>
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<td>PMT</td>
<td>Project Management Team</td>
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<td>POBOC</td>
<td>Payment on behalf of the Crown</td>
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<td>SBEC</td>
<td>Small Business Enterprise Centre</td>
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<tr>
<td>SPC</td>
<td>Secretariat of the Pacific Community</td>
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<tr>
<td>TKN</td>
<td>Te Kavenga Nui</td>
</tr>
<tr>
<td>TOR</td>
<td>Terms of Reference</td>
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Executive summary

1. Background
A Community Initiatives Scheme (CIS) was foreshadowed in the NZODA Cook Islands Country Strategy 2001-2006, which recommended a new flexible, responsive mechanism for supporting civil society be introduced and managed by the New Zealand High Commission in Rarotonga. Its purpose was to provide support to civil society organisations in a more focused way than previous ad hoc funding and to make funds available to a wider range of organisations. It became operational in 2004.

The CIS has seven priority areas: domestic violence; gender and development; reproductive health; mental health; young people (those aged 15-34); elderly people and people with disabilities. It has supported income generating projects; the participation of priority area beneficiaries in development; community development projects and programmes that are identified, planned, implemented and monitored by or with community members; and organisational strengthening.

The Ministry of Foreign Affairs (MFAT) administers a delegated cooperation aid programme to Cook Islands on behalf of AusAID. The New Zealand Aid Programme allocated a total of $1,500,000 to the Scheme (for projects and administration/management costs) from July 2004 to June 2010. Ninety-two projects were approved in the period 2004-2010, for amounts ranging from $2,632 to $50,000 and a total $1,230,215. Not all the approved projects went ahead or were completed and $1,026,639 was actually expended on projects to 30 June 2010. Administration costs for the period ($281,834) averaged 21.4% of CIS expenditure ($1,308,472).

The CIS was reviewed in 2008 in conjunction with the New Zealand Aid Programme’s other civil society activities. That review recommended, among other things, an evaluation of the CIS to consider:

- the effectiveness and impact of projects funded and reasons for their success or failure
- the governance, management and administrative issues identified in the review.

2. Purpose and objectives of the evaluation
This evaluation focused on:

- assessing the relevance, effectiveness, efficiency and sustainability of the CIS since inception; and
- providing recommendations for the future of the CIS within a wider civil society programme.

3. Approach and methodology
The evaluation team used five main methods to gather data:

- reading and analysing documents including design documents; documents associated with funding arrangements; Project Management Team (PMT) and Board minutes; Coordinator reports and a range of contextual reports.
- consultations with key stakeholders and funding recipients, based on interview guides to ensure data was collected in a consistent fashion.

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1 As such, all references to the New Zealand Aid Programme mean the harmonised New Zealand/Australia aid programme, unless stated otherwise.
• observing as many active projects as possible in three sites: Rarotonga, Atiu and Aitutaki
• identifying any ongoing benefits from completed projects through observation and data collection.
• comparing the design, implementation and operation of the scheme in relation to good practice principles for donor engagement with civil society.

In all, the team was able to observe or gather direct information on 33 projects in the three sites, and to relate that information to eight projects replicated on other islands.

4. Limitations
The evaluation was hampered by a lack of information on projects and an inadequate filing system.

Delays in granting funds mean that 13 approved projects have not yet been implemented – funding agreements are still being negotiated or seven projects, and six others either did not receive their funding, are not proceeding or have been revised. With these projects, the team gathered information on the application process and on any challenges in implementation.

Even where data was available the quality was poor, due in part to the design of the application form and database, and in part to inexperience in reporting. Only 29 final reports were available and they varied considerably in the amount of detail they contained. Some from more established, professional organisations document the number and gender of participants; others, particularly from smaller groups, do not.

The evaluation team was only able to visit two of the outer islands. Given the lack of final reports it would have been helpful to have been able to do a more complete evaluation of projects.

5. Findings
5.1 Clarification of outcomes and performance indicators
Stakeholders had not given any thought to specifying anticipated outcomes or associated performance measures or targets for the Scheme as a whole.

Discussions confirmed most of the outcomes proposed by the evaluation team as derivatives from the objectives but raised concerns about the appropriateness of: income generating projects “improving the business enabling environment in the outer islands” and the relevance of the organisational strengthening outcomes for small community organisations. Stakeholders suggested a range of performance measures including the number of women and youth who gained new skills, including skills that enabled them to stay on an outer island; the number of projects taken over by the Cook Island Government and the number of funded organisations that continued to function well after funding ended.

5.2 Relevance of the CIS
The recipients of project funding unanimously endorsed the relevance of the Scheme. Outer islands recipients could see no other avenue for funding their community based projects.

Participants were of the view that mental health, reproductive health and domestic violence should be removed from the priority list as they are managed through other agencies, some of which are core-funded. Some believed that their inclusion reflected CIG or the New
Zealand Aid Programme perception of need, rather than community priorities. They agreed that agencies should still be able to apply for funding to provide services in these areas.

This would leave four target groups: young people aged 10-25 (revised age range), women, older people aged 65 and over, and people with disabilities.

Participants confirmed the four original objectives but agreed that income generation under the Scheme is not equivalent to business development. They interpreted the second objective as engagement by members of the target groups in some sort of training or education activity, rather than in community-based awareness-raising activities.

The CIS is closely aligned with the CIG national development strategies. The current National Sustainable Development Plan (NSDP) includes a proposal to “evaluate the performance of NZAID-funded Community Initiatives Scheme and consider localisation of funding by 2010.” This has happened in part but there has been no substantive discussion concerning the full localization of funding for CIS, largely due to budget constraints.

The CIS contributes to the NZAID Pacific Strategy 2007-2015 which focuses on: strengthening governance, achieving broader-based growth and improved livelihoods, education and health, and reducing vulnerability through increasing safety, protecting the environment and improving the ability to respond to disasters.

Three cross-cutting issues - human rights, HIV/AIDS and gender - are covered in the priority areas. Some projects have addressed peace-building and conflict resolution and environmental issues. The Board has taken steps to ensure strategies are in place to prevent misappropriation.

5.3 Effectiveness of the CIS

The Scheme has achieved its overall purpose in making funds available to a wide range of community organisations.

Objective 1: Expectations in relation to income generation need to be clarified. None of the projects that had income-generation as a component aimed to become commercial businesses. While most earned some income for individuals and raised enough money to continue to operate, their main strength was in developing and passing on skills and promoting community development.

Objective 2: Only two of the five awareness-raising programmes involved members of the target group in delivery. All but one project has been completed and no information was available on whether peer educators trained through the programme were still active. Four of the campaigns have finished.

Objective 3: Fourteen of the 20 community projects visited had been completed, one with a revised programme; four were under way; one did not proceed because of lack of key personnel and one was unsuccessful. All but one programme was still operating, and that one had the potential to run further courses for youth in the future.

Objective 4: Organisational strengthening has mainly been through salaries for the disability sector. Very few approved projects have sought to improve management systems and planning within organisations.

Very few of the governance, management and administrative issues identified earlier have been addressed. It is unclear why this is the case. It may be due to staff changes in the New
Zealand Aid Programme and the Scheme, or because stakeholders were awaiting the outcome of this evaluation.

Reporting, monitoring and evaluation have not been satisfactory. Administrative systems are poor. Reporting deadlines for projects have rarely been met. While most well established organisations like the disability services, the uniformed youth groups and national bodies have reported on time; smaller community organisations have struggled to do so. The quality of the reports sighted ranged from very professional (the larger bodies) to a single page, acknowledging the funding and noting that the project had been completed.

Monitoring of projects has been hit and miss. Evaluation is currently the role of the Board but has not been done to date. A more reliable alternative would be to contract a local person to evaluate a sample of projects every two years, with an evaluation of the overall Scheme once every three years.

Publicity for the Scheme is very low key. Stakeholders agreed that grant approvals should be publicised, and the media encouraged to cover CIS-funded events and activities. A website could also be developed, with success stories, downloadable forms and information on funding rounds and criteria.

5.4 Efficiency of the CIS

All stakeholder groups agreed that the management and implementation of the Scheme needs to be more efficient, and in particular, administration needs to be improved and decisions made and implemented more quickly. The evaluation team came to the same conclusion. The proportion of funds paid for administration (around 21%) is comparatively high and reflects both the poor management and implementation and the nature of the Scheme. With improved systems, administration costs should decrease as a proportion of the overall funds and cost effectiveness will increase.

CIANGO is the preferred option for housing the scheme, but participants recognise that this is not practical at present. Other options include the National Council of Women, the Chamber of Commerce, AMD or Internal Affairs, the New Zealand Aid Programme or a private contractor through a management services contract.

The implementation of the Scheme needs to be improved, with better day to day management by, and better support for, the Coordinator, and a more active and focused Board.

MFEM manages project payments efficiently once invoices are presented or requests for tranche payments made. The Scheme and its funding are covered within MFEM’s annual audit, rather than being audited separately.

To date $1.5m has been allocated to the Scheme by the New Zealand Aid Programme and as at June 2010 $1.2m had been spent on projects. Without agreed measurable performance indicators, it is difficult to assess in any consistent fashion whether what has been achieved is enough. However, the evaluation team and participants from all stakeholder groups believe that the results have shown good value for money but agree that more could be achieved with better targeting and a clearer understanding of where the Scheme fits in relation to other funding opportunities.

It is also unclear whether another funding model like GEF would be more cost effective than the current arrangement given that the aim of CIS is to make funds available to a wide range of community groups. The CIS Coordinator actively seeks out applications and is much more
involved with developing proposals; most grants are small and therefore more costly to administer.

5.5 Sustainability of CIS project benefits

Overall, the community programmes and services and the small scale income generating projects funded by CIS were the most likely to be sustainable.

Most projects the team visited are still operating and many have expanded into new areas which increase their viability. A number of projects have put funding systems in place – e.g. a small charge for using a gym or a sewing machine, in order to be able to sustain the programme or service.

Grants for one off initiatives are less likely to result in sustainable benefits, except where they are linked into a CIG policy area, as was the case with the disability Coordinators.

6. Lessons learned

The key lessons are that:

- More work needs to be done to clarify exactly where CIS fits in relation to other funding schemes, including POBOC. The delay in localising community sector funding provides an opportunity for the CIG to develop a community sector strategy, in consultation with donors and the civil society sector,

- Applicants and those involved in implementation do not necessarily agree on or understand what the various objectives of CIS mean in practice e.g. that “community awareness/education” projects need to support the participation of priority area beneficiaries in development, or that “organisational strengthening” is intended to strengthen the organisation’s capability to identify, implement and monitor its community development projects. It would be helpful for those involved in implementation along with representatives of the community sector to clarify what should be included under each objective and to determine priority areas and/or target groups. This should lead to clearer applications and improved recording.

- Steps need to be taken to establish not only the level of need in the three priority areas that participants wanted removed from the priority list, but also the capacity of organisations to meet any identified need. The Board may need to consider how proactive it wishes to be in developing such capacity.

- The Coordinator needs to have a good balance of administrative and communication skills in order to manage the two aspects of his/her task effectively.

- It is unrealistic to expect unpaid and/or fully employed Board members to be responsible for monitoring and evaluating projects. It would be more effective to have a local person do that task and provide information to the Board.

- The differences between organisations based in Rarotonga and the outer islands are significant in terms of capacity and the ability to access help or other funds.

- Many projects produce incremental gains ie they may only partly achieve their original goal but have unexpected positive outcomes that contribute to the development of individual participants and the strength of the organisation and the community.

- Expectations of small scale community projects need to be realistic, particularly in terms of income generation. With CIS, some stakeholders worried that projects might
“compete” with existing businesses i.e. be too successful; others expected a small group of women with few business skills and a $5000 grant to become a viable business.

- If income generation or economic development is to be achieved then the New Zealand Aid Programme needs to conduct an assessment of how to do this best in small communities. Funding for family based businesses may be an option.

7. **Conclusion and recommendations**

The evaluation team believes that the Scheme has produced some good results in spite of some failings in management and administration.

It is greatly valued by current and potential project applicants and funding recipients. In many cases, modest grants have led to unexpected benefits for the wider community, for example, by providing new facilities and creating recreational opportunities that have had an economic spin off. Some initiatives, such as those supporting gardening, fishing, income generation, health and fitness, and services for those with disability have strengthened people’s ability to remain on the outer islands and enabled communities to be more self-sustaining.

With its “grassroots” focus, the Scheme appears to fills a niche that no other funding scheme quite reaches, although it would be useful to clarify whether there are in fact significant overlaps with other funds, and if there are, whether the level of demand warrants having both sources of funding available.

The seven-month extension period provides an excellent opportunity to reorganise the management of the Scheme and improve its administration, and to find a suitable community organisation to house the Scheme in the future.

8. **Recommendations**

The evaluation team recommends that:

1. The Scheme continues for a further three years from July 2011.

**New Zealand Aid Programme**

2. The New Zealand Aid Programme encourages the CIG to develop a community sector strategy, which will help clarify where the CIS fits within it.

3. That the New Zealand Aid Programme encourages the CIG to initiate a meeting between CIG, donors and representatives of the civil society sector to identify overlaps between funds and to assess the nature and level of demand for funds.

4. The New Zealand Aid Programme funds a needs assessment to determine both the need for and capacity to deliver services particular in the areas of mental health and domestic violence.

**Administration of the Scheme – the Board**

5. Between now and July 2011, management of the Scheme is reorganised and administration improved.

6. The PMT is abolished with its duties being taken over by the Board, including responsibility for managing the Coordinator
7. The composition of the Board is revised to include one representative from the New Zealand Aid Programme, one from AMD, one from Internal Affairs and four from community groups and CSOs. Efforts should be made to include a youth representative and a representative from the outer islands.

8. The Board identifies a long-term “home” for the Scheme. Ideally this will be a local CSO, which may need technical assistance and organisational strengthening before it can take on the management role. The organisation will need to be credible to and trusted by the community organisations that currently use the Scheme.

9. The Board clarifies and confirms the revised priority areas for the Scheme and the focus of each objective.

10. The Board approves the establishment of a liaison network on outer islands to assist with applications, monitoring and reporting. The size of this task will vary from one island to another.

11. The Board meets four half days a year; non-salaried member receive a small sitting fee.

**Administration of the Scheme – the Coordinator**

12. The Coordinator’s employment contract reflects the expectations set out in the GFA.

13. Once priorities and objectives are clarified, the Coordinator modifies administration systems, including the application form and the database to improve recording, management and reporting.

14. From July 2011, the Coordinator position is reduced to three days a week.

**Administration of the Scheme – other issues**

15. An independent local consultant is appointed to evaluate a sample of projects every two years.

16. The management of the Scheme is reviewed six months before the Funding Arrangement is due to expire.

17. Funding for the Scheme is increased to compensate for price increases over the last five years and to accommodate the changes proposed above.
1.0 Introduction

1.1 Background

1. A Community Initiatives Scheme (CIS) was foreshadowed in the NZODA Cook Islands Country Strategy 2001-2006, which recommended a new flexible, responsive mechanism for supporting civil society be introduced and managed by the New Zealand High Commission in Rarotonga. Its purpose was to provide support to civil society organisations in a more focused way than previous ad hoc funding and to make funds available to a wider range of organisations. CIS was designed in 2002 by a New Zealand consultant after discussion with key stakeholders in the Cook Islands, and became operational in 2004. Funding to community groups continued during this time.

2. The CIS was reviewed in 2008 in conjunction with the New Zealand Aid Programme’s other civil society activities. That review recommended, among other things, an evaluation of the CIS to consider:
   - the effectiveness and impact of projects funded and reasons for their success or failure
   - the governance, management and administrative issues identified in the review.

1.2 Community Initiatives Scheme performance

3. The priority areas for the CIS are:
   - Domestic violence
   - Gender and development\(^2\)
   - Reproductive health
   - Young people (those aged 15-34\(^3\))
   - Elderly people
   - People with disabilities
   - Mental health.

4. CIS has four objectives:
   - To promote income generating activities for all target groups. This can include support for training, systems development, stipends for field staff or the purchase of equipment to support the production of marketable products.
   - To support the participation of priority area beneficiaries (i.e. women, youth, elderly people, and people with disabilities) in development. This can include community-based awareness-raising activities and/or programmes aimed at highlighting the needs of priority area beneficiaries.
   - To support community development projects and programmes focusing on domestic violence, reproductive health services, disability services, services for the elderly and

\(^2\) This is the term used in most documentation. However, all the Funding Arrangements refer to “women’s development”.
\(^3\) The Coordinator’s report to 30 June 2009 recommended that this be extended to include young people under the age of 15. The PMT meeting on 3 September 2009 supported this recommendation but it is unclear whether this was enough to effect a change in the priority areas.
mental health services that are identified, planned, implemented and monitored by or with community members.

- To strengthen NGOs focusing on the economic or social advancement of women and their families, and youth or organisations working in the priority areas. This can include planning and strategic management, organisational renewal and development, leadership/staff/volunteer training, workshops, technical assistance in financial or management systems or in project appraisal/planning/management techniques.

5. The CIS Design Document notes that the Fund will usually make grants of between $5 - $20,000, with most grants to community-based organisations being between $5,000-$7,000. In certain circumstances, grants of up to $50,000 will be made to organisations with a successful record of implementing development projects of a similar size, especially where transport and shipping costs to the outer islands need to be covered.

6. Temporary staffing assistance (to a maximum of two years and a total of $20,000 per annum) will be considered where there are clearly defined objectives for the position and where the organisation has a commitment to providing both financial and organisational support for the position. If the position is expected to become permanent, the organisation must have a plan to pick up any anticipated recurrent costs at the end of the funding period.

7. The New Zealand Aid Programme allocated a total of $1,500,000 to the Scheme from July 2004 to June 2010. The table below gives the income and expenditure for CIS through AMD. The table also shows project allocations approved by the Board over the same period ($1,230,215). These figures were taken from CIS records. (The Board has approved a further $91,360 for projects since 30 June 2010).

<table>
<thead>
<tr>
<th>Year to June 30</th>
<th>Total approved and allocated funds for CIS from the New Zealand Aid Programme</th>
<th>Actual expenditure for CIS Projects</th>
<th>Actual expenditure for CIS administration costs</th>
<th>Total CIS expenditure</th>
<th>Project allocations approved by the Board</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004/06*</td>
<td>350,000</td>
<td>385,833.54</td>
<td>106,403.06</td>
<td>492,236</td>
<td>563,154</td>
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<tr>
<td>2006/07</td>
<td>250,000</td>
<td>122,824.72</td>
<td>45,082.92</td>
<td>167,908</td>
<td>253,666</td>
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<td>2007/08</td>
<td>250,000</td>
<td>254,059.62</td>
<td>42,739.30</td>
<td>296,799</td>
<td>79,622</td>
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<tr>
<td>2008/09</td>
<td>300,000</td>
<td>22,327.21</td>
<td>50,700.04</td>
<td>73,027</td>
<td>148,611</td>
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<tr>
<td>2009/10</td>
<td>350,000</td>
<td>241,593.91</td>
<td>36,908.45</td>
<td>278,502</td>
<td>185,162</td>
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<tr>
<td>TOTAL</td>
<td>$1,500,000</td>
<td>$1,026,639</td>
<td>$281,833.77</td>
<td>$1,308,472</td>
<td>$1,230,215</td>
</tr>
</tbody>
</table>

*Years 2004/05 and 2005/06 are combined in this table as the Scheme did not get fully underway until 2005/06.

Source: Aid Management Division, Ministry of Finance and Economic Management (Cols 1-4); Project records supplied to evaluation team Col 5

8. Ninety-two projects were approved in the period 2004-2010, for amounts ranging from $2,632 to $50,000. The list of approved projects by date is included as Annex 5. Not all the approved projects went ahead or were completed and the most recent funding agreements totalling $91,360 are still being negotiated. Nineteen of the projects appear to be “one–offs”. They include four grants for community awareness raising initiatives, six grants for salaries for disability Coordinators and two for salaries for rehabilitation services, six grants to enable individual Girl Guides or Girls’ Brigade members to complete their Duke of Edinburgh Awards and/or to attend a fono in Rarotonga and one for conference travel.

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4 Youth is not included in this list, but this may be an oversight. CIS has funded numerous programmes and services focusing on youth.
1.3 Changes in the funding context in the Cook Islands

9. When the CIS was established a number of other donors operated small grants and/or community grants schemes in the Cook Islands. Donors included the Canada Fund, European Union (EU), Food and Agriculture Organisation (FAO), the Secretariat of the Pacific Community (SPC) and the Global Environmental Facility Small Grants Programme (GEF) for environmental projects. In addition, the International Planned Parenthood Federation (IPPF) provided some funds to the Cook Islands Family Welfare Association (CIFWA); the Global Fund for HIV/AIDS was available for projects associated with HIV/AIDS. The New Zealand High Commission also operates a Head of Mission Fund (HOMF) for small grants (under $5000).

10. As at October 2010 the Canada Fund and EU schemes were no longer operating. To some extent they have been replaced by the German Fund for Small Scale Projects (amount unknown) and the India Grant Fund for Support to Community Small Scale projects ($100,000 per annum). The former has been going for at least four years and the latter began operating in the Cook Islands in 2006-07. Both of these schemes are managed offshore. Applications for the German Fund go to the local consul who forwards them to Wellington who in turn sends them to Berlin for decisions. The programme funds “projects that directly serve the basic needs of the most deprived social groups and have a positive and sustainable impact on the living conditions of the target group” with up to €10,000 per project. The scheme funds equipment like tractors and minor infrastructure projects as well as the kinds of projects funded by CIS. Applications that do not meet CIS or GEF criteria are sometimes referred to the German Fund.

The India Fund applications are processed through AMD and sent first to Fiji then on to Delhi. The scheme supports small scale community based projects like community halls, fishing gear and outboard motors. The Indian Government prefers not to join with other donors. With both schemes the decision-making process can take up to two years.

11 The FAO food security programme, the GEF programme and the HOMF are still operating. Funding is still available through IPPF for CIFWA.

The FAO food security fund provides one off grants of up to US$10,000 for materials for small garden and fishing projects. The proposals are sent to the FAO Regional Office in Samoa. It can take several years for the money to come through, even after projects have been approved.

The budget for GEF is US$250,000 per annum for environmental projects plus US$50,000 from AusAid for climate change projects.

12. Payment on behalf of the Crown (POBOC) funding was introduced in the 2007/08 financial year to provide core funding for disability services. It core funds the five Disability Learning Centres that have been set up in Mauke, Aitutaki, Mangaia, Atiu and Pukapuka. A further $96,000 was added in 2008/09 as a contestable fund for community groups. (The amount was not based on a needs assessment). The fund targets national bodies – the National Council of Women, the National Youth Council, Te Kainga and the Creative Centre (both of which have a mental health and disability focus) and CIFWA have all applied – and all applications must include a training component. The criteria are similar to those of CIS. The administrators prefer CSOs to apply through a national organisation. Decisions are usually made once a year through a Board which has representation from the Ministries of Internal Affairs (three people), Health and Education and two NGOs. Grants are generally up to $16,000 per project compared with $20,000 for CIS.
1.4 Evaluation purpose

13. This evaluation has focused on
• assessing the relevance, effectiveness, efficiency and sustainability of the CIS since inception; and
• providing recommendations for the future of the CIS within a wider civil society programme.

The evaluation also had an accountability component but did not consider the long term effects (impact) of the scheme, given the difficulties in attributing any changes at the wider social level to the New Zealand Aid Programme contribution and the lack of a Theory of Change or Programme Logic. The full Terms of Reference (TOR) are attached as Annex 1.

14. The evaluation had five specific objectives, each underpinned by a number of questions. It also sought to clarify the intended outcomes of CIS and identify associated performance indicators as a base against which to evaluate the scheme now and in the future.

15. The five objectives of the evaluation were:

A. To assess the **relevance** of the CIS in terms of:
   i. meeting the real needs, priorities and capacities of the intended target groups and other stakeholders
   ii. good international development practice including commitments to Paris Declaration, and lessons learned from similar activities in the Cook Islands or elsewhere
   iii. the New Zealand Aid Programme policies and programme strategies, including whether mainstreamed and other cross-cutting issues are given adequate consideration.

B. To assess the **effectiveness** of CIS in terms of whether it is meeting its objectives and outcomes
   i. The extent to which income generating activities been successfully established and maintained under CIS, providing cash earning opportunities for community members
   ii. The extent to which community awareness/education projects have supported community development through the participation of intended beneficiaries in development
   iii. The extent to which the capacity of communities has been increased so that they are able to identify, plan, implement and monitor their development.
   iv. The extent to which CIS governance, management and administrative issues identified in the 2008 civil society review have been addressed
   v. What has gone well, and less well, with respect to:
      a. meeting the objectives of the Scheme
      b. quality of reporting, including coverage and timeliness.

C. To assess the **efficiency** of CIS in terms of:
   i. Whether it is being managed and implemented effectively and efficiently
   ii. Whether the funding arrangement is being managed within financial budgets and fulfilling the terms of the contract
   iii. The overheads relating to the Board and Coordinator costs
   iv. Whether the CIS is providing value for money
   v. The extent to which resources have been well used in achieving CIS project outcomes
   vi. The key areas of success and the issues of concern.
D. To assess sustainability and factors that may enhance or constrain sustainability of the benefits of the CIS.

E. To identify the lessons learned from the operation of the CIS to date and to make recommendations for future assistance to the Cook Islands civil society sector.

1.5 Use of the findings

16. The findings of the evaluation will inform thinking around the nature and extent of future support to civil society through the Cook Islands bilateral programme. It will also inform the Cook Islands Government’s own intentions and plans to address issues and needs of the community sector and of marginalised and disadvantaged groups. The intention is that the CIS contributes to the Joint Country Strategy (JCS) which in turn contributes to the National Sustainable Development Plan (NSDP) and Te Kavenga Nui (TKN) outcomes.

1.6 Methodology

17. The evaluation was carried out in two stages. The first was the development of an evaluation plan (included as Annex 2). The second was the implementation of the plan, which included debriefs with various stakeholders in country to verify findings and get feedback.

18. The evaluation team used five main methods to gather data:

• reading and analysing documents including design documents; documents associated with funding arrangements; Project Management Team (PMT) and Board minutes; Coordinator reports and a range of contextual reports. Documents reviewed are listed in Annex 3.

• consultations with key stakeholders and funding recipients, based on interview guides to ensure data was collected in a consistent fashion. People consulted are listed in Annex 4.

• observing as many active or completed projects as possible in three sites: Rarotonga, Atiu and Aitutaki. In all, the team was able to observe or gather direct information on 33 projects in the three sites, and to relate that information to eight projects replicated on other islands. e.g. the Disability Centres and Girl Guide initiatives.

• identifying any ongoing benefits from completed projects through observation and data collection.

• comparing the design, implementation and operation of the scheme in relation to good practice principles for donor engagement with civil society.\(^5\)

19. The report gives brief examples of projects to illustrate particular points but the team chose not to include detailed case studies because of the lack of representative and reliable administrative data.

1.7 Limitations of the evaluation

20. The evaluation was hampered by a lack of information on projects and an inadequate filing system. Relatively few final or interim reports have been submitted and the papers for

individual projects were not held in one file. The team tried to locate papers for the projects visited but may not have found them all. A new Coordinator was appointed in February but he has not yet been able to update the database or develop a new filing system.

21. Delays in granting funds mean that 13 approved projects have not yet been implemented – funding agreements are still being negotiated or seven projects, and six others either did not receive their funding, are not proceeding or have been revised. With these projects, the team gathered information on the application process and on any challenges in implementation.

22. Even where data was available the quality was poor, due in part to the design of the application form and database, and in part to inexperience in reporting. The application form asks applicants to identify the project category using the following classifications (listed in the order below):

- Disabilities
- Domestic violence
- Elderly
- Gender and development initiatives
- Income generating project
- Mental health
- Organisational strengthening project
- Reproductive health
- Youth

23. This list conflates target groups, areas of concern and Scheme objectives and makes no mention at all of two objectives: community development projects and programmes (sometimes called “programmes and services”) and community-based awareness raising activities. Applicants can tick more than one category and some have ticked almost every one. The coding in the database does not match the form, with new categories being introduced at different times. The information in reports on target groups and the nature of activities funded is therefore unreliable.

24. Only 29 final reports were located and they varied considerably in the amount of detail they contained. Some from more established, professional organisations documented the number and gender of participants; others, particularly from smaller groups, did not. None of the income generating projects said how much participants or the group earned from their efforts.

25. The evaluation team was only able to visit two of the outer islands. Given the lack of final reports it would have been helpful to have been able to do a more complete evaluation of projects.
2.0 Findings

This section is in five parts:

2.1 Clarification of outcomes and performance indicators
2.2 Relevance of the CIS
2.3 Effectiveness of the CIS
2.4 Efficiency of the CIS
2.5 Sustainability

2.1 Clarification of outcomes and performance indicators

Sources of information for this section: A review of documents, including the design document, Funding Arrangements and Letters of Variation; Guidelines and Criteria Handbook and Board minutes; interviews with all stakeholders in the evaluation. The main limitation for this section was the lack of clear outcome statements or outcome or performance measures in any documentation and stakeholders’ lack of familiarity with this concept.

Key findings

Stakeholders had not given any thought to specifying anticipated outcomes or associated performance measures for the Scheme as a whole.

Discussions confirmed most of the outcomes proposed by the evaluation team but raised issues about the appropriateness of expecting income generating activities to “improve the business enabling environment in the outer islands” and the relevance of the organisational strengthening outcomes for small community organisations.

Stakeholders suggested some performance measures that might be able to be used in the future. They recognised that measuring success in the longer term is problematic, especially with projects seeking to raise community awareness, where several organisations can be active in the same area.

In line with standard practice at the time, the Scheme was designed without specifying outcomes or indicators, and none have been added since. However, the evaluation team decided that it was possible to imply the intended outcomes from the objectives. The table below sets out possible outcomes and includes the performance measures suggested by participants.
<table>
<thead>
<tr>
<th>Objective</th>
<th>Outcomes proposed</th>
<th>Performance measures suggested by participants</th>
</tr>
</thead>
</table>
| **Objective 1**<br>To promote income generating activities for all target groups. | 1. Participants in income generating activities receive an income from those activities  
   a. during the life of the project  
   b. once the project has finished.  
2. Participants in income generating activities gain skills that they can use to earn an income.  
3. Equipment that has been purchased has been maintained and is still being used.  
4. Outer islands private sector/business enabling environment has improved as a result of income generating activities. | Participants /organisations earn some income from activities on a regular basis*  
The number of women and youth who have gained new skills, including skills that enable them to stay on an outer island  
**All equipment is still in use and is maintained** |
| **Objective 2**<br>To support the participation of priority area beneficiaries (i.e. women, youth, elderly people, and people with disabilities) in development. | 1. Beneficiaries from priority areas continue to be active in awareness-raising activities and programmes. These could be at the community, national or international level.  
2. The public/community is better informed as a result of awareness-raising activities and programmes.  
3. Marginalised groups have a voice. | The number of participants who stay active in the same or a related area after the project ends.  
The number of projects that get taken over by the Cook Islands Government |
| **Objective 3**<br>To support community development projects and programmes focusing on domestic violence, reproductive health services, disability services, services for the elderly and mental health services that are identified, planned, implemented and monitored by or with community members | 1. Community development projects and programmes that are identified, planned, implemented and monitored by or with community members are completed as planned.  
2. Where appropriate, programmes and services continue to operate once the project funding ends. (Some projects are one-off courses or activities). | The number of women and youth who have gained new skills, including skills that enable them to stay on an outer island  
The number of funded organisations that continue to function well after the funding ends |
| **Objective 4**<br>To strengthen NGOs focusing on the economic or social advancement of women and their families, and youth or organisations working in the priority areas. | 1. NGO/CSOs in CIS are strengthened and:  
   - have effective planning and strategic management systems in place and use them  
   - provide appropriate training to staff and volunteers  
   - are able to identify their ongoing development needs  
   - are able to deliver services and implement projects effectively. | Number of NGOs with effective management plans in place  
Number of NGOs with trained staff and volunteers (or with training programmes in place)  
The number of funded organisations that continue to function well after the funding ends |

* Note: suggested measures in bold proposed by evaluation team
28. Discussions with stakeholders confirmed that most of the proposed outcomes are appropriate for the Scheme. Questions were raised about the Objective 1 outcome: “Outer islands private sector/business enabling environment has improved as a result of income generating activities” and the relevance of the outcomes under Objective 4 for small organisations.

29. In theory, taking part in an income generating activity should increase participants’ interest in setting up a business, but the scale of the projects funded by the Scheme is usually so small that this does not happen. The level of activity does not reflect the reality of running a small business - for example, the need to produce goods to a high standard on a regular basis at a reasonable cost for a demanding market. A typical CIS project might focus on a community growing food for home consumption with any surplus being sold on the local market, or on women’s groups making and selling handicrafts. Most participants only earn enough from these activities to contribute to household costs like school fees and power bills; most organisations are able to pay their running costs through sales. In a few cases, CIS has supported existing community businesses, such as the maire projects on Mauke and Mangaia, and this has been effective.

30. Most stakeholders interpreted the second objective to mean that the programmes were FOR beneficiary groups; not that beneficiary groups should actively participate in developing and running them. This objective needs to be clarified.

31. The anticipated outcomes from organisational strengthening projects were based on the assumption that project applications in this category would address planning, management and training issues, but they have done this to a very limited extent. Most of those interviewed thought that this category was more appropriate for national bodies than for small community organisations.

32. The evaluation team’s second task was to clarify performance indicators for the Scheme. This proved to be challenging. Few stakeholders were willing to suggest measures, even for income generating projects, given their community nature and small scale. Where they did make suggestions, none was willing to indicate what proportion or number would be considered a success. That would need to be established through a programme logic/planning process.

33. The timescale for measuring outcomes is unclear and participants recognised that measuring success in the longer term is problematic, especially with projects seeking to raise community awareness, where several organisations can be active in the same area.

34. Stakeholders agreed that much better information would need to be collected over a number of years to give reliable data, and in some cases a proper evaluation would be needed to assess longer term outcomes of programmes and activities. They believed that this would be expensive and time consuming.
2.2 Relevance of the CIS

Sources of information for this section were: Cook Islands Government (CIG) NSDP, NZAID Pacific Strategy 2007-2015, Cook Islands Joint Country Strategy 2008-17, Paris Declaration, Board and PMT minutes, Coordinator reports and reports and information gathered during project visits. The main limitation was that coding of project applications was not consistent.

Key findings

The recipients of project funding unanimously endorsed the relevance of the Scheme. Outer islands recipients could see no other avenue for funding their community based projects.

Participants were of the view that mental health, reproductive health and domestic violence should be removed from the priority list as they are managed through other agencies, some of which are core-funded. Some believed that their inclusion reflected CIG or the New Zealand Aid Programme perception of need, rather than community priorities. They agreed that agencies should still be able to apply for funding to provide services in these areas.

Their removal would leave four target groups: young people aged 10-25 (revised age range), women, older people aged 65 and over, and people with disabilities.

Participants confirmed the four original objectives but agreed that income generation under the Scheme is not equivalent to business development. They interpreted the second objective as engagement by members of the target groups in some sort of training or education activity, rather than in community-based awareness-raising activities.

The CIS is closely aligned with the CIG national development strategies. The current National Sustainable Development Plan (NSDP) includes a proposal to “evaluate the performance of NZAID-funded Community Initiatives Scheme and consider localisation of funding by 2010.” This has happened in part but there has been no substantive discussion concerning the full localization of funding for CIS, largely due to budget constraints.

The CIS contributes to the NZAID Pacific Strategy 2007-2015 which focuses on: strengthening governance, achieving broader-based growth and improved livelihoods, education and health, and reducing vulnerability through increasing safety, protecting the environment and improving the ability to respond to disasters.

Three cross-cutting issues- human rights, HIV/AIDS and gender - are covered in the priority areas. Some projects have addressed peace-building and conflict resolution and environmental issues. The Board has taken steps to ensure strategies are in place to prevent misappropriation.

2.2.1 Meeting priorities, needs and capacities

35. Civil society organisations carry out a wide range of roles within the community. Some are part of umbrella organisations and some are stand-alone. Organisations applying for funding from CIS ranged from national bodies applying for funding for national or one-off projects to island-based groups and village-based organisations seeking project funding. Some outer islands groups with small one-off projects groups felt that CIS is the only source of funding available to meet their particular needs. Others with connections to a national or regional body have other funding opportunities and CIS complements these.

36. Without a regular needs assessment, one way to assess how a community sets its priorities is by the projects that it applies for. From October 2004 to June 2008 there were
148 project applications to CIS. According to the Coordinator reports, 52% were for youth, 17% for women’s projects and 17% for “community projects”. The disabilities group was the next highest with 6% (see chart below). There were only two applications for a domestic violence initiative and six that referred to mental health. (A number of applications referred to more than one category.) Unfortunately, deficiencies in the application form and inconsistencies in coding mean that these figures are indicative only.

37. The Board minutes from January 2009 to August 2010 show that project applications continue to focus on youth, women, community projects and disabilities (94%).

38. In discussing the priority areas, the majority of stakeholders, including funding recipients, Board members and members of Island Councils and government agencies, agreed that while the Scheme should continue to accept applications in the areas of mental health, domestic violence and sexual and reproductive health, they should not be specified as priority areas. A number thought that their inclusion indicated that the Scheme reflected the government or the donor’s perception of need, rather than community priorities. (Mental health was added to the original list of priorities by the Ministry of Health). Members of community based organisations, in particular, agreed that while there might be a need for services, both domestic violence and mental health are specialist areas and it could be hard for services to be provided “by the community for the community”. In their view, the CIG should take the main responsibility for providing mental health services with community groups acting in support.

39. Stakeholders from different groups noted that reproductive health is being addressed by several agencies including Cook Islands Family Welfare Association (CIFWA), Pacific Islands Aids Foundation (PIAF), Red Cross and the Ministry of Health. On Aitutaki, the local Island Administration also runs workshops for youth based around reproductive health. Domestic violence is being managed through agencies such as Punanga Tauturu, which is
core-funded through the New Zealand Aid Programme, and the police are also active in promoting awareness of domestic violence issues. The main community provider of mental health services is Are Pa Taunga, which was established by Richmond Fellowship, New Zealand. The service aims to cater to the needs of those with mental health disorders and their families. Are Pa Taunga, now called Te Kainga, also runs a free counselling service, provides support and professional services to the Ministries of Justice and Health and implements education and health promotion programmes. The service is not core funded but has received some funding from the CIG through the Ministry of Health as well as from CIS.

40. Stakeholders also agreed that the guideline for youth projects should be revised from ages 15-34 to ages 10-25. Many CSOs, especially in smaller communities, include children much younger than fifteen years of age in their activities. Other suggestions included funding sporting equipment as a tool for development, allowing renovations to existing community buildings and providing ongoing support for income generating projects.

41. Those interviewed supported the four objectives of the Scheme but noted that income generation is not the same as business development. Most initiatives could be better described as “pre-business” initiatives or as community fund-raising activities which strengthen and sustain communities, particularly in the outer islands. As noted above, the second objective - supporting the participation of priority area beneficiaries in development - has been interpreted as their engagement in some sort of training or education activity, rather than in community-based awareness-raising activities and/or programmes aimed at highlighting the needs of priority area beneficiaries. It would be useful to refocus this objective to highlight its original purpose.

2.2.2 CIS and good international development practice

42. The Paris Declaration on Aid Effectiveness (PDAE) is a commitment to certain principles by donors and partner countries. The principles centre on ownership, alignment, harmonisation, managing for results and mutual accountability.

43. As part of their commitment under ownership, partner countries should “exercise effective leadership over their development policies and strategies and co-ordinate development actions” (PDAE). To achieve this, a partner country commits to co-ordinating its aid efforts through dialogue with donors and by “encouraging the participation of civil society and the private sector”. The CIS scheme demonstrates this coordination.

44. At the higher level, civil society is a part of the process that develops the National Sustainable Development Plan (NSDP) for the Cook Islands. At the project implementation level, civil society is participating through the make-up of the CIS Board.

45. The CIS is closely aligned with the Cook Islands Government (CIG) national development strategies. The NSDP is currently under review and the 2011-2014 plan is expected to be released in January 2011. The priority areas of the CIS tie into achieving the first goal of the plan which is: “equal opportunities for education, health and other social services for strengthening and maintaining an inclusive, vibrant, resilient and productive society in harmony with our culture”.

46 The current NSDP (page 18) includes a proposal to “evaluate the performance of NZAID-funded Community Initiatives Scheme and consider localisation of funding by 2010.” The CIG has begun this process through the POBOC fund for the Disability Action Centres and the contestable fund for CSOs. There has been no substantive discussion, however, concerning the full localization of funding for CIS. The following paragraph from the draft NSDP 2007-10 Review Report, which should be finalised in November 2010, notes the impact of budgetary constraints:
"In the area of support provided to non-government organizations from government, the budget appropriation has increased over the NSDP timeframe. Whilst the NSDP envisaged localization of funding support (such as the New Zealand support through the Community Initiative Scheme) to NGOs and community service organizations, the impact of the global economic crisis and limited local budget has not allowed this to eventuate. It is hoped that support from development partners will continue to supplement local efforts in providing funding support to NGOs and community service organizations." (Cook Islands National Sustainable Development Plan 2007-10 Review Report, Office of the Prime Minister, September 2010.

47. A recent Australian publication on international good practice in donor engagement with civil society reiterates the points made in the Paris Declaration and notes the importance of strengthening civil society through technical assistance and capacity building. The CIS contributes to this activity.

2.2.3 New Zealand Aid Programme policies

48. The strategic objective and mandate of the New Zealand Aid Programme is: “Sustainable development in developing countries in order to reduce poverty and contribute to a more secure, equitable and prosperous world.” Within this there is a core focus on the sustainable economic development and a geographic focus on the Pacific.

49. The NZAID Pacific Strategy 2007-2015 focuses on: strengthening governance, achieving broader-based growth and improved livelihoods, education and health, and reducing vulnerability through increasing safety, protecting the environment and improving the ability to respond to disasters.

50. While support for civil society cuts across these four focus areas, it is most explicit in the focus on strengthening good governance. One of the anticipated outcomes in this area is the “stronger and broader participation by Pacific peoples, particularly civil society, in all levels of decision-making.” The CIS contributes to this.

51. The Cook Islands Joint Country Strategy 2008-2017 (JCS) is an agreement between the CIG, New Zealand and Australia. Its overall goal is that: “New Zealand and Australia development assistance fosters a less vulnerable and more resilient Cook Islands, particularly in the Outer Islands.” Three of the four objectives are relevant to the CIS:

- improving the delivery of quality education, health and social services, including support for the role of non-government organisations and community-based organisations in delivering services in the social sector
- supporting an enabling environment for sustainable growth, particularly in the outer islands
- strengthening public service, and civil society governance and service delivery.

52. The CIS is an important part of the delivery system for supporting strengthening civil society governance and service delivery. From the users’ perspective, CSOs, particularly in the outer islands, see the Scheme as highly relevant and an essential funding mechanism.

Mainstreamed and cross-cutting issues

53. The cross-cutting issues most relevant to this evaluation are human rights, HIV/AIDS and gender issues as these are encompassed within the priority areas.

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6 Hall and Howell (2010)
Human rights – CIS funded a number of disability projects which brought services to people with disabilities who had previously had no recognition and no access to support. Community awareness of disability has increased. The Scheme has also supported projects for older people who are now more active in the community.

Gender equality – A high proportion of projects funded through CIS target women. Many projects aim to improve women’s income or to give women skills with which they can earn an income in the future; others promote women’s health. Young women have become active in water sports such as oe vaka, sailing and ocean voyaging and considerable funding has gone to young women involved in the Girl Guides and the Girls’ Brigade.

Environment – while the environment is not a priority area for the Scheme, one project did receive funding to promote youth involvement in environmental activities. Other projects have also had an environmental impact e.g. growing vegetables for home consumption and sale, community fishing projects, growing maire and environmental learning associated with canoeing and sailing activities.

Conflict prevention and peace building – CIS has recently funded a project aimed at reducing domestic violence among young men and earlier funded a literacy programme for young men in prison with the aim of increasing their skills and confidence. The Duke of Edinburgh Awards gained by Girl Guides also have a conflict resolution component.

HIV and AIDS – CIS has directly funded a project aimed at increasing people’s understanding of what living with AIDS involves.

Anti-corruption - The evaluation team noted that the Board has introduced checks and processes to ensure that funds are not misused.

2.3 Effectiveness of the CIS

Sources of information for this section were: The original design document, Funding Arrangements and Letters of Variation; Guidelines and Criteria Handbook, Board and PMT minutes, Coordinator reports, project monitoring and final reports; reports of similar schemes in Cook Islands and Samoa; Review of the New Zealand Aid Programme’s support to Civil Society in the Cook Islands 2004-2007; interviews with stakeholders; visits to projects. The major limitation for this section was the inadequacy of the database, the limited number of final reports and their mixed quality.

Key findings

<table>
<thead>
<tr>
<th>The Scheme has achieved its overall purpose in making funds available to a wide range of community organisations.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 1: Expectations in relation to income generation need to be clarified. None of the projects that had income-generation as a component aimed to become commercial businesses. While most earned some income for individuals and raised enough money to continue to operate, their main strength was in developing and passing on skills and promoting community development.</td>
</tr>
<tr>
<td>Objective 2: Only two of the five awareness-raising programmes involved members of the target group in delivery. All but one project has been completed and no information was available on whether peer educators trained through the programme were still active. Four of the campaigns have finished.</td>
</tr>
<tr>
<td>Objective 3: Fourteen of the 20 community projects visited had been completed, one with a revised programme; four were under way; one did not proceed because of lack of key</td>
</tr>
</tbody>
</table>
personnel and one was unsuccessful. All but one programme was still operating, and that one had the potential to run further courses for youth in the future.

Objective 4: Organisational strengthening has mainly been through salaries for the disability sector. Very few approved projects have sought to improve management systems and planning within organisations.

Very few of the governance, management and administrative issues identified earlier have been addressed. It is unclear why this is the case. It may be due to staff changes in the New Zealand Aid Programme and the Scheme, or because stakeholders were awaiting the outcome of this evaluation.

Reporting, monitoring and evaluation have not been satisfactory. Administrative systems are poor. Reporting deadlines for projects have rarely been met. While most well established organisations like the disability services, the uniformed youth groups and national bodies have reported on time; smaller community organisations have struggled to do so. The quality of the reports sighted ranged from very professional (the larger bodies) to a single page, acknowledging the funding and noting that the project had been completed.

Monitoring of projects has been hit and miss. Evaluation is currently the role of the Board but has not been done to date. A more reliable alternative would be to contract a local person to evaluate a sample of projects every two years, with an evaluation of the overall Scheme once every three years.

Publicity for the Scheme is very low key. Stakeholders agreed that grant approvals should be publicised, and the media encouraged to cover CIS-funded events and activities. A website could also be developed, with success stories, downloadable forms and information on funding rounds and criteria.

2.3.1 Achievement of overall purpose

54. The Scheme aims to “provide support to civil society organisations in a more focused way than previous ad hoc funding and to make funds available to a wider range of organisations”. Community organisations commented favourably on their new and/or increased ability to access funds since the establishment of the Scheme. Those in the outer islands, in particular, thought that no such opportunities were available before the introduction of the Scheme. Applicant organisations appreciated having priorities, which encouraged them to focus their activities and helped shape their applications; stakeholders involved in implementation, on the other hand, felt that project applications were sometimes unduly tailored to fit the Scheme.

2.3.2 Achievement of intended objectives and outcomes of Community Initiatives Scheme

55. As noted elsewhere, the coding of project activities was unreliable. The evaluation team revised the classifications using the four objective categories to identify what appeared to be the primary purpose of each project. While there may still be some under or overstatement within categories, we believe that the figures in this section are more reliable than those on the database. (See table in Annex 5 for revised classifications).

Objective 1: Income generation

56. Anticipated outcomes:
   a. Participants in income generating activities receive an income from those activities
      i. during the life of the project
      ii. once the project has finished.
b. Participants in income generating activities gain skills that they can use to earn an income.

c. Equipment that has been purchased has been maintained and is still being used.

d. Outer islands private sector/business enabling environment has improved as a result of income generating activities.

57. As the table below shows, almost all the approved income generating activities targeted women, mainly through vainetini groups. Most were located on the outer islands. (A group in Manihiki, the Tauhunu Jewellery Making Interest Group also received funding for two projects but it was unclear whether these were intended to produce income so they have been included under programmes and services below).
### Income generating projects funded through CIS

<table>
<thead>
<tr>
<th></th>
<th>Rarotonga</th>
<th>Raro-based</th>
<th>Outer islands</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Projects with income generation as a primary component</td>
<td>5</td>
<td>2</td>
<td>15</td>
<td>21</td>
</tr>
<tr>
<td>Target group: women</td>
<td>3</td>
<td>2</td>
<td>12</td>
<td>17</td>
</tr>
<tr>
<td>Target group: youth/community</td>
<td>2</td>
<td></td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>

58. With one exception, all the projects in this group were for gardening, sewing, cooking and craft-related activities. Most were small scale – 14 of the 21 projects received less than $10,000 from CIS, usually for sewing machines, fabric, dyes, cooking equipment and gardening tools. Of the seven approved projects the team visited, five were ongoing and active, although the work of one group on Aitutaki was hampered by damage to their hall from the February 2010 cyclone. One group had never received their funding (from an approval in 2007) and one project was unsuccessful.

59. Anecdotal reports confirmed that most other projects in the southern outer islands and Rarotonga were also ongoing and productive. The Creative Centre in Rarotonga and the projects related to the maire industry in Mauke, Mangaia and Rarotonga are examples. We were unable to confirm outcomes for projects in the northern islands as none had reported.

60. Most projects aimed to develop skills that participants could use to sustain their families and communities, while supplementing their family income through modest sales. In this, the projects we visited were very successful. Equipment bought with CIS funding was well maintained on all projects visited.

61. Some groups focused on developing skills so that individuals could earn enough to pay school fees, power bills and other household expenses; others had a community focus. An example is the women’s group in Rarotonga which regularly hosts groups in their meeting house. In the past, the women had to use their own bedding and kitchen equipment. With money from the Scheme the group was able to buy mattresses and sew linen specifically for the meeting house. Hosting groups is easier and with the funds raised, the group has been able to fully equip the meeting house and improve community facilities, as well as developing participants’ skills. Other groups have also been able to earn enough money to pay their running costs and maintain equipment.

62. On Atiu, the CIS funded lawnmowers for a group of youth who gained a contract to mow the school grounds. This and other small jobs pay just enough to enable them to mow the lawns of older people and people with disabilities in the community for nothing. (Given income levels on Atiu, lawn mowing is unlikely ever to be a sustainable business). The local mechanic has donated his time to maintain the equipment and train the young people at the same time.

63. With the exception of the maire projects in Mangaia and Mauke, none of the income generating initiatives intended to become a “commercial” business i.e. to seek to offer a consistent supply of high quality goods for a regular market. While some women have bought sewing machines after learning to sew, and are beginning to make clothes for their families, they will need much more support and business training before they could contemplate setting up a business.

64. The evaluation concluded that while, “income generating” projects achieved the first three of the anticipated outcomes they made no impact on the private sector environment. The expectation that they could do so is unrealistic given the scale of funding, the type of
activities being funded and the existing business environment. So too is the suggestion that such projects should be funded through a loan. While that might be possible for an established business like the maire projects, it is impractical for the gardening, sewing, craft and cooking projects where community development is at least as important as income generation.

**Objective 2: Community awareness/education projects**

65. Anticipated outcomes:
   a. Beneficiaries from priority areas continue to be active in awareness-raising activities and programmes. These could be at the community, national or international level.
   b. The public/community is better informed as a result of awareness-raising activities and programmes.
   c. Marginalised groups have a voice.

66. The evaluation identified five projects, all based in Rarotonga but delivered nationally, where community awareness raising or education was the primary focus of the funding. The projects targeted tobacco control, road safety, breast cancer awareness, understanding HIV/AIDS, and alcohol abuse. Community awareness-raising was an unplanned but significant outcome of the disability projects funded through the scheme.

67. Coordinator reports were available on four of the five projects. The Tobacco Control Working Group project targeted youth. It involved media campaigns, advertisements on local TV and radio, talk back shows, and community and school based workshops. The CIS funding contributed to this and to Youth Peer Educators training, attended by 15 participants from Rarotonga, Aitutaki and Mangaia. The young people from Rarotonga later implemented a Smoke Free Challenge production that involved the input of seven schools with several hundred students but it is unclear whether they are still active in this area as the campaign has finished.

The road safety campaign also targeted young people but does not appear to have actually involved young people in its delivery.

The interim report on the HIV/AIDS awareness programme which was developed by PIAF and is currently being delivered in the outer islands through the Red Cross, shows good short-term results. Because there are no people recorded as having HIV/AIDS in the Cook Islands, no “beneficiaries” are involved in delivery and there was no opportunity to give a marginalised group a voice.

The alcohol abuse programme was delivered by Te Kainga, a Rarotonga based mental health service, which used a peer support-training programme to bring attention to the problems caused by alcohol on individuals and families. Numerous workshops were held but the evaluation team has no information on whether those who took part are still active in delivering the programme. The evaluation team had no information on the breast cancer awareness raising campaign.

68. While it is difficult to assess the effectiveness of these projects or attribute changes solely to CIS funding, stakeholders reported that people are more aware of issues relating to smoking, alcohol abuse, breast cancer and HIV/AIDS.

69. The community awareness raising achieved by the disability projects funded through the scheme has given a previously marginalised group both visibility and a voice.
Objective 3: Programmes and services

70. Anticipated outcomes
   a. Community development projects and programmes that are identified, planned, implemented and monitored by or with community members are completed as planned.
   b. Where appropriate, programmes and services continue to operate once the project funding ends. (Some projects are one-off courses or activities).

71. The evaluation team identified 49 community development services and programmes. Most targeted youth, including 10 projects for Girl Guides, Boy Scouts and Girls and Boys Brigades, and nine projects for sailing, outrigger canoeing, and ocean voyaging. Health-related initiatives such as community gyms targeted youth and the wider community; the Scheme also funded fitness programmes for older people, and gardening and fishing activities. Other projects supported local outer islands television programmes and community-based craft activities.

<table>
<thead>
<tr>
<th>Programme and service projects funded through CIS</th>
<th>Rarotonga</th>
<th>Raro-based</th>
<th>Outer islands</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Programmes and services</td>
<td>21</td>
<td>3</td>
<td>25</td>
<td>49</td>
</tr>
<tr>
<td>Target group: women*</td>
<td>2</td>
<td>3</td>
<td>5</td>
<td>10</td>
</tr>
<tr>
<td>Target group: youth</td>
<td>15</td>
<td>3</td>
<td>22</td>
<td>40</td>
</tr>
<tr>
<td>Target group: elderly</td>
<td>3</td>
<td>7</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>Target group: disability</td>
<td>2</td>
<td>3</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Target group: community as a whole</td>
<td>2</td>
<td>5</td>
<td>7</td>
<td></td>
</tr>
</tbody>
</table>

*Note: Target group numbers add to more than 49 as several projects nominated more than one target group

72. The evaluation team visited or had contact with 20 organisations that had projects in this category. Fourteen had been completed, one with a revised programme; four were under way; one did not proceed because of lack of key personnel and one was unsuccessful. The sports and health-related projects were particularly successful, drawing in a wider range of participants than was originally envisaged; involving more parents in youth activities and providing community facilities that are well used by women, older people and people with disabilities as well as youth. The community gyms in Aitutaki and on Rarotonga are examples, as are the oe vaka and sailing initiatives on Aitutaki. As with the income generating projects, equipment was well maintained and well used. Some projects had suffered setbacks because of the absence of key personnel; others experienced delays because of the time it took to receive funding or obtain essential equipment.

73. Most of the “one-off” grants for the Girls Guides and Girls’ and Boys’ Brigade were to enable young people to complete Duke of Edinburgh awards. These grants are unsustainable and do not contribute a great deal to community development.

Objective 4: Community capacity-building

74. Anticipated outcomes
   a. NGO/CSOs in CIS are strengthened and:
      - have effective planning and strategic management systems in place and use them
      - provide appropriate training to staff and volunteers
      - are able to identify their ongoing development needs
      - are able to deliver services and implement projects effectively.

75. Two-thirds of the organisational strengthening projects were in the disability sector. Six projects covered the salaries of Coordinators in outer islands for two years as a
contribution to an initiative started by the Disability Action Team. These salaries are now paid by the CIG. Three projects covered salaries for rehabilitation physiotherapists and related services. These have not yet been taken over by the government.

<table>
<thead>
<tr>
<th>Organisational strengthening projects funded through CIS</th>
<th>Rarotonga</th>
<th>Outer islands</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organisational strengthening projects</td>
<td>10</td>
<td>6</td>
<td>16</td>
</tr>
<tr>
<td>Target group: disability</td>
<td>4</td>
<td>6</td>
<td>10</td>
</tr>
<tr>
<td>Target group: other</td>
<td>6</td>
<td>-</td>
<td>6</td>
</tr>
</tbody>
</table>

76. Only six other applications were received in this category. They were for youth Coordinators for the National Youth Council and the Taporoporo’anga Ipukarea Society (TIS) (an environmental group), training for peer educators (CIFWA), funding for the National Council of Women’s Conference, support for CIANGO and funding for Are Pa Taunga to undertake a survey of people’s attitudes to mental health. All the organisations were based in Rarotonga.

77. Of the six non disability-related projects, the CIFWA project has not yet been implemented. The organisation was unaware that the money had been approved. The two Youth Coordinators were appointed. The one from TIS was successful in involving young people in environmental activities but not in persuading them to become members of TIS. The organisation no longer has someone in that role. CIANGO is still working to strengthen the organisation, the National Council of Women’s Conference has been held and the Are Pa Taunga survey was completed.

78. None of the projects in this category focused on improving organisations’ management and planning systems or on enabling them to identify and manage their ongoing development needs. Some projects did provide training to professional and volunteer staff which led to improved service delivery, for example, in the disability sector and with youth engaged in environmental activities.

79. Community-based organisations interviewed did not feel that this category applied to them – they did not want to set up organisations at this level, and it is unclear why NGOs did not apply for more support from CIS for this purpose. There is clearly scope to explore how ways to attract applications from groups that want to improve their organisational systems.

2.3.3 Addressing CIS governance, management and administrative issues

80. The 2008 civil society review identified a number of issues relating to the governance, management and administration of the CIS. These are summarised below along with steps taken to remedy the situation:

<table>
<thead>
<tr>
<th>Issues</th>
<th>Action taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clarification of the governance role of the Board</td>
<td>New guidelines have been developed and implemented by the Board.</td>
</tr>
<tr>
<td>Clarification of the role of the PMT</td>
<td>There has been no change in the role of the PMT</td>
</tr>
<tr>
<td>Clarification of the management role and accountability of the Coordinator.</td>
<td>The Coordinator is accountable to the PMT and is managed on a daily basis by AMD. The Coordinator has no accountability to the Board, which causes considerable frustration.</td>
</tr>
<tr>
<td>Chair of the Board to sit on PMT</td>
<td>This has not happened; the Coordinator attends these meetings instead</td>
</tr>
<tr>
<td>Review the composition and size of the</td>
<td>The composition of the Board has not</td>
</tr>
</tbody>
</table>
Board to have fewer government and more CSO representatives | changed
---|---
Develop a clear process for considering policy changes | Policies are being developed through precedents, although Board members are still uncertain about how policy changes are formalised. (The Guidelines suggest that this occurs through amendments to the Handbook)
Involve civil society more in decision-making, possibly through six-monthly meetings of NGOs and community-based organisations to discuss CIS | This has not happened.

81. It was clear that relatively little progress has been made on most of the governance, management and administrative issues raised in the 2008 Civil Society Review. The evaluation team does not have an explanation for this, but there have been several changes in the New Zealand Aid Programme staff managing the Scheme, and the first Coordinator resigned a year ago. A member of the PMT noted that this evaluation was to have been completed some time ago, which may have had some effect. It is also unclear who should have initiated the changes.

2.3.4 What has worked well and less well

82. The Scheme has worked well when:
   - organisations had the capacity to complete the application or were supported to do so – the evaluation team noted that the proportion of applications declined has fallen as applicants became more familiar with the process
   - funding decisions were made and communicated quickly and funding was received on time
   - projects had strong and committed leadership, a clear sense of purpose and systems for managing and maintaining equipment – the women’s sewing and cooking groups, the community gyms and the oe vaka and sailing initiatives were good examples
   - the Scheme funded assets that could be used for ongoing activities – the oe vaka and sailing boats, the sewing and cooking equipment, and the chillers for the maire project were well used
   - the project fitted within a CIG policy framework - the salaries for the disability Coordinators came into this category
   - projects focused on the target groups rather than on the three priority areas of domestic violence, mental health or sexual and reproductive health
   - groups received the support they needed to complete reports on time.
   - groups planned ahead beyond the funding period.

83. The Scheme has worked less well when:
   - groups did not have enough support to complete the application process properly - this led to requests for more information and long delays
   - applicants (and those assisting them) did not understand the objectives of the Scheme. For example, very few applications classified as “organisational strengthening” actually sought to improve planning or management systems and the “community awareness” classification was used to cover a wide assortment of projects.
   - the flow of information from CIS was poor – applicants did not get told why applications were deferred or declined
• there were delays in receiving funding (over two years in one case) - this led to problems with the cost of materials, equipment and freight, as well as loss of motivation.
• key people left an organisation or took time out from a project – the Cook Islands Voyaging Society was in that situation and needed to resubmit its project
• projects were approved that primarily benefited individuals but did not contribute to the development of organisational capacity – the travel grants for young people to complete Duke of Edinburgh Awards are an example.

2.3.5 Reporting
84. The filing system at CIS was in disarray. It took a concerted effort to locate the papers relevant to projects the team wanted to visit. Well established organisations like the disability services, the uniformed youth groups and national bodies were more likely to have reported on time; smaller community organisations have struggled to do so.

85. The team sighted only 29 final reports, 18 of them from one of the established groups, and seven interim reports. Fifty-nine projects were funded to June 2008 and all should have submitted reports by now. It is possible that others have been submitted but the team was unable to find the documents. The quality of the reports ranged from very professional (the larger bodies) to a single page, acknowledging the funding and noting that the project had been completed.

2.3.6 Monitoring and evaluation
86. Monitoring of projects has been hit and miss. The Coordinator needs to make sure reports come in on time. The database identifies when reports are due but there seems to be no “warning” system to alert the Coordinator to send out a reminder notice a month before a report is due. The database, including the funding information, is not up to date, which makes it impossible to get accurate information quickly.

87. Recipients find the reporting requirements daunting. Smaller organisations need more guidance in completing the current forms, which are poorly designed for community groups. They need to be encouraged to report in a much simpler way, for example, by using photographs. Staff in Island Councils suggested that someone on each island, possibly but not necessarily from the Council, could monitor projects, using a checklist provided by the Coordinator. Much greater use could also be made of Skype, email and phone contact.

88. Evaluation is currently the role of the Board but has not been done to date, as Board members have no time or budget to do it, either on Rarotonga or on the outer islands. A more reliable alternative would be to contract a local person to evaluate a sample of projects every two years, with an evaluation of the overall Scheme once every three years. Board members would like a summary of cases presented at each Board meeting accompanied by photographs and information on participants. Successes could be promoted in the community.

89. Publicity for the Scheme is very low key. Some recipients thought that grant approvals should be publicised, and the media should be encouraged to cover CIS-funded events and activities. A website could also be developed, with success stories, downloadable forms and information on funding rounds and criteria.

2.4 Efficiency of CIS
Sources of information for this section were: The original design document, Funding Arrangements and Letters of Variation; Guidelines and Criteria Handbook, Board and PMT minutes, Coordinator reports including financial reports, project monitoring and final reports, including financial reports;
Key findings

All stakeholder groups agreed that the management and implementation of the Scheme needs to be more efficient, and in particular, administration needs to be improved and decisions made and implemented more quickly. The evaluation team came to the same conclusion. The proportion of funds paid for administration (around 21%) is comparatively high and reflects both the poor management and implementation and the nature of the Scheme. With improved systems, administration costs should decrease as a proportion of the overall funds and cost effectiveness will increase.

CIANGO is the preferred option for housing the scheme, but participants recognise that this is not practical at present. Other options include the National Council of Women, the Chamber of Commerce, AMD or Internal Affairs, the New Zealand Aid Programme or a private contractor through a management services contract.

The implementation of the Scheme needs to be improved, with better day to day management by, and better support for, the Coordinator, and a more active and focused Board.

MFEM manages project payments efficiently once invoices are presented or requests for tranche payments made. The Scheme and its funding are covered within MFEM’s annual audit, rather than being audited separately.

To date $1.5m has been allocated to the Scheme by the New Zealand Aid Programme and as at June 2010 $1.2m had been spent on projects. Without agreed measurable performance indicators, it is difficult to assess in any consistent fashion whether what has been achieved is enough. However, the evaluation team and participants from all stakeholder groups believe that the results have shown good value for money but agree that more could be achieved with better targeting and a clearer understanding of where the Scheme fits in relation to other funding opportunities.

It is also unclear whether another funding model like GEF would be more cost effective than the current arrangement given that the aim of CIS is to make funds available to a wide range of community groups. The CIS Coordinator actively seeks out applications and is much more involved with developing proposals; most grants are small and therefore more costly to administer.

2.4.1 Management and implementation

90. All stakeholder groups agreed that the management and implementation of the Scheme needs to be more efficient, and in particular, administration needs to be improved and decisions made and implemented more quickly. The evaluation team came to the same conclusion. The proportion of funds paid for administration (around 21%) is comparatively high and reflects both the poor management and implementation and the nature of the Scheme. With improved systems, administration costs should decrease as a proportion of the overall funds and cost effectiveness will increase.

91. The current arrangement of a PMT, Board and Coordinator was established at the outset, with the Board being described as an Advisory Board responsible for assessing applications and the PMT responsible for the overall management of the Coordinator, among other tasks. The first Grant Funding Arrangement (GFA) (July 2004) also set out
responsibilities for the Coordinator which included timeframes for administrative tasks. Because of the lines of report, the Board can ask the Coordinator to do something, but cannot insist that it happens. This has become a weak link in the system, and a source of frustration for all concerned.

2.4.2 Project Management Team

92. The stakeholders involved in the implementation of the Scheme all agreed that the PMT is no longer needed. They felt that the Board, either in full or through a sub-committee of the New Zealand Aid Programme and the CIG representatives and the Chairperson, could manage the Scheme more efficiently by providing one line of report. The evaluation team were of the same view.

2.4.3 The Board

93. The name and roles of the Board have changed since its inception. The CIS Board (no longer an Advisory Board) now has three main roles:

- To make recommendations on disbursement of funds and monitoring of the Scheme
- To monitor the capacity building needs of the NGO/CBO sector with the use of the Scheme. Monitoring will be at the project level and in regard to the overall operation of the Scheme.
- To consider and approve any changes in policy and procedures that would better the structure or implementation of the Community Initiatives Scheme (GFA 2009).

The inclusion of the third role reflects one of the recommendations of the civil society review (2008).

94. Discussions with Board members indicated that some were not familiar with all aspects of the Guidelines, particularly the second role. There was no obvious reason for this.

95. Board members and others involved in implementation and management agreed with the proposal in the 2008 review that the size of the Board should be reduced and the community contribution strengthened. Suggestions included having one representative from MFAT, AMD, and Internal Affairs plus three community/CSO representatives, preferably including one youth and one women’s representative, and someone with an outer island base; and either a representative of the private sector or a fourth community representative.

96. One stakeholder stressed the need for the Board to have a strong chairperson who can provide leadership and direction and who is fully familiar with the Scheme’s history and with the Guidelines and Criteria Handbook.

97. Several stakeholders involved in implementation and a number of project applicants thought that the Scheme would be more efficient if the Board met at least four times a year for half a day. (The original design document proposed four meetings). They hoped that this would speed up decision-making and believed that it would be cost effective in the longer term. Stakeholders involved in implementation thought that non-salaried Board members should be paid a small sitting fee. They could then be expected to attend regularly and come well prepared.

98. A number of people, including former applicants, suggested that the Board positions should be promoted more actively in the community sector.

2.4.4 The Coordinator

99. The evaluation team concluded that the Coordinators have not managed the Scheme efficiently to date. While the Scheme has stayed within budget, the timelines in the GFA have not been met, no publicity programme has been implemented and no brochure is
available, unsuccessful applicants have not been routinely informed on why their application was declined, reminder letters have not been sent to groups for their accountability reports and the reports required of the Coordinator were not always completed on time. The filing system is inadequate and the database has not been kept up to date. The first Coordinator appears to have allocated a disproportionate amount of her time to working with applicants and not given sufficient priority to administrative tasks. The current Coordinator has spent time becoming familiar with or creating systems where none existed and is also behind in tasks.

100. Several stakeholders involved in implementation commented on the need to clarify who is responsible for managing the Coordinator. They agreed that in future the Coordinator should be responsible to the Board. The Board and the agency where the Coordinator is housed would need to develop a memorandum of understanding regarding day to day management.

101. Community groups appreciated the fact that the current Coordinator is a fluent Maori speaker and is willing to accept applications in Maori.

102. It is part of the Coordinator’s job to promote the Scheme through a “proactive programme of publicity” and by “developing, distributing and regularly updating a brochure for the Scheme”. This has not happened.

103. The evaluation team noted that the performance measures in the current Coordinator’s contract relate to the number of applications received.

2.4.5 Implementation

104. Applicants criticised several aspects of the implementation of the Scheme, particularly the time it took to get decisions and funds, and the generally poor quality of communication. The delays appear to be due to poor prioritisation by the Coordinator and the lack of ability to make sure timeframes were met.

105. Applicants and those involved in implementation agreed that the application process needs streamlining and simplifying, with more user-friendly language for groups that are not used to completing funding applications, or who are seeking relatively small amounts e.g., less than $10,000.

106. Potential applicants wanted to be able to access help when they needed it, rather than relying on a visit from the Coordinator. Participants in the outer islands noted that there is usually someone who is good at writing proposals and could help with applications. This person could also monitor projects and help with reporting. Participants favoured formalising this arrangement in some way.

107. Participants also suggested setting up a website with downloadable forms and making more use of Skype, email and telephone contact to clarify any issues. They agreed that it is not part of the Coordinator’s role to get quotes for applications. Most applicants have someone who can help with this, and completing this task is a demonstration of commitment.

108. In some years the Board has only met twice a year, which has led to long delays in getting approval and even longer to get funds. The delays often mean that prices have risen and the amount approved is no longer enough. Some recipients suggested that a small contingency should be allowed for each project approved to accommodate cost increases due to delays in funding or implementation. Delays can also mean that key people have left or that the group as a whole has become so disheartened that they have abandoned the
project. The evaluation team heard of several instances where it took two years to get approval, and in one case, the organisation has still not received funds approved in 2006. This is a far cry from the timetable set out in the Scheme Guidelines.

109. At present, few organisations receive information on why applications are declined or deferred even though this is also required under the Guidelines. It is not clear why this has happened.

110. Project monitoring and reporting have been poor and need to be managed better. Visits to the outer islands for monitoring purposes can be “sabotaged” by requests for help with applications. Establishing a support network on each island would free up the Coordinator to monitor projects and ensure reports are delivered on time.

111. The database needs to include separate fields for the project’s main target group and primary purpose (i.e. which objective it is addressing). At present it is impossible to get reliable information on who projects target, what they seek to achieve, how long different stages of the process have taken and whether interim or final reports have been received.

112. The evaluation team identified three projects where funds or equipment were misappropriated. The Board had taken active steps to remedy the situation and ensure that this does not happen again.

2.4.6 Options for housing the Scheme

113. Participants suggested a range of options for housing the CIS in the future. The clear preference was to house it within a CSO, but participants felt that there was no obvious candidate at present, given that CIANGO, their first choice, is in a rebuilding phase.

114. Other suggestions included the National Council of Women (NCW), which has recently taken on responsibility for hosting the GEF and does have representatives on most outer islands. For managing GEF, NCW receives the administration funds six-monthly, for which it is required to house the programme and provide reporting services (reporting on the National Focal Person - the equivalent of the CIS Coordinator, programme performance and finance) and administration functions (financial controller, payment of services and supplies of the programme).

115. The Chamber of Commerce was also proposed as a possible host. It too is establishing networks on the outer islands. However, most participants thought the Chamber is too closely aligned with business. One person put this view succinctly: “The Chamber is run by business for business. CIS should be run by the community for the community.” The Red Cross is another possibility but as an international organisation stakeholders thought that this would take the scheme too far away from the local community.

116. It may be necessary to provide additional technical support through an institutional strengthening programme to a preferred CSO to enable them to manage the CIS effectively.

117. Another proposal was to continue to house the Scheme in AMD until a suitable CSO can be identified or developed. Stakeholders could see a number of benefits with this arrangement: the Scheme would continue to be clearly located within the Aid Division; it would not have to pay rent, the money is well managed and some logistical support is available. The evaluation team believes that if this option is chosen as a longer term arrangement, line management of the Coordinator will need to be considerably stronger than it is at present. This may mean that the Chairperson of the Board (assuming there is no PMT) would need to liaise more actively with AMD.
118. A fourth suggestion was to move the Scheme to Internal Affairs NGO section where it
could be administered alongside POBOC. The greatest risk with this choice was that the
Scheme would lose its community identity. POBOC focuses on national organisations and
promotes a model where community organisations apply for funding through their national
organisation. This would not suit CIS, where applications come from a wide range of small
organisations, many of which do not belong or want to belong to a national body. Several
stakeholders questioned the capacity of Internal Affairs to manage the Scheme.

119. Housing the Scheme in the New Zealand Aid Programme could increase its
efficiency through the provision of good clerical support but stakeholders felt that this
arrangement would make the Scheme appear to be donor driven and managed, when the
aim is to localize it.

120. Contracting the management out to a private company through a Management
Services Contract would be efficient but relatively expensive, and would also carry the risk
that the Scheme would lose its local community focus.

2.4.7 Management in relation to funding arrangement

121. MFEM manages project payments efficiently once invoices are presented or requests
for tranche payments made. The Scheme and its funding are covered within MFEM’s
annual audit, rather than being audited separately.

2.4.8 Overheads relating to the Board and Coordinator costs

122. As noted above, administration costs for CIS are relatively high (averaging around
21% over five years) compared with GEF which has administration costs of around 10%.
The latter fund gives much larger grants (up to $50,000), has only two funding rounds, with
the Board meeting for only an hour to review a very limited number of applications, all of
which have previously been independently reviewed.

123. Given its focus, stakeholders from all groups noted that CIS needs a lot of face to
face contact to be successful, which is inevitably expensive. They noted that travel costs for
visits to the outer islands, especially the northern group, add to the expense and suggested
they could be reduced by greater use of Skype and email and the establishment of outer
island support networks to help CSOs to access the funding and meet the reporting
requirements during and after the project. The network could also monitor progress and
raise any issues before they escalate.

124. Island Councils were particularly supportive of the concept of having liaison people
on each island and were willing to make their Skype and email available for consultations.
They and others acknowledged that on most islands, several people could fulfil the role quite
satisfactorily, and one option would be to have a register of agents. The liaison person would
need to be paid a small fee but most agreed that the savings in Coordinator travel and
improved efficiency in processing applications and managing projects would offset this.

125. Paying non-salaried members of the Board a small fee of up to $100 for reading
material and attending a Board meeting would add to administrative costs but be partly offset
by having shorter meetings and less catering.

126. At present there is no budget for the Board to monitor or evaluate projects and
evaluation does not happen. The money does need to be set aside - approximately 5% of
the Scheme’s cost would be appropriate – but the work could be done by an independent
contractor at the project level. This would add a small amount to the cost.
127. Once administrative systems have been improved, including revising and updating the database, simplifying application and reporting forms and establishing outer island networks, the Coordinator’s job could be reduced to three days a week. This would help to manage costs and increase efficiency.

2.4.9 New Zealand Aid Programme

128. Stakeholders involved in implementation were critical of the delay in carrying out this evaluation. When the New Zealand Aid Programme does not keep to the stated timetable, this is unsettling for all parties.

2.4.10 Lessons learned from similar activities

129. The Outer Islands Development Grant Fund (OIDGF) is a partnership arrangement between the CIG and the New Zealand Government. Until recently both partners have contributed equally to a fund which is used for grant funding for outer islands based businesses. The Business Trade Investment Board (BTIB) administers the scheme. One of the issues faced by BTIB was the capacity of the target groups. BTIB is considering having a register of agents to help applicants complete their applications.

130. The Australian Government has funded a Small Grants Scheme in Samoa since 1986. A review conducted in 2007 identified that the scheme’s management resources were not adequate to provide support for “capacity building and related activities (including proposal preparation support)” and that grant recipients were not actively involved in reporting on their projects. One recommendation of the review team was that more human resources were required to address both problems.

2.4.10 Value for money

131. To date $1.5m has been allocated to the Scheme by the New Zealand Aid Programme and as at June 2010 $1.3m had been spent, including $1.2m approximately on projects. Of this, 55% went to community programmes and services, 23% to organisational strengthening (mostly for salaries in the disability area), 13% to income generating projects and 8% to community awareness raising initiatives.

132. The evaluation team found that of the projects visited, all but one income-generating project did generate some money, participants did gain new skills and equipment was still in use. Most community projects continue to operate and a number have expanded beyond their original target group and have provided unexpected economic benefits; the CIG has taken over some of the expenditure for disability services. But without agreed measurable performance indicators, it is difficult to assess on a consistent basis whether what has been achieved is enough. The evaluation team and participants from all stakeholder groups believe that the results have shown good value for money but agree that more could be achieved with better targeting and a clearer understanding of where the Scheme fits in relation to other funding opportunities.

133. It is also unclear whether another funding model like GEF would be more cost effective than the current arrangement. The aim of CIS is to make funds available to a wide range of community groups for capacity building, service delivery and building prospects for sustainable economic development (Design document 2002). Unlike GEF, the CIS Coordinator actively seeks out applications and is much more involved with developing proposals; most grants are small and therefore more costly to administer. The level of requests for help from the Coordinator during visits to the outer islands is an indicator of the demand for such a fund. Changing to a GEF model with fewer projects being funded at a

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higher level would leave community groups who do not want or need such sums, without a funding source.

2.4.11 Use of resources

134. At the moment, some resources are not used as effectively as they could be. Where applications are not well presented, Board meetings last too long, decisions are often deferred and more work is needed to bring applications up to standard.

135. The Coordinator currently spends a lot of time dealing with applications, including seeking quotes for equipment, which should not be part of his/her work. If applicants and projects can be supported through other liaison officers, the Coordinator will be able to devote more time to administration and meeting deadlines.

2.4.12 Key areas of success and the issues of concern

136. The key areas of success are:
   • the ability of community groups to access funds for projects that are important to them
   • the contribution CIS has made to improving awareness of and services for people with disabilities
   • the benefits community gyms and sports activities targeted at youth, have brought to communities; they have promoted community health and attracted interest and support from outside their target group
   • skills building among youth and women particularly through vainetini projects for, gardening, sewing, cooking and craft-related activities, which may lead to business or employment opportunities
   • more sustainable communities, with a greater sense of well-being and optimism.

137. The issues of concern centre round:
   • the need to clarify the purpose and focus of the Scheme, its priorities and objectives
   • poor management and administration
   • the need to support and strengthen community groups, preferably through local support
   • unrealistic expectations of income generation in projects funded by CIS
   • the need to focus on projects that have a longer term vision, beyond the funding period.

2.5 Sustainability of CIS and projects

Sources of information for this section were: Guidelines and Criteria Handbook, Board and PMT minutes, Coordinator reports, project monitoring and final reports; reports of similar schemes in Cook Islands and Samoa; Review of the NZAID Programme’s support to Civil Society in the Cook Islands 2004-2007; interviews with all stakeholders, observation of projects.

Key findings

Overall, the community programmes and services and the small scale income generating projects funded by CIS were the most likely to be sustainable.

Most projects the team visited are still operating and many have expanded into new areas which increase their viability. A number of projects have put funding systems in place – e.g. a small charge for using a gym or a sewing machine, in order to be able to sustain the programme or service.

Grants for one off initiatives are less likely to result in sustainable benefits, except where they are linked into a CIG policy area, as was the case with the disability Coordinators.
138. Overall, the community programmes and services and the small scale income generating projects funded by CIS were the most likely to be sustainable. The community awareness raising initiatives tended to be one-off campaigns, and the organisational strengthening initiatives were mostly for salaries, which have a two-year time limit. Within the programmes and services category, funding for projects like conferences or domestic travel to attend workshops or complete awards are not sustainable.

139. A number of factors enhance the sustainability of the benefits of the CIS. They include the following:

1. CIS projects have capable leadership
2. the original idea is sound and achievable
3. project members monitor their own progress regularly and complete monitoring and final reports
4. the community or applicant group agrees on what is to be done and want it to happen
5. organisations or groups have the capacity or skills to do the work
6. organisations have a vision, and have planned ahead beyond the funding, for example, by being prepared to set small charges to raise money to replace equipment or keep services going
7. projects make sure that there are enough people from the community involved to take on key roles or support the leadership so that the initiative can keep going.

140. Factors that limit the likelihood that projects will be sustainable include:

- long delays in decision-making and funding which can mean that projects are no longer viable or need so much recalculating that communities lose interest
- poor monitoring by project leaders and lack of support from the community
- over reliance on key personnel on projects and lack of succession planning
- delays in getting key components or materials
- unrealistic expectations of the “market” or lack of commitment from the community
- one off grants that are not part of a planned developmental or incremental process e.g. grants for conferences or meetings, grants for travel or to gain awards that benefit individuals but do not leave assets that others can use.

141. As noted earlier, the CIG still intends to localise funding for schemes like CIS but feels unable to do so in the immediate future given the impact of the international financial crisis. This means the Scheme will continue to need donor funding for the next few years,

3.0 Lessons learned

142. The key lessons are that:

- More work needs to be done to clarify exactly where CIS fits in relation to other funding schemes, including POBOC. The delay in localising community sector funding provides an opportunity for the CIG to develop a community sector strategy, in consultation with donors and the civil society sector,

- Applicants and those involved in implementation do not necessarily agree on or understand what the various objectives of CIS mean in practice e.g. that “community awareness/education” projects need to support the participation of priority area beneficiaries in development, or that “organisational strengthening” is intended to strengthen the organisation’s capability to identify, implement and monitor its community development projects. It would be helpful for those involved in
implementation along with representatives of the community sector to clarify what should be included under each objective and to determine priority areas and/or target groups. This should lead to clearer applications and improved recording.

- Steps need to be taken to establish not only the level of need in the three priority areas that participants wanted removed from the priority list, but also the capacity of organisations to meet any identified need. The Board may need to consider how proactive it wishes to be in developing such capacity.

- The Coordinator needs to have a good balance of administrative and communication skills in order to manage the two aspects of his/her task effectively.

- It is unrealistic to expect unpaid and/or fully employed Board members to be responsible for monitoring and evaluating projects. It would be more effective to have a local person do that task and provide information to the Board.

- The differences between organisations based in Rarotonga and the outer islands are significant in terms of capacity and the ability to access help or other funds.

- Many projects produce incremental gains ie they may only partly achieve their original goal but have unexpected positive outcomes that contribute to the development of individual participants and the strength of the organisation and the community

- Expectations of small scale community projects need to be realistic, particularly in terms of income generation. With CIS, some stakeholders worried that projects might “compete” with existing businesses i.e. be too successful; others expected a small group of women with few business skills and a $5000 grant to become a viable business.

- If income generation or economic development is to be achieved then the New Zealand Aid Programme needs to conduct an assessment of how to do this best in small communities. Funding for family based businesses may be an option.

4.0 Conclusions

143. The evaluation team believes that the Scheme has produced some good results in spite of some failings in management and administration.

144. It is greatly valued by current and potential project applicants and funding recipients. In many cases, modest grants have led to unexpected benefits for the wider community, for example, by providing new facilities and creating recreational opportunities that have had an economic spin off. Some initiatives, such as those supporting gardening, fishing, income generation, health and fitness, and services for those with disability have strengthened people’s ability to remain on the outer islands and enabled communities to be more self-sustaining.

145. With its “grassroots” focus, the Scheme appears to fills a niche that no other funding scheme quite reaches, although it would be useful to clarify whether there are in fact significant overlaps with other funds, and if there are, whether the level of demand warrants having both sources of funding available.

146. The seven-month extension period provides an excellent opportunity to reorganise the management of the Scheme and improve its administration, and to find a suitable community organisation to house the Scheme in the future.
4.1. Recommendations

The evaluation team recommends that:

1. The Scheme continues for a further three years from July 2011.

New Zealand Aid Programme

2. The New Zealand Aid Programme encourages the CIG to develop a community sector strategy, which will help clarify where the CIS fits within it.

3. That the New Zealand Aid Programme encourages the CIG to initiate a meeting between CIG, donors and representatives of the civil society sector to identify overlaps between funds and to assess the nature and level of demand for funds.

4. The New Zealand Aid Programme funds a needs assessment to determine both the need for and capacity to deliver services particular in the areas of mental health and domestic violence.

Administration of the Scheme – the Board

5. Between now and July 2011, management of the Scheme is reorganised and administration improved.

6. The PMT is abolished with its duties being taken over by the Board, including responsibility for managing the Coordinator.

7. The composition of the Board is revised to include one representative from the New Zealand Aid Programme, one from AMD, one from Internal Affairs and four from community groups and CSOs. Efforts should be made to include a youth representative and a representative from the outer islands.

8. The Board identifies a long-term “home” for the Scheme. Ideally this will be a local CSO, which may need technical assistance and organisational strengthening before it can take on the management role. The organisation will need to be credible to and trusted by the community organisations that currently use the Scheme.

9. The Board clarifies and confirms the revised priority areas for the Scheme and the focus of each objective.

10. The Board approves the establishment of a liaison network on outer islands to assist with applications, monitoring and reporting. The size of this task will vary from one island to another.

11. The Board meets four half days a year; non-salaried member receive a small sitting fee.

Administration of the Scheme – the Coordinator

12. The Coordinator’s employment contract reflects the expectations set out in the GFA.

13. Once priorities and objectives are clarified, the Coordinator modifies administration systems, including the application form and the database to improve recording, management and reporting.

14. From July 2011, the Coordinator position is reduced to three days a week.
Administration of the Scheme – other issues

15. An independent local consultant is appointed to evaluate a sample of projects every two years.

16. The management of the Scheme is reviewed six months before the Funding Arrangement is due to expire.

17. Funding for the Scheme is increased to compensate for price increases over the last five years and to accommodate the changes proposed above.
Annex 1  Terms of reference

1  Background

1.1 A Community Initiatives Scheme (CIS) was foreshadowed in the New Zealand Overseas Development Assistance (NZODA) Cook Islands Country Strategy 2001-2006, which recommended a new flexible, responsive mechanism for supporting civil society be introduced and managed at Post (see Attachment 1). Its purpose was to provide support to civil society organisations in a more focused way than previous ad hoc funding and to make funds available to a wider range of organisations. The scheme was designed in 2002 by a New Zealand consultant after discussion with key stakeholders in the Cook Islands, and became operational in 2004. Funding to community groups continued during this time.

1.2 The CIS was reviewed in 2008 in conjunction with the New Zealand Aid Programme’s other civil society activities. The three fold purpose of that review was to 1) assess the achievements of the activities against their objectives; 2) review the management of their funding arrangements; and 3) feed any lessons into the development of the new civil society framework for the Cook Islands/New Zealand/Australian Joint Country Strategy (JCS) 2008 – 2017.

1.3 That review recommended, amongst other things, an evaluation of the CIS to consider 1) the effectiveness and impact of projects funded and reasons for their success or failure; and 2) the governance, management and administrative issues identified in the review.

1.4 The JCS (see excerpt in Attachment 2) has as one of its four objectives: to strengthen public sector and civil society governance and service delivery. One activity under this objective is to: support non-government organisations to provide advocacy and services for community needs.

1.5 CIS is managed in-country by a Coordinator who is employed by the Aid Management Division (AMD) of the Cook Islands Ministry of Finance and Economic Management (MFEM). Decisions on projects to be funded are made by the CIS Board (the Board) and the CIS is overseen and monitored by a Project Management Team with a representative from AMD and the New Zealand High Commission (NZHC). Funding is channelled through AMD through a grant funding arrangement.

1.6 A total of $1,358,339 has been allocated to the scheme since July 2004. The budget for CIS has remained around $300,000 per year since its launch.

2  Purpose of this Assignment

2.1 The purpose of this evaluation is two-fold:

- To assess the relevance, effectiveness, efficiency and sustainability of the CIS since inception; and
- To provide recommendations for the future of the CIS within a wider civil society programme.

2.2 The findings of the evaluation will be addressed to the Steering Committee (the Committee). They will inform thinking around the nature and extent of future support to civil society through the Cook Islands bilateral programme. The Australian Agency for International Development (AusAID), as co-funder of the joint programme of assistance to the Cook Islands, will receive a copy of the report via the Committee.

3.  Scope of the Evaluation
3.1 The evaluation will assess CIS over the period since its launch in 2004 against its performance indicators. The Evaluation Report should also document any wider or unintended consequences beyond those indicators that are learned by the evaluators.

3.2 The evaluation is not a design for a revised CIS, although its findings and recommendations will feed into any extension to the CIS arrangement and the design of any future broader assistance from the Australian and New Zealand Aid Programme to the Cook Islands civil society sector.

4 Objectives of the Evaluation
4.1 The elements of the CIS are to be evaluated under the following headings. Each is accompanied with, but not limited to, a number of questions provided in order to add focus to the objective and assist the evaluators in developing their methodology.

(i) Assess the Relevance of the CIS in terms of:
   a. Meeting the real needs, priorities and capacities of the intended target groups and other stakeholders;
   b. Good international development practice including commitments to Paris Declaration, including and lessons learned from similar activities in the Cook Islands or elsewhere;
   c. The New Zealand Aid Programme policies and programme strategies, including whether mainstreamed and other cross-cutting issues are given adequate consideration.

(ii) Assess the Effectiveness of CIS in terms of whether it is meeting its objectives and outcomes (refer to Annex 3). Questions may include but are not limited to:
   a. To what extent have income generating activities been successfully established and maintained under CIS, providing cash earning opportunities for community members? (Objective A)
   b. To what extent and how have community awareness/education projects supported community development through the participation of intended beneficiaries in development? (Objective B)
   c. To what extent has the capacity of communities been increased so that they are able to identify, plan, implement and monitor their development? (Objective C)
   d. To what extent have CIS governance, management and administrative issues identified in the 2008 civil society review been addressed (e.g. do the Board, CIS Coordinator, and others have a clear understanding of their roles, accountabilities and duties; have the Board and civil society organisations increased their engagement in CIS; and have organisations involved in the CIS been strengthened?) (Objective D)
   e. What has gone well, and less well, with respect to:
      • meeting the objectives of the Scheme; and
      • quality of reporting, including coverage and timeliness.

(iii) Assess the Efficiency of CIS:
   a. Is the Scheme being managed and implemented effectively and efficiently?
   b. Is the funding arrangement being managed within financial budgets and fulfilling the terms of the contract?
   c. Is the CIS being delivered efficiently in terms of the overheads relating to the Board and Coordinator costs?
   d. How is the CIS providing value for money?\(^8\)

8 This should be done by qualitatively comparing the money spent on the Scheme with the broad outcomes, or changes brought about. The feasibility and scope for addressing the value for money question should be addressed in the evaluation plan. If possible, comparisons of value for money
e. To what extent have resources been well used in achieving CIS project outcomes?
f. What are the key areas of success and the issues of concern?

(iv) **Sustainability**
   a. What factors are evident that may enhance or constrain sustainability of the benefits of the CIS?
   b. To what extent are the CIS projects likely to be sustained?

(v) **Lessons and recommendations**
   a. What are the lessons learned from the operation of the CIS to date?
   b. What recommendations can be drawn for future assistance to the Cook Islands civil society sector?

5 **Evaluation methodology**
5.1 The New Zealand Aid Programme’s approach to evaluations is based on principles of partnership, transparency and participation but evaluations are independent from the views of any particular stakeholder. Evaluations should build the capacity of partners to undertake their own reviews and evaluations.

5.2 Cross-cutting issues of gender, poverty, conflict prevention, HIV/AIDS and human rights should be addressed in the evaluation.

5.3 An Evaluation Team of two, consisting of the Contractor and one local consultant will conduct the evaluation. MFAT anticipates the Evaluation Team will need to undertake a visit to one outer island and contact people from other islands where CIS-funded projects have taken place.

5.4 The Evaluation Team is expected to submit an Evaluation Plan based on the objectives of the evaluation for approval by the Steering Committee before beginning work. See Attachment 3 for guidance as to what could be in the Evaluation Plan. The team should also ensure that the intended outcomes and performance indicators of the CIS are clear in the Evaluation Plan as a base to evaluate against. The Evaluation Plan and any questionnaires and survey results should be appended to the written Evaluation Report.

5.5 The Evaluation Team will discuss preliminary findings with stakeholders and submit a Draft Evaluation Report to the Committee for comment. Further work may be required if the Committee considers the Evaluation Report does not meet this Assignment Specification or quality standards (Reference the New Zealand Aid Programme Guideline on the Structure of Evaluation and Review Reports and DAC Evaluation Quality Standards – both available on the New Zealand Aid Programme website). The Evaluation Team will then prepare a Final Evaluation Report reflecting comments received.

5.6 The Final Evaluation Report will be addressed to the Steering Committee and shared with the Cook Islands government, MFAT and AusAID (who co-fund it through the delegated programme), other stakeholders and interested groups.

should be drawn with experience or norms in other civil society contestable funds (in the Cook Islands or regionally), where similar outcomes have been aimed for and/or achieved. Comparisons could also be drawn between the benefits achieved through the CIS and those that could be achieved for the same amount of funding from other interventions e.g. core funding to civil society organisation, funding Cl Gov to support their NGO initiatives etc. The review should also analyse the CIS’s own cost structures to identify cost effectiveness issues, including whether savings could have been made (without disproportionately compromising outcomes) through different management methods, procurement, prioritisation, design, etc.
5.7 Under the New Zealand Aid Programme, MFAT publically releases evaluation reports. Anything that would prevent the release of the Evaluation Report should be placed in a confidential annex.

6 Governance and management of the evaluation
6.1 A small steering committee (the Committee) will be formed to oversee the evaluation, comprising representatives of MFAT (under the New Zealand Aid Programme) and AMD, and possibly a member of the Board. This committee have chosen evaluation team members, and will sign off the Evaluation Plan, seek feedback on the Draft Evaluation Report from partners and stakeholders, and sign off the Final Evaluation Report.

6.2 The Team Leader is contracted and will be managed by MFAT in Wellington and the local consultant by the NZHC in Rarotonga. The NZHC in Rarotonga will manage the Evaluation Team while in-country.

7 Outputs
7.1 The outputs (and activities required to complete each output) will be:

i. Evaluation Plan (develop Evaluation Plan)
iii. Final Evaluation Report structured as above not exceeding 30 pages, including the executive summary and excluding appendices (Final Evaluation Report based on collated feedback).
iv. Completion of Form B providing feedback on MFAT performance.

7.2 The Evaluation Plan and Evaluation Reports will be submitted electronically and three by hard copy to the Committee.

8 Key Documents
8.1 Key documents for this evaluation include:

iii. Sue Elliot's report.

8.2 The documents will be provided to the Contractor by MFAT at the start of the Contract.
Attachment 1

This strategy aims to:

- provide a clear statement of New Zealand’s on-going commitment and intentions, in partnership with the Cook Islands; and
- recommend the principles on which New Zealand aid to Cook Islands should be based and on which its effectiveness can be judged; and
- identify those areas and sectors in which New Zealand will focus its development assistance.

Within this framework the following strategic objectives for the New Zealand aid programme to Cook Islands are identified:

- to provide direct and tangible developmental benefits to the Cook Islands population consistent with the priorities of the Cook Islands Government and NZODA’s policy framework through appropriately targeted interventions;
- to have a well managed programme and achieve full programme expenditure; and
- to be clear and predictable so as to facilitate sound planning and investment by the Cook Islands Government, other donors and programme beneficiaries.

Operationally the programme will:

- **strengthen governance** – by building the capacity of Cook Islands Government agencies at both national and island levels and explore twinning arrangements with New Zealand Government agencies;
- **improve the delivery of basic social services** – by expanding the quality and reach of primary and secondary education, increasing access to medical specialists, providing basic health and cyclone protection facilities to outer island communities, and promoting gender equity; and
- **build prospects for sustainable economic development** – by supporting an environment that encourages the growth of small businesses, build human resources - especially of youth - through increasing levels of funding for skills education and in-country training, provide essential economic infrastructure to outer islands and facilitate the development of sustainable marine industries.

In order to meet these objectives, changes to the management of the programme will be required. This will include:

- a greater focus on managing and delivering the programme in partnership with all levels of Cook Islands Government as well as local community groups and the Cook Islands private sector;
- reducing the complexity of the aid programme and the corresponding management burden to both Cook Islands and New Zealand;
- a shift in funding towards the comparatively disadvantaged outer islands; and
- new sector funding programmes for Education, Human Resources Development and Marine Resources while expanding funding for outer islands development and introducing a new Community Initiatives Scheme.

**New Community Initiatives Scheme**

As noted above the Cook Islands programme has limited provision for the direct funding of community-based organisations. A key objective of this strategy is to enhance delegation at Post through the introduction of a new Community Initiatives Scheme (CIS) which will be available for Cook Islands Community Sector Organisations. The new scheme will
supersede the existing allocations: GAD and funding for Punanga Tauturu. The new CIS will aim to strengthen existing strong features of the New Zealand programme such as flexibility and responsiveness by increasing the delegation afforded to Post. New Zealand is strongly aware of the risks associated with small projects schemes which include:

- a lack of focus resulting in a haphazard collection of projects which are difficult to assess, evaluate and to compare. It is also difficult, with a broad approach, to determine whether any real progress is being made;
- high degree of administrative burden through having to deal with constant and unique requests, all of which are seemingly of a high priority;
- high turnover of post-based staff leading to a poor knowledge of recipients and inability to manage risks associated with poor performance; and
- distraction of key staff away from higher order issues.

New Zealand will take action to manage those risks. While the precise details of the CIS will need to be worked through in consultation with the Cook Islands Government and other stakeholders key elements of the CIS are likely to include:

- having a number of funding priorities that target key challenges to Cook Islands social development. These might include:
  - domestic violence
  - gender and development
  - reproductive health
  - youth at risk;
- a high degree of administration at Post;
- a high level of delegated authority at Post to approve expenditure. This could be in the order of $70,000 for individual projects. Irrespective of the delegation advice/support on individual project proposals would remain available from Wellington;
- total funding growing to around $300,000 per annum;
- grants to be between NZ$5,000 and NZ$70,000;
- grants funding to be up to 2 years;
- standard acquittal procedures; and
- flexibility to fund a wide range of activities such as training, advisers, awareness campaigns and capacity building.

New Zealand would welcome proposals which feature involvement by New Zealand community-based organisations as New Zealand community groups have considerable development expertise as well as experience working in Cook Islands. Red Cross, for instance, has strong associations with the Cook Islands, as do many other community groups. Some New Zealand agencies have been very effective at building up personal links between the two countries. These agencies also have an independent capacity to provide valuable and tangible support for development in the Cook Islands and it is in the mutual interest to both countries to promote that capacity.

The CIS could be introduced once appropriate guidelines have been developed, possibly by an independent consultant. Existing activities funded under allocations to be abolished could either be funded under the new scheme or, if the activity is unsuitable for funding under the new scheme, the existing allocation retained until the activity terminates.
Attachment 2
Excerpt from the Joint Cook Islands/New Zealand Aid Programme/AusAID Country Strategy 2008-2017

The Goal for the Strategy is:

New Zealand and Australian development assistance fosters a less vulnerable and more resilient Cook Islands, particularly in the Outer Islands.

This strategic goal supports the Cook Islands’ national development plan, ‘Te Kaveinga Nui – Living the Cook Islands Vision, a 2020 Challenge’ and the ‘National Sustainable Development Plan (NSDP) 2007-2010’. It also reflects New Zealand and Australian development policy and the vulnerability of the Cook Islands as a small island developing state (SIDS).

The Goal of the JCS underpins the strategic objectives and key outcomes.

**Strategic Objective One – Investing in People**
To improve the delivery of quality education, health and social services

**SO1 Key outcomes**
- Equitable access to quality education for all
- Targeted human resource development opportunities to meet government and economic needs
- Equitable access to quality health services

**Strategic Objective Two – Infrastructure**
To provide sound and affordable infrastructure that will support basic services and sustained growth for outer islands

**SO2 Key outcomes**
- Effective infrastructure governance framework
- Universal access to safe drinking water
- Infrastructure supports broad based growth and access to core public services in all islands

**Strategic Objective Three - Sustainable Livelihoods and Economic Growth**
To support an enabling environment for sustainable growth, particularly in the Outer Islands

**SO3 Key outcomes**
- Policy and legislation that supports broad-based economic growth
- Increased income and employment opportunities for outer islands

**Strategic Objective Four- Good Governance**
To strengthen public service, and civil society governance and service delivery

**SO4 Key outcomes**
- An effective and efficient public service
• Trusted and effective police force
• Stronger, evidence-based policy planning and reporting, and results-focused monitoring and evaluation
• Effective and engaged civil society participating in decision-making

The development challenges in the outer islands are a cross-cutting focal area in the JCS. This means that the hardship and vulnerability in those islands will be specifically considered in the design, implementation and evaluation of all agreed activities.

In addition, the Cook Islands Government, the New Zealand Aid Programme and AusAID have identified human rights, gender, conflict prevention, HIV/AIDS, disability, the environment and anti-corruption as interwoven issues. These will be taken into consideration in the design, implementation and evaluation of agreed activities.
Annex 2  Evaluation plan

Community Initiatives Scheme

Evaluation Plan
September 2010

Alison Gray, Gray Matter Research Ltd
Raymond Newnham

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As noted above the Cook Islands programme has limited provision for the direct funding of community-based organisations. A key objective of this strategy is to enhance delegation at Post through the introduction of a new Community Initiatives Scheme (CIS) which will be available for Cook Islands Community Sector Organisations. The new scheme will supersede the existing allocations: GAD and funding for Punanga Tauturu. The new CIS will aim to strengthen existing strong features of the New Zealand programme such as flexibility and responsiveness by increasing the delegation afforded to Post. New Zealand is strongly aware of the risks associated with small projects schemes which include: .....

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1. Introduction
A Community Initiatives Scheme (CIS) was foreshadowed in the NZODA Cook Islands Country Strategy 2001-2006, which recommended a new flexible, responsive mechanism for supporting civil society be introduced and managed at Post. Its purpose was to provide support to civil society organisations in a more focused way than previous ad hoc funding and to make funds available to a wider range of organisations. The Scheme was designed in 2002 by a New Zealand consultant after discussion with key stakeholders in the Cook Islands, and became operational in 2004. Funding to community groups continued during this time.

The CIS was reviewed in 2008 in conjunction with the New Zealand Aid Programme’s other civil society activities. That review recommended, among other things, an evaluation of the CIS to consider 1) the effectiveness and impact of projects funded and reasons for their success or failure; and 2) the governance, management and administrative issues identified in the review.

This evaluation will build on the 2008 civil society review and will focus on
• assessing the relevance, effectiveness, efficiency and sustainability of the CIS since inception; and
• providing recommendations for the future of the CIS within a wider civil society programme.

1.1 The Scheme
The priority areas for the CIS are:
• Domestic violence
• Gender and development\(^9\)
• Reproductive health
• Young people (those aged 15-34) (Note: the Coordinator’s report to 30 June recommended that this be extended to include young people under the age of 15. The PMT meeting on 3 September 2009 supported this recommendation).
• Elderly people
• People with disabilities
• Mental health.

The Scheme has four objectives:
• To promote income generating activities for all target groups.

This can include support for training, systems development, stipends for field staff or the purchase of equipment to support the production of marketable products.
• To support the participation of priority area beneficiaries (i.e. women, youth, elderly people, and people with disabilities) in development.

This can include community-based awareness-raising activities and/or programmes aimed at highlighting the needs of priority area beneficiaries.

\(^9\) The original design document refers to “gender and development” initiatives but both the Funding Agreements refer to “women’s development” initiatives. Coordinator reports to both “gender development” and “gender and development”. Both of these terms are used to describe development activity which aims to promote social, political and economic equality for women, but the term “gender development” is more accurately used to describe the process of developing gender identity. Because the term “gender and development” appears on the CIS application form, we will use that in this report.
• To support community development projects and programmes focusing on domestic violence, reproductive health services, disability services, services for the elderly and mental health services that are identified, planned, implemented and monitored by or with community members.

• To strengthen NGOs focusing on the economic or social advancement of women and their families, and youth or organisations working in the priority areas.

This can include planning and strategic management, organisational renewal and development, leadership/staff/volunteer training, workshops, technical assistance in financial or management systems or in project appraisal/planning/management techniques.

Temporary staffing assistance (to a maximum of two years and a total of $20,000 per annum) will be considered where there are clearly defined objectives for the position and where the organisation has a commitment to providing both financial and organisational support for the position. If the position is expected to become permanent, the organisation must have a plan to pick up any anticipated recurrent costs at the end of the funding period.

A total of $1,358,339 has been allocated to the Scheme since July 2004 (TOR). The budget for CIS has remained around $300,000 per year since its launch.

Ninety-two projects were approved in the period 2004-2010, for amounts ranging from $2,632 to $50,000. Just under half the approvals (48%) were for projects based in Rarotonga.

Over half the approved projects targeted young people; a quarter referred to gender and development; around 18 per cent were for disability groups while 15 percent included older people among their target groups. Very few approved projects were in the areas of mental health (3) or reproductive health (2). One project addressing domestic violence has recently been approved.

Similar numbers of projects were approved for organisational strengthening (20), income generation (20), community education (19) and community awareness (17). Fifteen were approved for community development. In some cases, project objectives were not recorded on the list available to us.

The Coordinator’s six-monthly report to June 2009 notes that from October 2004 to the end of June 2009, 168 applications had been received. Of these, 72 (%) were approved, 61 were declined and 49 were deferred. (The proportion of applications declined was much lower in 2007/08 and 2008/09 than in earlier years.)

1.2 The evaluation plan
This plan identifies the purpose, key tasks and objectives, approach, stakeholders and sources of information for the evaluation. It also explains the options for outer island visits, gives a timetable for the evaluation and discusses risks, constraints and ethical issues.

Purpose
The purpose of the CIS evaluation is:

• to assess the relevance, effectiveness, efficiency and sustainability of the CIS since inception, including considering whether the money allocated to the Scheme has been effectively spent.

• to provide recommendations for the future of the CIS within a wider civil society programme.

The findings of the evaluation will be addressed to the Steering Group. They will inform thinking around the nature and extent of future support to civil society through the Cook
Islands bilateral programme. AusAID, as co-funder of the joint programme of assistance to the Cook Islands, will receive a copy of the report via the Group.

**Approach**

We will carry out the evaluation in accord with the principles of partnership, transparency and independence, participation, and capacity building by:

- providing a brief background of ourselves as evaluators independent of MFAT.
- clearly explaining the key objectives of the evaluation
- preparing well formulated questions for interviews to ensure the data is collected in a consistent and reliable way, and that there is focus on the areas identified in the TOR
- using interview techniques that maximise participation and ensure that areas for improvement or issues can be discussed positively
- summarising the key points and ideas that have been gleaned from interviews and checking with those interviewed that these are a fair and accurate summary of the information they have given us
- writing up interview notes at the end of each day (wherever possible) to ensure accuracy and completeness
- presenting all information fairly and referencing all information
- using triangulation and other cross referencing methods to ensure accuracy
- providing the Evaluation Steering Group with drafts of the evaluation plan, information sheet and interview guidelines, and the final report for comment.

2.0 **Evaluation objectives**

The evaluation has one initial task and five objectives, each underpinned by a number of questions. The information needed to answer these questions is set out in the grid in Section 5.2 below.

The initial task is to clarify the intended outcomes and performance indicators of the Scheme as a base to evaluate against.

The objectives are:

1. To assess the **relevance** of the CIS in terms of:
   
   a. meeting the real needs, priorities and capacities of the intended target groups and other stakeholders
   
   b. good international development practice including commitments to Paris Declaration, and lessons learned from similar activities in the Cook Islands or elsewhere
   
   c. the New Zealand Aid Programme policies and programme strategies, including whether mainstreamed and other cross-cutting issues are given adequate consideration.

2. To assess the **effectiveness** of CIS in terms of whether it is meeting its objectives and outcomes

   a. The extent to which income generating activities been successfully established and maintained under CIS, providing cash earning opportunities for community members
   
   b. The extent to which community awareness/education projects have supported community development through the participation of intended beneficiaries in development
   
   c. The extent to which the capacity of communities has been increased so that they are able to identify, plan, implement and monitor their development.
d. The extent to which CIS governance, management and administrative issues identified in the 2008 civil society review been addressed

e. What has gone well, and less well, with respect to:
   • meeting the objectives of the Scheme
   • quality of reporting, including coverage and timeliness

f. What outcomes have been achieved.

3. To assess the efficiency of CIS in terms of:

   a. Whether it is being managed and implemented effectively and efficiently
   b. Whether the funding arrangement is being managed within financial budgets and fulfilling the terms of the contract
   c. The overheads relating to the Board and Coordinator costs
   d. Whether the CIS is providing value for money
   e. The extent to which resources have been well used in achieving CIS project outcomes
   f. The key areas of success and the issues of concern.

4. To assess sustainability and factors that may enhance or constrain sustainability of the benefits of the CIS.

5. To identify the lessons learned from the operation of the CIS to date and to make recommendations for future assistance to the Cook Islands civil society sector.

3.0 Approach to the evaluation

The evaluation has three main elements:
   • Identifying intended outcomes and indicators
   • Assessing the relevance, efficiency, effectiveness, sustainability and outcomes of projects
   • Assessing the relevance, efficiency and effectiveness of the Scheme and its management

We will use five main methods to complete these tasks:
   • interviewing key stakeholders
   • reading and analysing documents
   • observing as many active projects as possible in our sample locations
   • identifying any ongoing effects from completed projects through observation and data collection
   • comparing the design, implementation and operation of the Scheme in relation to good practice principles for donor engagement with civil society.\(^\text{10}\)

If it is appropriate, we will use brief case studies to illustrate specific points.

3.1 Identifying intended outcomes and indicators

The Terms of Reference (TOR) require us to “ensure that the intended outcomes and performance indicators of the Scheme are clear in the evaluation plan as a base to evaluate against.”

The intended outcomes of the Scheme can be implied from the objectives. In our view, they are:

**Outcomes - objective 1**

1. Participants in income generating activities receive an income from those activities
   (a) during the life of the project
   (b) once the project has finished.
2. Participants in income generating activities gain skills that they can use to earn an income.
3. Equipment that has been purchased has been maintained and is still being used.
4. Outer islands private sector/business enabling environment has improved as a result of income generating activities.

**Outcomes- objective 2**

1. Beneficiaries from priority areas continue to be active in awareness-raising activities and programmes. These could be at the community, national or international level.
2. The public/community is better informed as a result of awareness-raising activities and programmes.
3. Marginalised groups are provided with a voice.

**Outcomes -objective 3**

1. Community development projects and programmes that are identified, planned, implemented and monitored by or with community members are completed as planned.
2. Programmes and services continue to operate once the project funding ends.

**Outcomes-objective 4**

1. NGO/CSOs in CIS are strengthened and:
   (a) have effective planning and strategic management systems in place and use them
   (b) provide appropriate training to staff and volunteers
   (c) are able to identify their ongoing development needs
   (d) are able to deliver services and implement projects effectively.

**Indicators**

None of the literature we have seen to date includes indicators of success for this scheme or for schemes of this type. We cannot tell, for example, what proportion of income generating projects needs to actually generate income for the Scheme to be considered a success, or whether it is enough for participants to have acquired some skills that may generate an income in the future. Similarly, until we read project applications we cannot tell what level of increase in participation applicants envisage as a result of their community development or community awareness projects and whether there is some level that the Board, for example, would consider a “success”. Nor do we have any information on what proportion of projects need to be completed as planned, achieve the outcomes they anticipated or be sustainable, for us to be able to set indicators in advance.

At this stage, we plan to gather as much information as we can on what has actually happened. This will provide a realistic baseline to establish indicators against which to assess progress in the future should the Scheme continue, or to inform the development of similar schemes. We will discuss success factors and indicators with MFAT staff in Wellington and the Cook Islands, with current and past members of the Board and the PMT and with stakeholders, including those working in similar areas or involved with similar schemes.
4.0 Stakeholders in the evaluation

**Beneficiaries**

- Organisations who have applied for and/or received grants
- Participants in funded projects
- Communities where projects have been developed, proposed and/or delivered.

We will seek individual or small group interviews (i.e. three to four people) with senior staff/volunteers from a sample of organisations who have applied for grants over the last six years.

With participants, we will if possible, arrange small group discussions (four to five people). The composition of the groups will depend on the project, but where appropriate we will hold separate groups for women and men and particularly for young women and young men, with a gender appropriate facilitator. Alison will take advice from Raymond on the best approach to take in different circumstances.

We will seek interviews with the community leaders who supported the application and/or have been involved with its implementation.

**Stakeholders involved in delivery and/or administration**

We will seek face to face interviews with:

- The current Coordinator, Teariki Rongo
- The former Coordinator, Debbie Ave
- The Manager of the Aid Management Division of the Ministry of Finance and Economic Management (MFEM)
- Any individuals who regularly interact with the Coordinator
- Any private sector businesses who regularly supply goods/services for the Scheme or projects.

**Stakeholders involved in approving or overseeing activities**

We will seek face to face interviews with

- The current Board members of CIS (either individually or in small groups)
- Members of the PMT (as a group)
- Former Board members (individual or group interviews).

**Other interested parties**

A number of other stakeholders can make a useful contribution to this evaluation. These are likely to be individual interviews and could include:

- **Ministry of Internal Affairs** - Bredina Drollet, Secretary
- **Prime Minister’s Office** for a central planning policy view on the Scheme
- **NGO Sector (and members within these organisations)**
  - CIANGO
  - National Council of Women
  - Red Cross
  - Punanga Tauturu Inc
  - Creative Centre
• Chamber of Commerce
• Cook Islands National Disability Council

Outer Islands Development Grant Fund – Advisor and Board members as available

Organisations that target the cross-cutting issues, such as the Pacific Islands Aids Foundation based in Rarotonga, as well as other human rights and environmental groups.

Funders
The views of MFAT will be sought in New Zealand and the Cook Islands. We will also approach donors who are running or have run similar schemes in the Cook Islands, including the Global Environment Fund, and small grants schemes funded by India, Germany and Canada.

Issues or constraints on stakeholders’ involvement in the evaluation
Table 1 identifies possible constraints on stakeholders’ involvement in the evaluation and describes strategies for managing these.
Table 1  Issues or constraints on stakeholders’ involvement in the evaluation

<table>
<thead>
<tr>
<th>Possible issues or constraints</th>
<th>Mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Difficult to access appropriate people in selected organisations</td>
<td>Advise organisations of our intention to visit as early as possible to help establish a relationship with them and encourage engagement. Promote the visit as an opportunity to reflect on activities and their impact and make suggestions for improvement or new ideas.</td>
</tr>
<tr>
<td>2. Organisations are reluctant to be critical of the Scheme in case it affects future funding</td>
<td>Emphasise that the report will focus on issues and recommendations rather than on identifying or criticising particular projects.</td>
</tr>
<tr>
<td>3. Stakeholders have limited knowledge of the Scheme as a whole or the range of activities funded by CIS</td>
<td>Focus on the areas in which they do have experience; stress the importance of having a range of perspectives.</td>
</tr>
<tr>
<td>4. Stakeholders, including Board and Project Management Committee members may not be available</td>
<td>Give stakeholders plenty of notice and offer different options for expressing their opinion such as through email or a telephone or Skype conversation if they cannot attend a meeting. Offer evenings or times outside the formal data collection timeframe.</td>
</tr>
<tr>
<td>5. The relative “new-ness” of New Zealand Aid Programme staff in Wellington and Rarotonga</td>
<td>Interview former staff who have longer experience of the Scheme</td>
</tr>
<tr>
<td>6. Individuals who deliver services or are engaged in administration may be reluctant to be critical</td>
<td>Emphasise that improving the delivery is the aim of the evaluation.</td>
</tr>
</tbody>
</table>

5.0 Information sources

5.1 Sources

Documents

**Projects**
- Project applications
- Board minutes and decisions
- Coordinator reports and correspondence
- Project Management Team (PMT) reports
- Project progress and final reports
- Any monitoring and/or evaluation reports from recipient organisations, the Coordinator and Board members
- Any material produced by projects as a result of the funding.

**Scheme management**
- The Scheme design document
- Scheme Guidelines – original and revised
- Funding arrangements and Letters of Variation
- Scheme financial accounts, strategic, and work plans
- Coordinator reports and correspondence
- Board minutes
- PMT minutes
- Civil Society Review 2008
- Reports to the Board and PMT.
Contextual material

- Other MFAT documents, including the Government’s former and present aid delivery programme mandates, Cook Islands/New Zealand/Australian Joint Country Strategy 2008-2017
- The Paris Declaration documentation
- Reports from similar funds or schemes operating in the Cook Islands (e.g. OIGDF) and elsewhere (e.g. Samoa NGO Support Fund)
- CI Government policy documents
- Other documents provided by MFAT.

Interviews

- Interviews with all the groups of stakeholders listed above. Wherever possible these will be face to face interviews, either individually or as a group as appropriate and taking into account participants’ preferences and availability.

5.2 Sample selection

We will seek to visit up to half the 12 approved projects in Atiu and the 10 in Aitutaki. In Rarotonga, we will try to make contact with between 15 and 20 organisations at the national and local level. In each site, we have prioritised some older, completed projects and put less emphasis on those that have just been approved. WE have also sought to get a good representation of target groups and project purpose.

The TOR suggested that the team visit Mangaia rather than Aitutaki. However, two factors have made that difficult: the Red Cross is running a workshop during the second week of field work and the only flight available during the first week is early on the first Monday of the fieldwork. We have selected Aitutaki as a substitute as 10 projects have been approved there compared with only six in Mauke.
<table>
<thead>
<tr>
<th>Objective</th>
<th>Priority area</th>
<th>Organisation</th>
<th>Date approved</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Rarotonga – in order of priority</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organisational strengthening</td>
<td>Youth</td>
<td>Taporoporo’anga Ipukarea Society</td>
<td>2005</td>
</tr>
<tr>
<td>Income generation</td>
<td>Disabilities</td>
<td>Te Vaerua Rehabilitation Service</td>
<td>2007, 2009, 2009/10 (3)</td>
</tr>
<tr>
<td></td>
<td>Youth</td>
<td>Virtues CI – Te Au Taonga I Roto ia Koe</td>
<td>2008</td>
</tr>
<tr>
<td></td>
<td>Community awareness</td>
<td>Youth</td>
<td>Titikaveka Growers Association</td>
</tr>
<tr>
<td>Domestic violence</td>
<td>Men</td>
<td>Rotianga men’s support group</td>
<td>2010 (newly approved)</td>
</tr>
<tr>
<td>General/broad objectives</td>
<td>General</td>
<td>Titikaveka Community Trust</td>
<td>2009</td>
</tr>
<tr>
<td></td>
<td>Women and Youth</td>
<td>CI Mane Tivaivai Vainetini</td>
<td>2005</td>
</tr>
<tr>
<td>Organisational strengthening</td>
<td>Youth</td>
<td>CI Voyaging Society</td>
<td>2008</td>
</tr>
<tr>
<td></td>
<td>Elderly, youth, disability</td>
<td>Te Rito O Te Vairakau Maori</td>
<td>2009</td>
</tr>
<tr>
<td></td>
<td>Youth</td>
<td>The Girl Guide Assn CI</td>
<td>2007</td>
</tr>
<tr>
<td><strong>If possible</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organisational strengthening</td>
<td>Mental health</td>
<td>Te Kainga Are Pa Taunga</td>
<td>2005</td>
</tr>
<tr>
<td></td>
<td>Income generation</td>
<td>Women</td>
<td>Rutaki Mama’s Club</td>
</tr>
<tr>
<td>Community awareness</td>
<td>Older people</td>
<td>Avatiu/Nikao Rugby Golden Oldies</td>
<td>2005</td>
</tr>
<tr>
<td>Community awareness/education</td>
<td>Youth</td>
<td>CI Outdoor Pursuits</td>
<td>2004, 2007</td>
</tr>
<tr>
<td>Organisational strengthening</td>
<td>CI Family Welfare Association</td>
<td>2009</td>
<td></td>
</tr>
<tr>
<td>Community development</td>
<td>Women</td>
<td>Mea Traders</td>
<td>2007</td>
</tr>
<tr>
<td></td>
<td>Not stated</td>
<td>Te Tupu O Manava Canoe Club</td>
<td>2006</td>
</tr>
<tr>
<td><strong>We will also visit some national organisations</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disabilities</td>
<td>CI Community Service</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CI National Disability Council</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Youth</td>
<td>CI National Youth Council</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Women</td>
<td>CI National Council of Women</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------</td>
<td>------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>General</td>
<td>CINGO</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Community development       | Youth                        | CI Canoeing Association   |
|                             |                              | Avarua Boys Brigade       |
|                             |                              | Ngatangiia/Matavera Sports Association |

| Community awareness/education | Youth                        | Tobacco Control Working Group |
|                              |                              | CI Caring Trust             |

| Youth + GAD                  | CI Breast Cancer Foundation  |
| General                      | CI Road Safety               |

### Atiu – in order of priority

| Organisational strengthening | Atiu Disability Council (2 projects) | 2006/2008 |
| Youth                        | Atiu Girl Guides Company         | 2009      |
| Community awareness          | Youth                          | Mokoero Community          | 2005      |
| GAD/ Income generation       | Women                          | Mokoero Community          | 2009      |
| Income generation            | Enuamanu Matike                 | 2009      |
| Women/youth                  | Te Au Vaine Tumarama            | 2009      |
| Youth/elderly                | Atiu Fishing Club               | 2010      |
| Youth/elderly                | Atiu Fitness Centre             | 2010      |
| Youth                        | Atiu Girls Brigade              | 2010      |
| Organisational strengthening | Atiu Growers and Livestock      | 2010      |

### Aitutaki - in order of priority

| Organisational strengthening | Aitutaki Disability Committee (2) | 2006/2007 |
| Youth                        | Aitutaki Oe Vaka Club             | 2005      |
| Youth                        | SENZ                            | 2007      |
| Income generation            | Amuri Vainetini.                | 2006      |
| Income generation            | Arutanga Vainteini              | 2006      |
| Youth                        | Arutanga Young Women’s Club      | 2005      |
| Youth                        | Aitutaki Sailing Club            | 2009      |
| Youth                        | Aitutaki Girl Guides             | 2009      |
| GAD                          | Aitutaki Vainteini               | 2009      |

5.3 Match of data sources to evaluation questions
The following table shows where data sources and methods are matched to the evaluation questions. None of the evaluation questions will rely solely on one source of data.
<table>
<thead>
<tr>
<th>Task 1</th>
<th>Identify outcomes and indicators of success</th>
<th>Information to be gathered</th>
<th>Data sources / method</th>
</tr>
</thead>
</table>
| Clarify what the outcomes, intended results and performance indicators of the CIS scheme are. | • Information on any agreed or implied outcomes of the Scheme and examples of performance indicators | • Review of documents – reports, reviews, minutes  
• Interviews with stakeholders | |

**Objective 1  Assess the relevance of the CIS**

Does the Scheme meet the real needs, priorities and capacities of the intended target groups and other stakeholders?

Does the Scheme meet good international development practice?

Does the Scheme fit with New Zealand Aid Programme policies and programme strategies?

Are mainstreamed and other cross-cutting issues given adequate consideration?

Do the CI Govt/NGOs, CSOs/Other stakeholders want the scheme to continue?

| | Information on community priorities and their relationship to Scheme priorities  
• Analysis of the nature of applications compared to approvals  
• Evidence of support for projects from communities and related organisations, including those working on cross-cutting issues  
• Any evidence of dissatisfaction with criteria and focus  
• Evidence of Scheme’s alignment with Paris Declaration principles, the Joint Country Strategy and recognised good practice in donor engagement with civil society  
• Comparison with similar schemes: OIGDF  
• Evidence that the Scheme aligns with MFAT Programme policies and strategies  
• Evidence of continued CI Gov support | Scheme Guidelines – original and revised  
• The Scheme design document  
• Any funding arrangement/agreement  
• Civil Society Review 2008  
• Joint Country Strategy  
• Paris Declaration principles and review  
• MFAT policy and strategy documents, including Guidelines for working with CSOs  
• Board minutes  
• Project Management Team minutes  
• Scheme financial accounts, strategic, and operational plans  
• Project applications  
• Coordinator reports and correspondence  
• Project progress and final reports  
• Any monitoring and/or evaluation reports  
• Any material produced by projects as a result of the funding  
• Interviews with stakeholders | |

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**Objective 2  Assess the effectiveness of CIS in terms of whether it is meeting its objectives and outcomes**

| Have income generating activities been successfully established and maintained under CIS? | • Documentation confirming income earned from projects |
| To what extent and how have community awareness/education projects supported community development through the participation of intended beneficiaries in development? | • Evidence of participation by beneficiaries in community activities; examples of such activities and, where possible, their sustainability and/or effectiveness |
| Has the capacity of communities been increased so that they are able to identify, plan, implement and monitor their development? | • Evidence of communities and organisations having development plans or strategies, including plans to monitor implementation and progress |
| Have CIS governance, management and administrative issues identified in the 2008 civil | • Written evidence that the Coordinator, Board and PMT members have clear and distinct responsibilities |
| | • Project progress and final reports |
| | • Financial statements for project groups |
| | • Interviews with beneficiaries |
| | • Examples of community activities in which beneficiaries have participated |
| | • Documentation |
| | • Reports/minutes of community discussions |
| | • Planning documents |
| | • Interviews |
| | • Acknowledge changes in the revised Guidelines |
| | • Analysis of documents such as Board and... |
Do the Board, CIS Coordinator, and others have a clear understanding of their roles, accountabilities and duties?

Has the Board and civil society organisations increased their engagement in CIS?

Have organisations involved in the CIS been strengthened?

To what extent has community awareness increased at a national level due to community awareness/education projects supported through CIS?

What has gone well, and less well, with respect to: meeting the objectives of the Scheme; quality of reporting, including coverage and timeliness?

<table>
<thead>
<tr>
<th>Objective 3</th>
<th>Assess the efficiency of CIS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence that civil society organisations are actively involved in and supportive of the Scheme</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Evidence that organisations funded by the Scheme are able to identify, plan, implement and monitor their activities</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Evidence of greater awareness of and engagement in public issues</strong></td>
<td></td>
</tr>
<tr>
<td><strong>PMT meeting minutes to identify any, examples of policy decisions</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Interviews with the Coordinator, Board and PMT members and civil society organisations for their views on how changes have been implemented</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Organisational plans and other documentation – viewed during visits</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Evidence of their use</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Evaluation or review reports of public education initiatives or awareness projects</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Data from national organisations</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Interview data</strong></td>
<td></td>
</tr>
</tbody>
</table>
Is the Scheme being managed and implemented effectively and efficiently? Is the funding arrangement being managed within financial budgets and fulfilling the terms of the contract? Is the CIS being delivered efficiently in terms of the overheads relating to the Board and Coordinator costs? How is the CIS providing value for money? To what extent have resources been well used in achieving CIS project outcomes? What are the key areas of success and the issues of concern?

| Evidence of timely and accurate decision-making and reporting | Reports from the Coordinator to the Board and PMT |
| Information on proportion of incomplete applications and relationship between applications and approvals | Review of financial reports |
| Review of financial reporting and related correspondence | Board and PMT minutes |
| Information about cost effectiveness, including information from similar schemes and evidence from project outcomes. | Review of any documentation or reports from similar schemes |
| Information on how resources have been used and on other options for providing support | Interviews with the full range of stakeholders – beneficiaries, community leaders, NGOS who have applied to CIS or who are working in related areas; Coordinators of similar schemes, the Coordinator, Board and PMT members |
| All respondents’ views on what aspects of the Scheme have been successful and which have caused or are causing concern |  

**Objective 4 Sustainability**

What factors are evident that may enhance or constrain sustainability of the benefits of the CIS?

To what extent are the CIS projects likely to be sustained?

Have CIS projects contributed to a more sustainable economic environment?

| Information on which project outcomes have been sustained; identification of any factors that have contributed to or hindered this | Coordinator’s reports; project reports |
| Information on changes in contextual factors that might affect projects – eg infrastructure, markets, natural disaster | Interviews with organisations and community leaders |
| Information on the contribution of projects to a more sustainable environment | Observation of projects or project outcomes |
|  | Documentary or statistical evidence of sustainability |
|  | Reports, including from Outer Islands, interviews with key stakeholders |
6.0 Consultation

We will prepare an information sheet to give to every person or group we interview. It will explain what the evaluation is for, what we will do with the information they provide and the steps we will take to protect their confidentiality. Participants’ willingness to proceed once they have read the information sheet will be taken as consent. A draft is attached.

While we will each store information on our computers and collect written material during the project, we will keep it safe during and after the fieldwork and destroy any notes or identifiable material once the project has been signed off. (See ethical statement below).

Consultation will be based on semi-structured interview schedules to ensure consistency. That is, where we are gathering the same information from different groups we will ensure that we ask them all the same question but we will include additional questions to suit each stakeholder group’s situation. This will ensure that all important areas are covered consistently, but will also allow the interview to have the shape of a conversation, and to reflect the different perspectives for each group.

Interviews with beneficiary groups will be in two parts. We will invite applicant organisations, participants and community leaders to begin by describing their project: its purpose, implementation, outcomes/successes and challenges, and what has happened since the project ended. We will then seek their views on the Scheme as a whole. This will ensure that they are able to describe their experiences without any influence from our line of questioning. Where appropriate we will interview men and women and older and younger people separately.

We will ask everyone we interview questions about what would constitute success from their perspective and how that might be measured. We will do this towards the end of the interview when respondents will have had time to reflect on the Scheme.

(We will have the Scheme target groups and objectives and lists of what the Scheme will and won’t fund available on laminated cards to jog people’s memory if necessary.)

The grid below indicates which areas of questions will be asked of each set of stakeholders.
Table 4  Topics to be covered during interviews with different stakeholder groups

<table>
<thead>
<tr>
<th></th>
<th>Project applicants and beneficiaries</th>
<th>Community leaders</th>
<th>Present and former Coordinator</th>
<th>Board and PMT members</th>
<th>Other NGOs</th>
<th>MFAT and CI Govt</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Beneficiary stories:</strong></td>
<td>Yes</td>
<td>Yes</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Participants in selected projects invited to describe their projects, managing CIS requirements, the outcomes, ongoing activity, success and challenges and any issues arising during the project or since</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Relevance:</strong> Are the target groups or priority areas still the most relevant ones?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Are the objectives still relevant?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Are the criteria for funding still relevant?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>If not, what are the needs and priorities?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Is there anything you think should be covered under the Scheme but isn’t?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
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<tr>
<td>Does the Scheme give enough attention to:</td>
<td></td>
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<tr>
<td>• Human rights issues</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>• Gender issues</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>• HIV/AIDS</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>• Environmental issues</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>• Conflict resolution and peace building</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>• Corruption</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
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</tbody>
</table>
### Effectiveness:

What outcomes have been achieved?  
Who has benefited and how?  
(girls/boys/men/women etc)

<table>
<thead>
<tr>
<th>Effectiveness:</th>
<th>Project applicants and beneficiaries</th>
<th>Community leaders</th>
<th>Present and former Coordinator</th>
<th>Board and PMT members</th>
<th>Other NGOs</th>
<th>MFAT and CI Govt</th>
</tr>
</thead>
<tbody>
<tr>
<td>What outcomes have been achieved?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>Who has benefited and how?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>Select as appropriate:</td>
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<tr>
<td>Have income generating activities been successfully established and maintained under CIS?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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</tr>
<tr>
<td>If not, what are the issues and constraints? What is the potential for change?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>Have community awareness/education projects increased participants’ involvement in development activities?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>If not, why do you think this is?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>Are communities able to identify, plan, implement and monitor their development activities better? If not, why not?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>Are the CIS projects likely to be sustained/keep going?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>What will make projects and/or their benefits more likely to carry on?</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<td>What will make it difficult?</td>
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<tr>
<td>In looking at sustainability, what would it be reasonable to expect from CIS projects?</td>
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<tr>
<td>How would you define “a sustainable” project?</td>
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<tr>
<td><strong>Management:</strong></td>
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<td>Is the Board sufficiently representative of priority groups for CIS?</td>
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<td>Do you have confidence in the capacity of the Board to make well-informed decisions?</td>
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<td>Are Board and PMT members clear about their roles and responsibilities?</td>
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<td>Is there a clear process for considering policy changes?</td>
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<td>Are the reporting requirements appropriate, including coverage and timeliness?</td>
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<td>Is the reporting of good quality?</td>
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<td>Is the role of the supporting agency clear?</td>
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<td>Should the signatory agency have any role beyond signing the support letter?</td>
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<td>What has gone well, and less well, with respect to meeting the objectives of the Scheme?</td>
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69
| Efficiency: Do you think the way the Scheme is organized and managed is efficient? Are there any ways you think the management could be approved? Is the Scheme managed within financial budgets and the terms of the contract? Do you think the level of overheads relating to the Board and Coordinator costs is appropriate? In your view, is the CIS providing value for money? Why do you say that? Have resources been well used in achieving CIS project outcomes – skills, funds, knowledge? What are the key successes/best aspects of the Scheme? Is there anything you have been or still are concerned about with the way the Scheme is set up and operates? | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Task: What would tell you that the Scheme as a whole is a success? How would you measure success? Check out draft indicators | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Finally: Do you think the CIS should continue:  ▪ In its present form?  ▪ Using another model? - if so, what model would you suggest?  ▪ Any other comments? | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
7.0 Data analysis
Quantitative data relating to applications and approvals will be analysed and presented in ways that answer the evaluation questions best, including using tables and graphs where appropriate. We will try to establish how robust quantitative data is and therefore how much reliance we can place on it. We will analyse the Annual Accounts for financial outcomes and trends.

We will analyse qualitative data by theme. This approach allows themes to emerge from the data rather than being imposed upon it, bearing in mind that most of the qualitative data will be gathered in response to a question or interview topic. We will regularly check the data against the evaluation questions to ensure that what we are collecting is relevant and will enable us to answer the questions appropriately.

Where appropriate, we will include brief case studies to illustrate a particular point or issue. We will obtain participants’ agreement before we include detailed information in draft and final reports.

Data analysis is an iterative process. As we gather information, we will talk about emerging themes and issues, and, if necessary explore new issues as they arise. While we will compare responses from different stakeholder groups and keep in mind, gender, age and regional differences, we are unlikely to formally code or quantify qualitative data. Our interview numbers are too small for that.

In considering international good practice in donor engagement with civil society, we will draw on the recent Australian publication on the topic (Hall and Howell 2010). They identify five areas of good practice:

- respecting a country’s ownership of its development process and aligning aid with its priorities and systems

“This implies that donors need to be aware not only of the priorities and systems of government but also of how the government relates to citizens. They need also to understand how citizens organise themselves to deliberate on and engage in public affairs, to make claims on government, and to resolve social, economic and political issues at local levels. This involves understanding the visions that different actors in any society have of what a better life might look like and how it might be achieved.” (Hall and Howell 2010:7-8)

- using programme-based approaches

A programme-based approach essentially means “a way of engaging in development cooperation based on the principles of coordinated support for a locally owned programme”. (Paris Declaration on Aid Effectiveness 2005) Options include core funding civil society; supporting partnership agreements, and supporting projects that are clearly positioned as part of a larger programme.

- choosing intermediaries

11 Programme based approaches are led by the host country or organization, have a single program and budget framework, formally coordinate and harmonise donor procedures for reporting, budgeting, financial management and procurement and increasingly use local systems for programme design and implementation, financial management, monitoring and evaluation.
In engaging with civil society, donors need to consider whether to work directly with CSOs including national NGOs or to work through intermediaries such as umbrella groups, international NGOs, private sector agencies or governments. Hall and Howell (2010:13) note that: “This allows donors to remain at arms length from their support to activities that are potentially controversial, such as supporting advocacy groups that are critical of a partner government. Other advantages of working through delivery intermediaries can include reduced transaction costs for donors.” The authors come to no conclusion as to which is best practice but identify the pros and cons of each option.

- coordinating and harmonising efforts with other donors
- strengthening civil society through technical assistance and capacity building

“Good practice civil society strengthening should include acknowledging and building on the strengths of CSOs rather than merely addressing weaknesses, responding to capacity gaps identified by CSOs, building on local or regional knowledge and expertise, mentoring rather than merely training, and balancing short-term development with longer term objectives.” (Hall and Howell 2010:19)

8.0 Cross-cutting issues
Cross-cutting issues most relevant to this evaluation are human rights, HIV/AIDS and gender issues as these are encompassed within the priority areas.

Human rights
A number of the organisations funded through the Scheme have a human rights focus. Organisations dealing with mental health or disability issues and services are obvious examples, but older people, young people and children also face human rights challenges. The evaluation will note any areas in which human rights issues are a concern.

Gender equality
Projects that involve or target women and girls make up a quarter of approvals since the scheme began. The evaluation will consider how effective these projects have been and also the extent to which projects aimed at youth, the elderly or a general audience specifically refer to gender issues.

HIV / AIDS and reproductive health issues
Some of the youth-focused and family welfare organisations seek to raise awareness of sexual health issues, including STIs and STDs as well as HIV/AIDS. The evaluation will identify how far they do that and whether there are any other instances where health services are provided or health concerns are raised.

Environmental impacts
While the environment is not a specified priority area for the Scheme, many of the projects are likely to have an environmental impact, e.g. growing vegetables for home consumption, fishing, growing maire for sale, and various recreational activities. The evaluation will take note of cases where the environment is an important element and note how projects have responded to this.

Conflict prevention and peace building
Community development and community awareness or education can in themselves contribute to conflict prevention and peace building through improved understanding and stronger
The Australian Aid Programme includes anti corruption as a cross-cutting issue. We will note any instances where there has been evidence of misuse of funds and note how they were dealt with.

**9.0 Dissemination of findings**

We will check out our preliminary findings with participants either at the end of in-country visits or soon after by email. This will be an opportunity to verify findings, gather feedback and identify any gaps in the data or analysis. We will also hold a feedback session with key stakeholders in Rarotonga at the end of the fieldwork.

Findings will be presented in a draft report to MFAT and the Steering Group using the MFAT Guideline on the Structure of Evaluation and Review Reports (September 2009). A final report will be submitted following incorporation of feedback from the Steering Group and other New Zealand Aid Programme staff as well as from CI stakeholders.

**10.0 Risks, limitations or constraints**

Some risks and constraints have been identified above. Other risks and possible mitigating strategies are described below.

<table>
<thead>
<tr>
<th>Table 5 Risks or constraints</th>
<th>Mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key people not available</td>
<td>Early notification and clear communication as to the purpose of our visit and who we would like to talk to</td>
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<tr>
<td></td>
<td>Selecting sites with multiple projects reduces this risk</td>
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<tr>
<td></td>
<td>Information may be sought from other staff members</td>
</tr>
<tr>
<td></td>
<td>We will seek information through email and/or Skype</td>
</tr>
<tr>
<td>Inadequate or poor quality quantitative data</td>
<td>Ensure that conclusions do not rely solely on any one data source. Triangulation(^{12}) is very important.</td>
</tr>
<tr>
<td>Evaluation team member is unable to fulfil their role due to illness or other unforeseen event</td>
<td>Careful planning and discussion at every stage will mean that the remaining team member will be able to cover such circumstances, although it may be over a longer timeframe</td>
</tr>
<tr>
<td>Travel or weather delays</td>
<td>It may be possible to reorganise travel to include visits to other sites</td>
</tr>
<tr>
<td>Delays in response times from the Steering Group, NZ Aid Programme staff or other stakeholders</td>
<td>The Steering Group and the NZ Aid Programme staff have committed to keeping to timeframes. We will ensure that all other stakeholders are aware of your timeframes and</td>
</tr>
</tbody>
</table>

\(^{12}\) The term **triangulation** is often used to indicate that more than two methods are used in a study with a view to double (or triple) checking results. The idea is that one can be more confident with a result if different methods lead to the same result. If an investigator uses only one method, the temptation is strong to believe in the findings. If an investigator uses two methods, the results may well clash. By using three methods to get at the answer to one question, the hope is that two of the three will produce similar answers,
encourage them to respond on time.

The evaluation is limited to what can be completed within the stated timeframe and budget. The findings from project visits will not be able to be generalised to all projects but triangulation drawing on several sources of information will strengthen our judgements.

11.0 Ethical issues
We will use the DAC Evaluation Standards in undertaking this evaluation. Alison is also a member of the Association of Social Science Research and will ensure that both of us abide by its Code of Ethics. These have a strong focus on informed consent, voluntary participation, confidentiality and sharing information.

All participation in interviews will be voluntary. Feedback will not be attributed to individuals in the report, and while the views of stakeholder groups will be discussed we will make efforts to ensure that these cannot be linked to individuals without their approval.

The evaluation team acknowledges the inherent vulnerability of applicant organisations and communities particularly in fundraising, and all dealings with them will bear this in mind.

We do not expect the research to have any immediate or harmful effect on participants.

We will destroy our field notes once the final report has been signed off.
COMMUNITY INITIATIVES SCHEME EVALUATION
INFORMATION SHEET

Kia orana, and thank you for agreeing to speak with us. We are doing an evaluation of the Community Initiatives Scheme (CIS), which you have been a part of in some way.

WHO WE ARE
Alison is an independent researcher from New Zealand who has been contracted by MFAT to do this evaluation with Raymond. She has worked in the Pacific and in New Zealand for many years doing evaluations, writing policy papers and working with NGOs. Raymond is a Cook Islander, based in Rarotonga, also contracted by MFAT to help with the evaluation.

WHY WE ARE DOING THIS
The CIS has been in place for eight years. It is time to:
- assess how relevant, effective, efficient and sustainable the CIS has been and whether the money allocated to the Scheme has been well spent.
- provide recommendations for the future of the CIS within a wider civil society programme.

WHAT WE ARE DOING
We are talking to people who have applied for and received funding for a project under the CIS, people who have been involved in activities, community leaders, the scheme Coordinators, the Board and management team, people from Government departments and people from NGOs who do the same kind of work.
We will submit our report in October, and the report will be finalised in mid-late November. A summary of the report will then be made available on the New Zealand Aid Programme website. It will be up to MFAT and the Cook Islands Government to decide whether or not to accept our recommendations.

WHY YOU
You have been involved in some way with the CIS and we would like to find out what you think about how it went.

CONFIDENTIAL
Anything you say will help us to understand and improve the way CIS works. We will put your answers alongside everyone else’s to come to our conclusions about what we think would be best for the Scheme in the future. We won’t tell other people what you personally say and we won’t identify you personally in the report itself without your permission. If we decide we would like to use your project as an example, we will show you what we plan to say first so that you can make sure it is correct. Or you can ask us not to include it. The full report will include a list of all the organisations we talk to, but this will not appear on the New Zealand Aid Programme website.

NEED MORE INFORMATION?
If you want more information about us or about the evaluation, you can contact:
- Karen Nobes, New Zealand Aid Programme Cook Islands Development Programme Coordinator, NZHC (karen.nobes@nzaid.govt.nz) +682 22201
• Alison Gray, CIS Evaluation Team, (alison@gmr.net.nz or graymatter@xtra.co.nz
+64 4 475 9406 or +64 21 250 2544

Annex 3  
Documents reviewed

<table>
<thead>
<tr>
<th>Document name</th>
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<tbody>
<tr>
<td>CIS report by Sue Elliott 2002 (feasibility / design)</td>
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<tr>
<td>CIS summary report September 2003</td>
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<tr>
<td>Funding Arrangement 2004-2006 (with original CIS Guidelines)</td>
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<tr>
<td>Letters of Variation#1 September 2006; #2 June 2007; #3 February 2008</td>
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<td>GFA 2008-2010</td>
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<tr>
<td>LOV#1 March 2009 with revised Guidelines and Criteria Handbook</td>
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<td>CIS 2009/10 work plan/budget, and 2008/09 reconciliation</td>
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<tr>
<td>PMT minutes 14 May 2004</td>
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<td>Board Selection Panel minutes 7 October 2004</td>
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<tr>
<td>PMT Feedback Report Jan – June 2007 including Appendices (Risk Analysis; Summary of all projects; Breakdown of project funding in 2004/05, 2005/06, 2006/07; Summary of Issues raised at Board and PMT meetings in August; Financial Acquittals for 2004/05, 2005/06 and 2006/07; Financial Forecast/Budgets for 2007/08; and CIS Implementation Plan 2007/08)</td>
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<tr>
<td>CIS Coordinator Six Month Report 1 July 2004 – 1 January 2005</td>
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<tr>
<td>CIS Coordinator Report December 2006 – June 2007</td>
<td></td>
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<td>CIS report 1 January – 30 June 2009</td>
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<td>CIS report 1 July – 31 December 2009</td>
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<td>CIS report February – May 2010</td>
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<td>CIS Coordinator Milestones Report May to June 2010</td>
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<tr>
<td>CIS Coordinator Milestones Report June to July 2010</td>
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<tr>
<td>Susan Elliot end of assignment report January 2005 (short term consultancy to provide support and guidance for CIS Coordinator) and associated email</td>
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<tr>
<td>Review of New Zealand Aid Programme’s Support to Civil Society in the Cook Islands 2004-2007</td>
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<td>Review of Samoa NGO Support Fund July 2007</td>
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<td>OIDGF Interim Progress Report</td>
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<td>Schedule of approved CIS projects 2004-2010</td>
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<td>Project Briefs received April 2007 from Debbie Ave</td>
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<td>Letter from NZHC to AMD re CIS 9 October 2008</td>
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<td>Appraisal of CIS Work Plan 2008-10</td>
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<td>Te Kaveinga Nui Cook Islands Pathway for Sustainable Development</td>
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<td>NZ Aid Programme (Strategic Objective and Mandate)</td>
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<td>NZ Aid Programme Pacific Regional Strategy 2007-2015</td>
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<td>Cook Islands / New Zealand / Australia Joint Country Strategy 2008-2015</td>
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<td>Cook Islands Country Strategy 2001-2006 (short version / long version)</td>
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<td>OIDGF Policy Manual, Criteria, Funding Arrangement</td>
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<td>DAC Quality Standards for development evaluations (2010)</td>
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<td>NZ Aid Programme Guideline on the structure of evaluation and review reports</td>
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<td>NZ Aid Programme Guideline on Participatory Evaluation</td>
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<td>NZ Aid Programme Screening Guide for Mainstreamed and other Cross Cutting Issues</td>
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<td>Paris Declaration on Aid Effectiveness and Accra Agenda for Action</td>
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## Annex 4  People consulted

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<tr>
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<tr>
<td>Monique Ward</td>
<td>NZAID Programme, MFAT, Wellington</td>
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<tr>
<td>Karen Nobes</td>
<td>New Zealand Aid Programme Cook Islands Development Programme Coordinator/s, NZHC</td>
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<tr>
<td>Jim Armistead</td>
<td>Aid Management Division, Ministry of Finance and Economic Management</td>
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<tr>
<td>Lydia Sijp</td>
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<tr>
<td>Tina Newport</td>
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<td>Debbie Ave</td>
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<td>Garth Henderson</td>
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<td>Tina Browne</td>
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### Project funding applicants/ recipients

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## Annex 5 Project approvals with revised categorisations

CA = Community Awareness Raising  
IG = Income Generation  
OS = Organisational Strengthening  
PS = Programmes and Services

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