

## **CIVIL SOCIETY SUPPORT PROGRAMME**

### **PROGRESS REPORT**

1 July 2012 – 31 December 2012



*Increasing access to safe water for vulnerable households and communities*

**CSSP PROVIDES PROJECT FUNDING AND TECHNICAL ADVISORY SUPPORT TO SAMOA'S CIVIL SOCIETY ORGANIZATIONS TO MEET THE NEEDS OF THE MOST VULNERABLE IN THEIR COMMUNITIES**

Proceedings of Steering Committee Meeting

Date 5 March 2013

CSSP Conference Room, Ah Mau Mall, Saleufi

**CIVIL SOCIETY SUPPORT PROGRAMME  
SIX MONTHS PROGRESS REPORT  
JULY TO DECEMBER 2012**

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**List of Acronyms**

CBO	Community Based Organisation
CEO	Chief Executive Officer
CSO	Civil Society Organisation (inclusive of CBOs and NGOs)
CSSP	Civil Society Support Programme
EOPR	End of Project Review (CSSP review with Project committee)
EU	European Union
GoS	Government of Samoa
ICCAI	AusAID Climate Change Adaptation Initiative (ICCAI) funds
MTR	Mid Term Review
MWCSD	Ministry of Women, Community and Social Development
NGO	Non Government Organisation
PMU	Programme Management Unit
SUNGO	Samoa Umbrella Organisation for NGOs

**Further Note:** A Round in CSSP terminology is a financial year within the period of the overall funding agreement. CSSP is currently in its third round (Round 3) which is from 1 July 2012 to 30 June 2013.

## I. BACKGROUND

CSSP's overall purpose is to deliver sustainable social and economic benefits to the people of Samoa through strengthened CSOs. It seeks to achieve measurable social and economic benefits from well managed projects, where CSOs play a more active role in national and community affairs. To facilitate support to CSOs, CSSP provides a single point of contact and a common application and reporting requirement. It also provides for CSO capacity building in project and organizational management and in proposal writing. Most of the capacity building is through a contract to the Samoa Umbrella of Non Government Organizations (SUNGO) which has had a good track record of support to civil society organizations. Other technical assistance is provided grantees to improve the implementation of their projects and to help make their impact more lasting and sustainable. CSSP sponsors forums and meetings through-out the year for information exchange among community organizations on their projects and best practices.

The four key objectives of CSSP are:

- ✘ **Objective 1:** Tangible and sustainable social and economic benefits meeting the needs of vulnerable groups in Samoa.
- ✘ **Objective 2:** Well governed CSOs with more capacity to manage developmental programmes and projects on a sustainable basis.
- ✘ **Objective 3:** Strengthened voice of civil society organizations to effectively influence national policy
- ✘ **Objective 4:** Programme Management.

## II. A SUMMARY OF KEY ACHIEVEMENTS/CHALLENGES

- The July through October period started with the implementation of the Category 1 Call for Proposals and the finalization of the approved Category 3 contracts. Another round of Category 3 Call for Proposals was announced in November 2012.
- Considerable slippage and delays for the program were felt due to the sheer numbers of applications and lengthy periods for remedial actions required under audit procedures. Research findings that would form the basis of the Water harvesting program took longer than anticipated and resulted in a pile up of applications. Technical support secured under the Technical Cooperation facility provided help in some reengineering of processes and systems.
- The NGO and CBO capacity building program provided by SUNGO include the organizations abilities to carry out self assessment and identify capacity gap areas, mentoring of applicants in order that they are able to systematically plan for projects and assess what outcomes are envisaged. The training has reflected in project proposals improved quality.
- Two Category 3 applications were approved. A revised Guidelines was used for subsequent call for proposals which was preceded by a familiarization workshop of EU procedures.
- A call for Civil Society research proposals was made for the first time within the reporting period
- 9 projects faced early termination with a wide range of causal factors which the PMU have considered as lessons learnt for the future
- Projects designed and managed by women or whose beneficiaries are women and children continue to dominate all projects approved by CSSP. These include projects in the area of community development (women's committee houses, sewing & elei, other income generation, agriculture, health and

education). Value added benefits identified by women in their reports to CSSP include a positive view and support from the village council and community generally for their activities and new skills learned.

### III. ACTIVITY OUTPUTS

#### OBJECTIVE 1: Tangible and sustainable CSO projects:

- A. The table below gives totals for all applications by round and decision, with the allocated funds totalled for Round 3 to date (Category 1 CFP October 2012).

<b>Table 1: CSSP Decisions on all applications by Round &amp; Round 3 allocated funds</b>						
<b>Decisions</b>	<b>Round 1-3</b>			<b>applications</b>		<b>Round 3 \$ only</b>
	<b>1</b>	<b>2</b>	<b>3</b>			
Declined	98	304	90	492		
Funded	56	109	22	187		462,363
Provisional Approval			69	69*		1,784,739
Reserved		1	45	46		976,269
<b>Grand Total</b>	<b>154</b>	<b>414</b>	<b>226</b>	<b>794</b>		<b>3,223,371</b>

- B. Status update on all CSSP Projects approved and implemented in 2011/2012 (up to 31 December)

<b>Table 2: Status of CSSP Projects Funded as at 31 Dec 2012, Rounds 1 and 2</b>			
<b>Status of projects</b>	<b>Number</b>	<b>%</b>	<b>Comments</b>
Completed	53	32%	The majority of completed projects had achieved a satisfactory rating of between 80 to 100% on their end of project review (EOPR) score sheet <sup>1</sup> .
EOPR required	58	35%	Project officers following up on End of Project Reviews (EOPR) which lag behind due to the time engaged in assessments, contracts development and monitoring. CSSP will have only one Call for Proposals for 2013-2014 which will enable more time for monitoring and EOPRs.
In progress	11	7%	Projects are on track as per their project plan and schedule for implementation.
In progress - delays	23	13%	Most delays are caused by lack of applicant progress reports from approved applicants and delays in the availability of materials
In progress - issues	2	1%	Issues and challenges being followed up by Project Officers include securing land for project and unresolved differences among members of a project committee.
Site visit required	8	5%	Being followed up by Project Officers.

<sup>1</sup> Water tank projects for vulnerable households have dominated CSSP funding by numbers and \$ funds. The impact of these projects are that families now enjoy clean water particularly in times of drought conditions. Education projects funded followed and were primarily for expansion of classrooms to meet the growing need. Schools have increased enrolment with the enforcement of mandatory education Government policy resulting in overcrowded conditions. The impact of CSSP assistance has been that the learning environment has improved for students and teachers. Community development projects include women's committee houses, spring water renovations, governance trainings, income generating projects, agriculture and health projects. Key impact of these projects are that the quality of life in villages have improved particularly for women. The majority of CSSP approved projects are driven by project committees made up by mostly women. By providing support to their organizations, CSSP has helped to address their concerns in priority areas such as community and family health and welfare.

Terminated early	9	6%	See paragraph below <sup>2</sup>
<b>Grand Total</b>	<b>164</b>		

Terminations: Six projects were terminated with no funds being paid out. There were a variety of reasons for this including lack of 10% applicant contribution, land issues, a situation where the larger project was not approved and governance issues. Three terminated projects had funds paid out. One, Mapusaga o Aiga, was reported in 2012 and the file closed. No assets were purchased under CSSP funding. The second was a small farming project where the assets were taken over by the land owner. The committee are reclaiming and moving the asset to another site. The third is a sewing project which is being followed up on.

**C. Graphs and Tables as of 31 December 2012:** Graphs are provided in Annex V. Tables below

<b>Table 3: All Approved Projects by Target Groups</b>			
<b>Target Group</b>	<b>No.</b>	<b>%</b>	<b>Comment</b>
Community	162	64%	
PWD	2	1%	Nuanua o le Alofa the advocacy NGO for PWD
Women	23	9%	11 Women's Committee house, rest a skills training (eg sewing) or small income generation projects
Youth Education	49	19%	49 of these are education projects; buildings, furniture, resource centres and fences.
Youth Other	17	7%	Sports (5), fishing (2), training (2), income generation (3), research (1), music (2), gardens (1), culture (1)
<b>Total</b>	<b>253</b>	100%	

<b>Table 4: All Approved Projects by Activity</b>		
<b>Activity</b>	<b>No of funded projects</b>	<b>Total amount funded</b>
Crafts	1	70,000
Culture / traditions	2	40,470
Education Bldg	18	801,456
Education Other	8	233,274
Education Resource Centre	5	143,165
Farming / Garden	22	474,965
Fishing	9	198,829
Health Services	1	100,000
Income generation	11	131,365
NGO Support	7	480,000
Other	6	287,225
Pre-school building	10	504,070
Research	1	41,200
Sanitation	10	221,281
Security Fence	10	275,002
Sports	5	276,000
Training	3	37,892
Water source	7	171,248
Water tanks	106	2,864,455

Wom Cttee house	13	402,739
<b>Grand Total</b>	<b>255</b>	<b>7,754,636</b>

## OBJECTIVE 2 (CSO Capacity building) and OBJECTIVE 3 (CSO advocacy)

CSSP provides capacity building support to civil society organizations through SUNGO. CSSP has also assisted SUNGO with its Monitoring and Evaluation framework to better capture its outputs and outcomes. Table 5 below provides a summary report on SUNGO's six month activities against their M&E targets.

Table 5: SUNGO capacity building to Samoa Civil Society Organizations			
<b>SUNGO VISION: Samoa has a competent and confident civil society sector that promotes sustainable development and quality of life for the people of Samoa</b>			
SUNGO activities	Description of Activity	Targets against SUNGO M&E framework <sup>2</sup>	Results
1 CSO information & liaison	Communications, promotion and information dissemination, (including website/newsletters/promotional materials), and data collection.	65% of stakeholder respondents rate SUNGO communication as "good" or "very good" on a five-point scale  5% increase in financial membership annual subscription ; 5% Increases in new members ; 65% of members' details up to date	Member survey 67% rated communication highly satisfactory/satisfactory. Questionnaire will be amended to include stakeholders.  35% of members have paid their annual sub. Increase usually happens at AGM. From Jul-Dec 2012 - 9 new members have been approved.  SUNGO website is updated monthly and is now a key communication tool with civil society. More than 50% of members profiles are now loaded on website and site visits will be completed in the next 6 months.
2 CSO Support & Admin	Includes maintaining office, meeting and training space for CSOs, equipment, staff costs (7staff), vehicle maintenance, insurance, office supplies, volunteers.	65% of respondents (inc. members and stakeholders) rate SUNGO's performance as "good" (4) or "very good" (5) on a five-point scale  Unqualified audited accounts.  All staff are satisfied with communication and training opportunities.  Contracts sufficient to meet financial target for year Fundraising target met.	SUNGO survey of members level of satisfaction with SUNGO services. Of the 32 respondents, 22 rated SUNGO's overall performance and operation as satisfactory or highly satisfactory.  Audit now complete and approved by EC. SUNGO received an unqualified audit.  Staff performance review completed for 4 staff. Increments approved for 3 with 1 pending approval from ICTP. Two new staff in place; ICO and CSO coordinator. AUSAID VIDA volunteer for Research unit, now in place.  2 CSSP contracts approved Umbrella and Capacity building. UNDP Social Accountability survey contract to be signed.

<sup>2</sup> CSSP will assist SUNGO in further revising their M&E framework through the same contract with Alison Grey in January/February 2013

	CSO policy dialogue & advocacy	Includes coordination with CSOs, preparation and submission of reports, SUNGO & stakeholder meeting venues resources and supplies, and logistics. Inclusive of all public forums.	Two advocacy courses offered.  High level of engagement of civil society members in consultation with government.	Advocacy training completed under SICTP. 2 SUNGO executive members attended resulting in 4 trained executive members. CSO forums to be held in the next period. No thematic Group meetings were held in the July to Dec 2012 period. However in the same period more than 200 meetings were attended by SUNGO representatives. SUNGO will need to engage more members and coordinate attendance at the stakeholder meetings for improved dialogue with Government due to the fact that too often the same people are representing civil society views at these meetings.
	SUNGO contract – CSO Institution strengthening	All logistical and follow-up support for CSO training and mentoring workshops. Includes implementing NGO assessments and NGO follow-up by SUNGO trainers and NGO coordinator.	60% of top 3 priorities identified CSO training needs met .  At least 90% of registered trainers complete CAT training  60% of those identifying in TNA attend courses  100% courses submitted and SQA accredited  85% rate ability to use information as “good” (4) or “very good” (5)  NGO Assessment tool tested and applied	TNA completed for 46% of SUNGO members. 14 trainings were requested of ICTP, 6 completed.  99% of SUNGO trainers have completed CAT.  6 ICTP courses with 61 participants  Awaiting outcome of accreditation application from SQA for courses delivered by SUNGO.  NGO assessment successfully completed for 6 NGOs plus SUNGO. Tool rated highly satisfactory. Training providers to address training gaps from NGO assessment needs to be identified.
	Project Mgt workshops( Savaii/Upolu)	All preparations, revisions of lesson plans, logistics, training of trainers, implementation, mentoring of 10 approved applicants and a tracer study.	75% CSOs have improved systems	All Category 1 workshops were implemented as planned. A total of 144 community based organizations applied and 64 were selected (3 participants per CBO for a total of 160). 3 workshops on Savaii and 3 on Upolu (duration of one week per workshop. 150( 94%) completed the training. More females (53%) than males attended.  Six of the ten PDM workshops for Category 1 applicants show an overall pre/post test learning of 6%. High participation satisfaction with the courses (92%)  The tracer study is underway and will provide information on whether training content was applied. The mentoring of 10 selected CBOs approved for funding is being piloted for further support to CSOs that may have a good project but lack planning, implementation and reporting skills.

No specific activities in relation to the issues of Advocacy were received in response to the Call for Proposals and so it is recommended that more focus be on this Category area as well as effective ways and key examples to further promote this Objective and enhance understanding of what it entails

#### OBJECTIVE 4: CSSP Programme Operations

**Office:** CSSP's printing costs have been reduced with the purchase of a heavy duty photocopier. A suggestion box has been installed in the front reception for stakeholder feedback to the office. Funds were set aside to rent more space and to separate project staff from administration staff

**Programme activities:** Secure, select, monitoring and evaluation of applicants' budget was increased in 2012/2013 to meet the increased assessment and monitoring needs. CSSP is revisiting its policy of 3 site visits per approved applicant because it is causing bottlenecks and delays.

**Visibility:** CSSP visibility has increased with more coverage in the media and in the signage on completed applicant projects. A communications and visibility manual is in a final form.

#### IV. PROGRAMME ACHIEVEMENTS AGAINST M&E INDICATORS AND TARGETS

- i. **Target: 75% of funded projects score 70%+ in end of project review (achieved)** – 58 completed projects for which EOPR were completed with project committees. 46 ( 80% )scored more than 70%.
- ii. **Target: 75% of projects achieve (or are on track to achieve) expected results (achieved)-** Table 2 provides a status update on projects. Of the 164 projects funded, all (95%) but 9 (5%) were either completed, near completed (EOPR needed), or in progress. The 9 terminated early were for various reasons explained in Table 2.
- iii. **Target : 30% of funded NGOs meet agreed Good Practice Standards (indicator being revised as it is no longer relevant)** The initial focus on Good Practice Standards has been changed to NGO Assessment. CSSP/SUNGO have developed a tool for assessing NGOs in governance, management and external relations and have piloted the tool with success with 6 NGOs. Views of an NGO regarding the usefulness of the assessment is found in Annex X. **SUNGO/CSSP is exploring customized modules suited to up-skilling NGO boards and staff within their own environment** and realities.
- iv. **Target : At least 80% of funded NGOs meet criteria in funding contract (achieved). All CSSP funded NGOs are on track** with their projects as of December 2012. Progress reports will be assessed in the next reporting period. Several Category 2 funded NGOs have not yet submitted their audit reports for the previous year. This is being followed up on.
- v. **Target : Increase in the number of Govt committees with NGO representation (planned for next reporting period).** Off track in meeting this target – data collation to start – no need for surveys
- vi. **Target :90% of stakeholders satisfied with PMU performance overall (not achieved).** CSSP conducted a public satisfaction survey (23-24 August 2012) and received an overall rating of 79.5%. Areas in which CSSP will need to do better will be in the notification of the decisions and in the explanations provided on the decisions particularly for those that were declined.

Table 8: Compiled survey responses from 60 CSOs at public awareness workshops held Upolu and Savaii 23-24 August 2012		
	Responses	%
1	Application process was good or very good	79.5
2	Applicant had enough information about CSSP	89
3	Forms were easy or very easy to fill out	80
4	Satisfied with CSSP communications	80
5	Understood how long the application process would take	84
6	Satisfied with the process of notification (letters/telephone)	47
7	Satisfied with the explanation of the decision	35



## V. PROGRAMME ISSUES AND CHALLENGES

### a) Governance

- i. PMU Reporting – Harmonization of donor funding and reporting has been a continuing challenge. However, as a step towards harmonization, CSSP views very favourably the six monthly reporting template (narrative only) reviewed by the funding partners six monthly. In addition, the donors and the CSSP Steering Committee use the EU Programme Estimate template as a workplan and budget for both AusAID and EU funding for the following year. This enables a full budget and work plan to be presented to the Steering Committee for approval in a single document. Once approved, it becomes the annual work plan and budget for the following year.
- ii. Identifying most vulnerable for support is a continuing challenge particularly at the household level. Definition of vulnerability at sector level needs to be established.
- iii. CSSP is also seeking to link better with other stakeholders for better coordinated projects and additional support to project committees. It is challenging in terms of the time involved per project because of the numbers of projects involved. However, the benefit is a better supported project through others that can assist in ways that CSSP cannot.

### b) Finances:

- i. CSSP received an “unqualified” government audit opinion (Annex II) up to June 2012 and a management letter indicating that the financial reporting systems have greatly improved over the past six months. However, CSSP still needs to maintain vigilance on support documentation. These are being followed up on with staff orientation on new procedures. In addition, with a better understanding of audit requirements, timeliness of reporting is crucial. However, it is still a challenge to be audited five times each year (EU quarterly and Samoa Government annually) and the process absorbs much administrative time.

CSSP bottlenecks. Bottlenecks lead to delays in approved applicant expenditures and may further delay the transfer of funds to CSSP from the funding partners. A key area where bottle necks are experienced is in the numbers of projects requiring assessment and follow-up site visits. CSSP will be revising its policy of 3 site visits per project to just one at a minimum. Project officers are encouraging approved applicants to adhere to their work program schedules and a faster turn-around of their progress reports to reduce this occurrence. CSSP is also revising its scheduling of activities for 2013-2014 as a measure to improve expenditure flows.

- ii. Funding partner agreements closure time frames will need to be monitored closely over the next year and a half. Both EU and AusAID will have as its last month for payments in March 2015. Applicants will need to be notified of these changes well in advance so they can plan accordingly. EU also has funding ceilings in key line items which are close to being reached. These will need to be considered and addressed in the next work plan and budget under EU PE 3.

### c) PMU to facilitate early planning for PE 3.

### d) Sustainability

- i. **Monitoring and Evaluation (M&E)** – Monitoring and evaluation for impact and sustainability is a work in progress and CSSP staff is on a learning curve. CSSP has requested further assistance to put into place a methodology to reliably and systematically capture information on vulnerability and sustainability of projects and to train staff. This will be done as a part of the TA to revise the M&E framework.

**NGO sustainability** – NGO assessment will help to provide a CSSP with a measure for NGO sustainability but the reality is that NGOs can not achieve sustainability without external assistance.

- ii. **Gender Equality-** Approximately half of CSSP approved projects are requested by women organizations where women are the decision-makers. Preliminary effort to obtain from applicants data on the breakdown of beneficiaries show that the majority of direct beneficiaries are women .<sup>3</sup>

Direct Beneficiaries		
Round 3 Funded projects		
	# Responses	Total
Females	64	5220
Males	62	4775
Youth Female	64	4065
Youth Male	56	2948

The EOPR reports concerning women led projects indicate that a well implemented project raises the esteem of the women involved within their communities. In addition they usually received good support from their village councils and the untitled men (aumaga) especially for projects that involve infrastructure such as buildings and the installation of water tanks. However, a few women led projects have experienced a struggle with existing male dominated leadership in village councils. One was a workshop requested on traditional governance led by a woman matai to benefit new matai on village councils. It eventually took place but outside of the village environment and it involved an almost equal number of males and females attending. The week workshop was well received by all participants.

#### VI. REVISED WORKPLAN (NEXT SIX MONTHS – JANUARY TO JUNE 2013)

No.	Activity Description [x -workshop; CfP-Call for Proposals; DL- deadline; Dec- decision; R-Reports]	1 Jan	2 Feb	3 Mar	4 Apr	5 May	6 Jun	Comments
1	Cat 1 Call for Proposals x 1 each year		Dec					Steering Cttee to make a decision on the 46 reserved projects and the 54 water tank projects.
2	Cat 2 Call for Proposals x 1 each year	CfP	DL		Dec			Cat 2 Applicants complete General Application Form. Decision w/in 8 wks followed by 2 months to provide 10% contribution.
3	Cat 2 Applications workshops (Upolu/Savaii Islands) – Secure & Select applicants	xx						Project Officers conduct 2 public awareness and respond to « walk-in » individuals or groups or by e-mail (100 people)
4	Cat 3 Call for Proposals 1x each year	DL	Dec			DL	Dec	10 organizations applied for Category 3; 8 were evaluated and recommended to submit a full application form pending approval from Fiji.
5	Cat 3 Applications workshops for full application form			xx				.
6	Assessment, Selection & Funding Agreements for applicants (x) Payments and reports (on-going).	On – going through the year						PMU staff , Steering Cttee, Ministry of Finance. Estimated 118 Funding Agreements (Category 1, 2 & Category 3) by year end. 226 applied for Category 1 in Oct 2013 – currently 35 approved.
7	Technical advice for applicants & on applications.	Technical support to applicants						Technical advice prior to and after approval of applicants on as needed basis.

<sup>3</sup> There is a concern on the reliability of these figures on gender disaggregation as some seem over inflated and there appears to be some confusion with some applicants on direct vs indirect beneficiaries. CSSP is looking at measures to obtain more reliable data both from the applicant and verified from other sources including the census data.

8	Network with sectors to identify & assist on promising projects for funding, CBOs, and NGOs.							CSSP engages with SUNGO, Sector partners, Development partners, Steering Committee members and other stakeholders.
		Stakeholder mtgs/consultations on-going						
9	SUNGO Project management workshops (4 remaining workshops, 30 organizations; 90 people. A PDM tracer study & SUNGO mentoring 10 selected approved applicants for funding.		xxxx	xx	xx	xx	xx	Four workshops remaining. Tracer study implemented and completed. 10 selected Projects mentored by SUNGO community trainers.
10	Implement 2 NGO workshops in EU applications and contracts			xx			xx	CSSP currently implementing workshops with assistance from EU rep.(1 <sup>st</sup> workshop focuses on the EU Full Application process and the 2 <sup>nd</sup> workshop on the EU contracts process.)
11	Information & Liaison and Public Forums targeting CSOs – SUNGO contract			SUNGO	on going			SUNGO implements objectives of their strategic plan, gathers data, compiles results and provides information and liaison services to CSOs.
12	Mentoring & Support to NGOs –SUNGO contract			SUNGO	on going			SUNGO NGO Coordinator position coordinating with CSSP on advisory, training, mentoring to NGOs, implement NGO Assessment.
13	Community Research, Advocacy & related activities	Dec						Call for applications in Dec 2012, 7 CSO research proposals were submitted ,decision/contracts/implementation in February. Up to six months to implement. Research studies to be presented at the stakeholder review.
14	Programme Visibility	x	x	X	x	x	x	Production and installation of signage. Production and distribution (or airing) of other media promotional materials. Visibility strategy final (X)
15	CSSP Replenishment Requests (Rpl)		Rpl			Rpl		Each replenishment requires an EU audit prior to approval of funds.
16	Programme Management Reporting (Special 6 monthly meeting)		Rpt				Rpt	Agreed under the AusAID DFA2 and will engage both funding partners. 2 <sup>nd</sup> report will serve as an annual Rept.
17	Stakeholder Review - preparations		x	x	x	x	x	Review planned for September 2013.
18	Programe Estimate No. 3	x	x	DL				Staff planning on workplan & budget (Jan 30-31); final draft to SC (Feb); approved SC/NAO draft to EU Fiji (Mar).
19	Audit Preparation						x	Preparation for Samoa Government audit –CSSP placed on the audit schedule planned for August 2013
20	EU/AusAID Mid Term Review	x	x					On track to be completed in February. Consultants selected.
21	M&E Framework revision & Admin systems re-engineering	x	x					On track to be completed in February 2013. Methodology for assessing and scoring for vulnerability will be a high priority for the TA.

## VII. SIGNATURES

Submitted by: \_\_\_\_\_

Gladys Alailima, Programme Manager, Civil Society Support Programme

Approved by: \_\_\_\_\_

Noumea Simi, CSSP Chair and Imprest Administrator, Ministry of Finance

Date: 5 March 2013

## VIII. ANNEXES

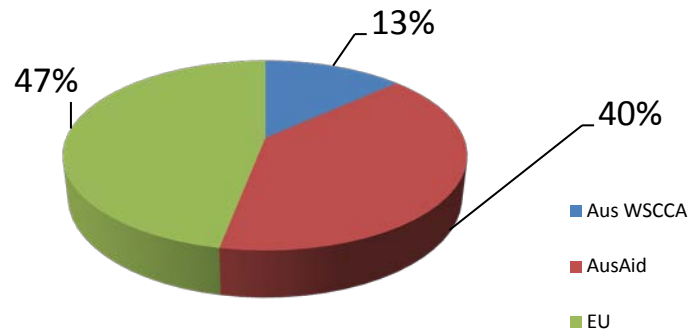
- I. Financial Report/Acquittal – An acquittal report has been submitted to AusAID (up to 31 December 2012) and is ***attached as a separate file*** in this report.
- II. Samoa Government Audit Report – ***attached as separate file*** to this report. Note: The “unqualified” Audit report covers EU and AusAID funds up to June 2011.
- III. Samoa Government Audit Report – ***attached as separate file*** to this report. Note: The Audit report covers EU and AusAID funds up to December 2011.
- IV. Financial Summary of Income and Expenditures ***See Annex below***
- V. Charts and Graphs ***See Annex below***
- VI. A Revised Risk and Fraud Framework (revisions highlighted in yellow) ***See Annex below***
- VII. Views of CSSP Services from an Non Government Organisation and Community Based Organisation ***See Annex below***

**Annex IV Financial Summary of Receipts & Payment for the six months ended 31 December 2012**

Activities and other costs	PE Act	Budget		Actual		Available Balance	
	No	AusAID	European Union	AusAID	European Union	AusAID	European Union
<b>RECEIPTS</b>							
Grants				-	2,696,694		
<b>Sub total</b>		-	-	-	<b>2,696,694</b>		
<b>DEDUCT PAYMENTS</b>							
<b>Result 1</b>							
Category 1, 2, 3 & ICCAI	1.1-1.3	3,053,000	3,231,082	1,304,631	671,479	1,748,369	2,559,603
<b>Sub total</b>		<b>3,053,000</b>	<b>3,231,082</b>	<b>1,304,631</b>	<b>671,479</b>	<b>1,748,369</b>	<b>2,559,603</b>
<b>Result 2</b>							
CSO networking & capacity building support. (SUNGO Contract)	2.1	416,600		246,995		169,605	-
PDM Workshops	2.2	150,000	90,000	132,000	30,000	18,000	60,000
<b>Sub total</b>		<b>566,600</b>	<b>90,000</b>	<b>378,995</b>	<b>30,000</b>	<b>187,605</b>	<b>60,000</b>
<b>Result 3</b>							
CSO advocacy & research support (requires a tendering process to select service providers).	3.1	50,000	50,000			50,000	50,000
<b>Subtotal</b>		<b>50,000</b>	<b>50,000</b>	-	-	<b>50,000</b>	<b>50,000</b>
<b>Result 4</b>							
<b>Programme Operations</b>							
Staff costs	4.1	148,400	191,688	73,985	86,016	74,415	105,672
Operating PMU office	4.2	400	134,480	350	62,810	50	71,670
Secure (CFP), select, & monitor applicant projects	4.3	-	67,370		32,164	-	35,206
Technical / Advisory Support to PMU	4.4	65,000	10,000	16,053	5,164	48,947	4,836
<b>Subtotal</b>		<b>213,800</b>	<b>403,538</b>	<b>90,388</b>	<b>186,154</b>	<b>123,412</b>	<b>217,384</b>
<b>Result 5</b>							
Programme Visibility	5.1	20,000	12,500		10,999	20,000	1,501
<b>Subtotal</b>		<b>20,000</b>	<b>12,500</b>	-	<b>10,999</b>	<b>20,000</b>	<b>1,501</b>
<b>Result 6</b>							
Audit /Evaluation	6.1	11,600	12,880		45	11,600	12,835
<b>Subtotal</b>		<b>11,600</b>	<b>12,880</b>	-	<b>45</b>	<b>11,600</b>	<b>12,835</b>
<b>Result 7</b>							
Capital Investments	7.1	85,000	-	35,566	-	49,434	-
<b>Subtotal</b>		<b>85,000</b>	-	<b>35,566</b>	-	<b>49,434</b>	-
<b>TOTAL</b>		<b>4,000,000</b>	<b>3,800,000</b>	<b>1,809,580</b>	<b>898,677</b>	<b>2,190,420</b>	<b>2,901,323</b>
<b>Contingencies</b>		-	200,000			-	200,000
<b>TOTAL</b>		<b>4,000,000</b>	<b>4,000,000</b>	<b>1,809,580</b>	<b>898,677</b>	<b>2,190,420</b>	<b>3,101,323</b>
<b>Increase / (Decrease) in cash</b>				-	<b>1,798,017</b>		
Cash at 01 July 2012				3,387,703	551,522		
<b>Cash at 31 December 2012</b>				<b>1,578,123</b>	<b>2,349,539</b>		

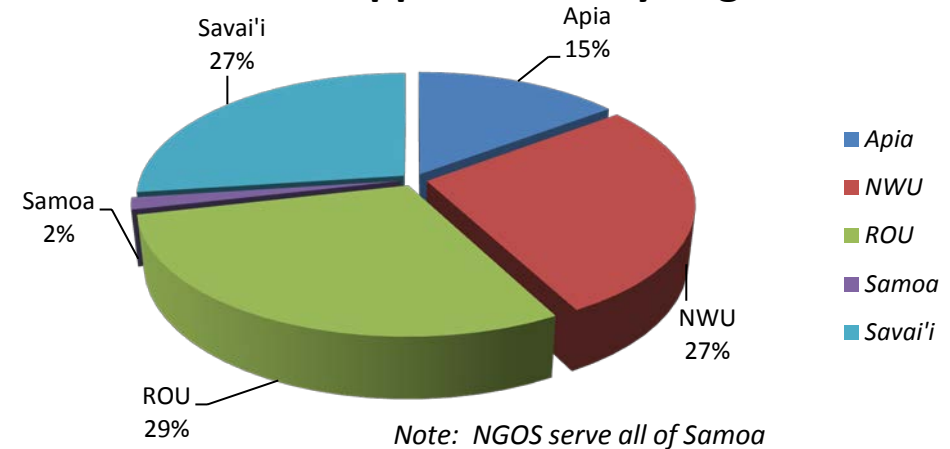
## ANNEX V Charts and Graphs of Approved Projects

**CSSP: All Funded Projects by Donor  
as at 31 Dec 2012**

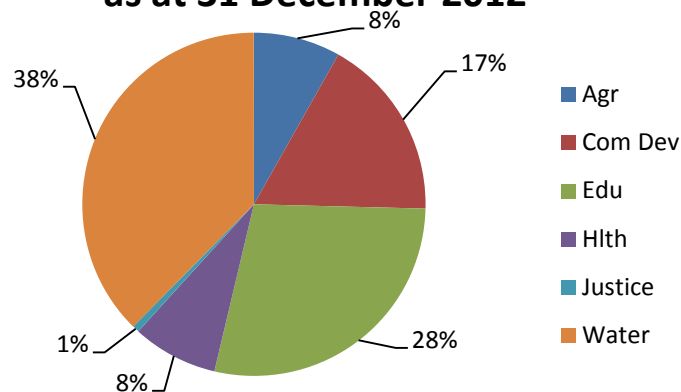


Note: Aus WSCCA are ICCAI climate change funds for water tanks to households.

**CSSP: All Applications by Region**



**All CSSP Funded Projects by Sector  
as at 31 December 2012**



**CSSP \$Approved by Sector**

Agr	634,152
Com Dev	1,335,564
Edu	2,195,284
Hlth	623,883
Justice	50,000
Water	2,915,753

**Grand Total 7,754,636**

**Note:**

This table includes the provisional approvals for Round 3

These figures do not include the six projects terminated early with no funds paid out

**ANNEX VI: Updated Risk Management Matrix for 2012-2013 – Highlighted yellow indicates a revision**

	Area of Risk	Level	Possible Reason for risk	Risk Management Strategy	Comment
<b>1</b>	<b>Project Timelines</b>				
1.1	Failure to meet timeline proposed	Moderate	Delays to key decisions Difficulties in appointing staff	Two instead of three Call for Proposals: Combine Category 1 and Category 2 (mid year), Category 3 separately.	Call for Proposals have kept to deadlines. However, measures are being put into place to cut down the assessment time by at least half or more: (1) future Call for Proposals will increase the number of assessors, (2) database input training has been provided staff to reduce processing time. EU
<b>2</b>	<b>Governance</b>				
2.1	Ineffective Committee	Low	Chairing of Committee Quality of membership Quality of Secretariat support	<ol style="list-style-type: none"> <li>1. Process to select members</li> <li>2. Initial chairing by MOF</li> <li>3. SC operating guidelines in place</li> <li>4. Prompt circulation of agendas and minutes</li> <li>5. Performance of SC as part of audit process</li> </ol>	More timely and more accurate minutes helped by the fact that both managers are engaged in compiling notes and reviewing minutes for accuracy and brevity. The decisions on applicants are within the content of the minutes and not as a separate attachment. SC members are stable (little turn over) and are very committed and engaged with CSSP.
<b>3</b>	<b>Communications</b>				
3.1	Poor communications between Steering Committee and PMU	Low	Breakdown between SC Chair and PMU manager	<ol style="list-style-type: none"> <li>1. Regular meetings between SC Chair and manager</li> <li>2. SC Chair promptly advised of problems</li> <li>3. Regular PMU reporting to SC</li> </ol>	Chair and Programme Manager regularly use e-mail to keep updated and occasional face to face discussions when needed.
3.2	Poor communications between PMU and stakeholders	Moderate	PMU failing to keep CSOs informed about applications process and applicants about progress with applications.	Develop set of communications standards covering <ul style="list-style-type: none"> <li>• Provision of information to CSOs</li> <li>• Advising applicants (progress/responses to queries)</li> </ul>	CSSP Admin process on applications has been recently updated to reflect changes and will be reviewed with staff. It includes a set of standards and procedures for communications to applicants. Applicants are advised through letters of their status. However, most want to

				<ul style="list-style-type: none"> <li>Management of email systems to ensure reliability</li> </ul>	know their status immediately and often do not pick up their letters even though they have been contacted several times. The procedure is after several calls their letter is filed with contact notes.
	<b>Area of Risk</b>	<b>Level</b>	<b>Possible Reason for risk</b>	<b>Risk Management Strategy</b>	
<b>4</b>	<b>Transparent decision processes</b>				
4.1	Risk of bias by SC or PMU under single major source of donor funding	Moderate	Personal contacts of SC/ PMU members, pressure exerted on SC or PMU members	<ol style="list-style-type: none"> <li>1. Fair &amp; transparent selection processes</li> <li>2. Clear COI guidelines &amp; Declaration of interest</li> <li>3. External systems performance audit</li> </ol>	<p>Prior to every Call for Proposals, all forms and guidelines are reviewed by PMU and SUNGO trainers, recommendations put to the SC for review and approval. Revisions are based upon prior experience. Assessors sign COI forms and declare their interests. Sector stakeholders are contacted to review and input on recommended applicants to the SC. SC approvals are very thorough. It is expected that additional measures will be put into place following the MTR (February 2013) that will aid CSSP in its decisions (i.e. contextual information).</p>

<b>5.</b>	<b>Appropriate resource allocation</b>				
5.1	Risk resources are not allocated in line with priorities and policies approved by Steering Committee	Moderate	Lack of clear priorities for allocating funds Lack of clear linked criteria	<ol style="list-style-type: none"> <li>1. Clear priorities for allocating funds agreed by Committee</li> <li>2. Criteria used to approve request link to agree priorities</li> </ol>	<p>The MTR (February 2013) will help the SC and staff to better understand how well CSSP outcomes have been achieved and how to better link activities with outcomes within the larger context. In addition the M&amp;E consultancy will revise the CSSP M&amp;E framework to better collect information and to report on vulnerability, CSO advocacy, and gender equality.</p>
<b>6</b>	<b>Performance of the PMU</b>				
6.1	Lack of satisfactory	Moderate	Poor PMU management	<ol style="list-style-type: none"> <li>1. Development and monitoring of PMU workplan</li> <li>2. Initial training for new staff</li> </ol>	<p>A CSSP completed a staff review of the PMU performance (staff retreat - January 2013) and will put</p>



	performance by PMU		Poor staff performance Lack of staff training Lack of appropriate systems Factors beyond PMU control	<ol style="list-style-type: none"> <li>3. Systems in place before grant cycle commences</li> <li>4. Refer issues beyond PMU control to SC</li> <li>5. Regular monitoring of managers performance</li> </ol>	<p>into place measures to reduce bottlenecks and increase staff performance in their respective roles. Areas have been identified for further HR development.</p> <p>Monitoring of managers performance has been through SC feedback at SC meetings. Programme Manager and Financial manager are engaged in feedback to low performing staff.</p>
6.2	Ability to attract appropriately skilled staff	Moderate to High	Specific skills and experience required for key positions	Ensure attractive salary levels offered	<p>Staff retention is much reduced over the previous year. However, CSSP still needs to review salary packages in light of the low retention rate. CSSP is conducting a preliminary scoping on HR concerns.</p>
6.3	Staff fail to perform to standards required	Low to Moderate	Staff failing to meet expectation or performance management of staff not in place	<ol style="list-style-type: none"> <li>1. HR management system in place</li> <li>2. Performance monitored by manager on regular basis</li> </ol>	<p>A staff retreat to be held January 2013 to review the PMU performance to date and a set of measures is being put into place to address bottlenecks in performance.</p>
6.4	Lack of adequate support and accommodation to site staff	Low	Accommodation of adequate standard expected to be available	<ol style="list-style-type: none"> <li>1. Manager to be responsible for staff welfare</li> <li>2. Provision of suitable quality accommodation</li> </ol>	<p>Financial policies have been reviewed and revised to ensure staff in the field have adequate accommodation and support. Staff have been informed.</p>
6.5	Conflict of Interest Issues for staff	Moderate	Staff will have contact with applicants with risk of obligation especially in a village setting	<ol style="list-style-type: none"> <li>1. COI policy for staff</li> <li>2. Protocols for dealing with applicants</li> <li>3. Support and assistance role to SUNGO</li> </ol>	<p>CSSP has policies in place for gifts (giving and receiving). Applicants are discouraged from excessive gift giving at orientation sessions and prior to site visits. Normally they are requested to provide nothing or just a beverage. All gift funds are politely returned to their donors.</p>
6.6	Risk of excessive payments to contractors or for services, misappropriation of funds etc	Moderate to high	Staff will be dealing with procurement of goods for projects with some office cash handling	<ol style="list-style-type: none"> <li>1. Establish acceptable practices for project management</li> <li>2. Cover through staff disciplinary policies</li> <li>3. Separation of duties in handling financial matters</li> </ol>	<p>Procurement procedures are continually reviewed and revised as necessary. The PMU is addressing audit issues for additional documentation attached to vouchers for better accountability. The Financial manager has met with suppliers to review procedures and expectations. At orientation sessions for approved applicants, the procurement procedures are reviewed. There is separation of duties for the management of funds. All emerging issues are discussed with staff and addressed. Feedback from auditors show good</p>

					progress.
	Area of Risk	Level	Possible Reason for risk	Risk Management Strategy	Comment
7	Funds allocation and grants				
7.1	Lack of sufficient quality applications	Moderate	Applicants may lack skills required to develop applications	<ol style="list-style-type: none"> <li>1. Early and effective promotion of the Fund</li> <li>2. Provision of awareness and training for applicants</li> <li>3. Opportunity for applicants to revise their applications</li> <li>4. Unsuccessful applicants to be referred to later rounds</li> </ol>	SUNGO PDM trainers have been receiving up-skilling training through a technical advisor. Feedback on the applications submitted is shared with these trainers so any emerging issues are addressed and other approaches can be discussed and tried. This area will continue to be improved as it cannot be done overnight. CSSP and SUNGO will need to continue to jointly review progress.
7.2	Pooled fund reduces options open to applicants	Low	Two current funding sources now under one pool	<ol style="list-style-type: none"> <li>1. New fund able to accept wide range of requests Increased overall funding likely</li> <li>2. Information at PMU about other funding sources</li> </ol>	The pooled funds do not necessarily reduce options open to applicants since what can be funded is fairly diverse. However, what applicants are applying for is a fairly narrow range of projects. This list could be expanded with more promotional ideas. A planned stakeholder review is being planned for September 2013 and will engage CSOs in sharing project experiences and best practices including new innovative projects implemented in communities.
7.3	Risk of domination of CSSP fund by larger organizations	Low	Larger organizations have stronger skills and better access to resources	<ol style="list-style-type: none"> <li>1. Priority Category One funds to smaller organizations</li> <li>2. Assistance to emerging organizations when applying</li> </ol>	Not a problem. The approved projects are dominated by the smaller civil society organizations in villages. Much less so by NGOs or the larger organizations.
7.4	Reduced access due to higher level of applications	Moderate	Fewer alternate options to seek support	Overall fund likely to increase over current levels	Donor funds have increased each year. However, as CSSP is in the mid year of its funding agreements there will need to be a review and a high level decision with donors on CSSP's future directions. The MTR report will be important in that regards.
7.5	Confidentiality of applications	Low to Moderate	Other applicants provided with details to applicant disadvantage	<ol style="list-style-type: none"> <li>1. Applicant information confidential to applicant, PMU and SC unless applicant agrees otherwise</li> <li>2. Cover in Code of Conduct for PMU</li> </ol>	SC and PMU do not discuss results of applications unless a final decision has been made. However, some applicants are sharing information among themselves separate from the PMU.

	Area of Risk	Level	Possible Reason for risk	Risk Management Strategy	Comment
<b>8</b>	<b>Project financial mismanagement</b>				
8.1	Goods obtained by procurement are diverted from project	Moderate	Pressure on project managers	<ol style="list-style-type: none"> <li>1. Project Management Committee to monitor project assets</li> <li>2. Site visits by PMU staff to view assets</li> </ol>	Timely monitoring by Project Officers is critical to ensure that the goods purchased are being used appropriately. Any incidences are discussed with the project committee and documented. Applicants are informed that they will need to recover any goods at their own cost.
8.2	Misappropriation of funds provide through acquittal	Moderate	Lack of financial control by project managers	<ol style="list-style-type: none"> <li>1. Project Management Committee in place with responsibility for managing finances</li> <li>2. Committee to have completed financial training</li> <li>3. Withholding of grant payments</li> </ol>	All NGOs have complied with proper acquittal reports except two to date. One NGO was discontinued due to lack of a response to address issues, the other NGO did not have robust systems in place. CSSP direct funded their suppliers. CSSP is now requiring all NGOs funded for Categories 2 and 3 to undergo NGO assessment of their systems using a newly developed tool piloted by SUNGO for NGOs.
<b>9</b>	<b>Donor visibility</b>				
9.1	Donors less visible under new fund	Low	Fund is promoted by CSSP not individual donors	Promotional opportunities that publicly link donors to fund and promote harmonization. CSSP to draft and finalize a visibility strategy that is reviewed and approved by the steering committee. Reports on the visibility strategy 6 monthly to donors.	CSSP logos incorporates the donor logos. CSSP contracts include the applicants responsibility to post CSSP signs so they are visible to the public. The project officers ensure this has taken place.
<b>10</b>	<b>Sustainability (Beneficiaries)</b>				
10.1	Undue reliance by CSOs on donor funds	High	NGOs highly reliant on core funding provisions which may decrease	<ol style="list-style-type: none"> <li>1. Sustainability strategy by NGO to cover <ul style="list-style-type: none"> <li>• seeking alternative donor sources/other revenues</li> <li>• cost reduction – use of volunteers etc</li> </ul> </li> <li>2. Approach to government re civil society support</li> </ol>	Under a CSSP/SUNGO contract, SUNGO conducts NGO assessments of organizations applying for Categories 2 and 3. In addition, an NGO action plan will be developed for each NGO assessed. These will be monitored by both SUNGO/CSSP Project staff.
	Area of Risk	Level	Possible Reason for risk	Risk Management Strategy	Comment
10.2	High NGO Board &	High	Board retention – lack skilled	CSO training be centred around Governance and	The Samoa ICTP programme has been the training

	Staff Turnover		board members, skilled Board members on a number of Boards (overcommitted) Staff retention – unsure NGO future, very low pay, NGO trained staff are hired by Gov. and Private Sector.	Management. NGO develops skills in diversifying funding base to generate resources to build programme and retain staff. Builds skills in networking and strengthening volunteer base.	vehicle for NGOs. The recent change to seriously scale down the programme is providing an opportunity for SUNGO/CSSP to explore training options that can be more localized (local trainers) and more customized to NGO realities (i.e. mini training sessions that can be incorporated into board/staff meetings, and retreats).
<b>11</b>	<b>Sustainability (donors)</b>				
11.1	Withdrawal of donor funds	Low	Donor dissatisfaction with fund	Donor presence on Steering Committee Agreed notice period for withdrawal	Current donors such as AusAID have increased support. Another donor may contribute to the fund. Donors have played an active advisory role in CSSP since its inception.
11.2	Funds reduction after agreed period (4 years)	Moderate	Policy change or desire to reduce aid dependency	Short term (3 year) contracts for PMU staff Sustainability plans by CSO organizations	High level of commitment by government and current donors to keep CSSP progressing forward and supported. AusAID has increased its funding to the region.
<b>12</b>	<b>Contracted Services</b>				
12.1	Failure by SUNGO to deliver services under agreed contract	Low to moderate	Lack of management of contract or poor staff performance	1. Contract performance monitored by PMU/SC 2. Regular reporting to SC against targets	SUNGO will have a M&E framework in place and will need to report on these supported by compiled survey's and other data for 2012-2013. Key SUNGO and CSSP staff have jointly reviewed areas of overlap in the M&E framework and bottlenecks in the timely exchange of information.
<b>13</b>	<b>Other factors</b>				
13.1	GoS seeks control of Fund	Low	Lack of GoS satisfaction with direction of CSSP Fund	Government represented and initial chair Non government majority on Steering Committee	GoS chairs through MoF but ample representation by civil society representations.
NOTE : DELETED 13.2 Major catastrophe- Funds diverted to other priorities					

**Goshen Trust Mental Health Services view of the NGO Assessment completed in August 2013.**

**Importance of taking the NGO Assessment Process with Goshen Trust – Points made by Goshen Trust.**

1. It helps to focus and create new ideas for the future of Goshen
2. Gives us the ability to develop appropriate templates for operational policies
3. Opening doors to training needs of the organisation/how they can best provided.
4. Reminder to fill the missing gaps within the organisation
5. Wake up call for all levels such as Governance, Management/service delivery in regards to their roles.
6. Learnt to understand the key areas to function the organisation internally/externally.
7. Review the legal status of the NGO with MCIL
8. Finance/Risk management policy/procedure
9. Ability to develop new projects
10. Goshen's assets how to secure/store

**Final Comment of the CEO for Goshen Trust**

*The NGO Assessment team found a number of areas where systems need to be introduced to help Goshen as it grows. Here are some examples; Governance Policies/Procedures; Management/Staffreview policies/procedures etc.*

*I found this tool very useful/helpful to support NGOs in Samoa. I have discovered with my external experience that one of the weaknesses within organizations here in our country is development of policies/procedures. The NGO Assessment tool is a weapon to safeguard this downfall. I would like to thank the CSSP/NGO Assessment team/SUNGO with the very significant initiative. Goshen is looking forward to support future developments to ensure we stay in-line with our donors, NGO and Government plans. Fa'afetai tele lava, God Bless - Savea Tutogi Too-Arundell (Feb. 2013)*



**No. 351 Lepa College Water Tank Project**

"You guys are doing great projects. I had attended the opening of the Lepa College Water Tank Project and learned that the students are no longer having to travel to the river to cart water to the school. This is a great improvement for the school. Malo lava CSSP. " Tamasoalii Saivaise, Science Coordinator, Secondary Schools, MESC

