
Kaihono hei Oranga Hapori o te Ao

KOHA-PICD

Partnerships for International Community Development

This Handbook provides New Zealand non-government organisations (NGOs) with all the information they need to access funding made available through the Kaihono hei Oranga Hapori o te Ao (KOHA) - Partnerships for International Community Development (PICD) programme, from the New Zealand Official Development Assistance (ODA) programme.

For additional information contact:

KOHA-PICD Administrator

PO Box 24-464 Manners Street Wellington
Phone: (04) 496 9618
Email: claire-louise@koha-picd.org.nz

Programme Manager, Civil Society

New Zealand Agency for International Development Private Bag 18 901
Wellington Phone: (04) 439 8200 Fax: (04) 472 8515
Email: nzaid@mfat.govt.nz
Website: www.nzaid.govt.nz

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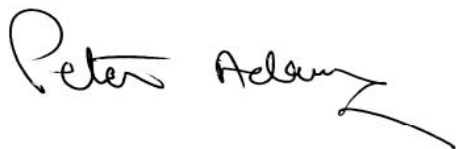
FOREWORD

The Government recognises and supports the valuable role played by non-government organisations (NGOs) in addressing poverty and promoting sustainable development worldwide. Accordingly, we choose to channel a significant proportion of the New Zealand Agency for International Development's funding through NGOs.

The Kaihono hei Oranga Hapori o te Ao (KOHA) - Partnerships for International Community Development (PICD) programme is the core of support, provided by NZAID through New Zealand agencies, to assist NGO community development activities overseas. A comprehensive evaluation of the programme carried out in 2004 found that it is highly regarded by NGOs, is effective and cost-efficient, and is in line with best international practice.

This Handbook sets out the principles, criteria, guidelines and procedures upon which KOHA-PICD is based. It is the product of consultation with the New Zealand NGO community and is designed to be an essential resource for any organisation interested in KOHA-PICD funding. In particular, it introduces provisions enhancing the KOHA-PICD focus on community development, strengthening NGO capacity and organisational learning, and ensuring gender equality and women's empowerment is addressed in all KOHA-PICD projects and programmes.

I am confident that the current, highly effective partnership between the New Zealand government and NGOs in the field of international development, as demonstrated by KOHA-PICD, will continue to grow and strengthen.



Peter Adams

Executive Director New Zealand Agency for International Development

PREFACE

The New Zealand Agency for International Development is grateful to the following people for their invaluable contribution to the production of the second edition (June 2006) of this Handbook:

Members of the KOHA-PICD Programme Management Committee (PMC): Trish Murray, Alan Fletcher, Robert Choy, David Hall, Peter Zwart, Esther Ducai and Sally Jackman, the NZAID Development Programme Manager - Civil Society.

The KOHA-PICD Administrator, Claire-Louise McCurdy

Sue Elliott and Sandra Nowland-Foreman

Members of the KOHA-PICD NGO reference group

The Council for International Development: Rae Julian, Executive Director

Representatives of NZ international development NGOs who participated in workshops and provided comment

Sonya Easterbrook Smith and Margaret Winn, who conducted the Organisational Reviews in 2005 and 2006, and also provided valuable feedback and comment as various drafts of the Handbook emerged.

This Handbook should be regarded as a living document. The contents of the Handbook at the time of publication are subject to ongoing monitoring, review and evaluation. Changes will be made as necessary in light of experience and feedback from NGOs participating in KOHA-PICD. KOHA-PICD registered organisations will be notified of these changes. Organisations should check the content of their version against the updated Handbook, which can be found online at the NZAID website: www.nzaid.govt.nz

This third edition of the handbook is based on changes agreed at the Annual NZAID/NGO Meetings in 2007 and 2008. Thanks to members of the KOHA-PICD PMC, the Disability Working Group and Eleanor Sanderson for their input. Editing was by Mike Bird, NZAID Development Programme Manager - Civil Society and Brenda Dykes – Administrator – Civil Society.

GUIDE TO USING THIS HANDBOOK

This Handbook is a complete guide to using the KOHA-PICD programme. It is divided into nine main Parts, from Part A to Part I. Each Part is divided into sections numbered from 1 onwards. Subsections inside each section are numbered with the number of their section (e.g. 5), then numbered from 1 onwards (e.g. 5.1, 5.2, 5.3 etc.) There are also smaller subsections inside each subsection, also numbered from 1 onwards (e.g. 5.1.1, 5.1.2, 5.1.3 etc.)

A glossary explaining words and terms you might not be familiar with is contained in Part I. This section of the Handbook includes a list of acronyms (such as PMC and GAD) used in the text.

If you are using the KOHA-PICD for the first time, Part A gives you a general guide to KOHA-PICD, including whether your organisation is likely to be eligible for funding.

The Handbook and the application forms are available on the NZAID website www.nzaid.govt.nz and will be updated periodically. Whether you complete an electronic copy of the form or a paper copy, make sure you copy the forms first and complete and send the copy, so that you can use the originals again.

If there is anything in the Handbook you do not understand, or if you need information about the scheme but cannot find it in the Handbook, contact the:

KOHA-PICD Administrator
PO Box 24-464
Manners Street
Wellington

Phone: (04) 496 9618

Email: claire-louise@koha-picd.org.nz

ACRONYMS USED IN THIS HANDBOOK

AM&E	Appraisal, Monitoring and Evaluation
CBO	Community Based Organisation
CID	Council for International Development
DAC	Development Assistance Committee of the OECD
HAF	Humanitarian Action Fund
GAD	Gender and Development
JPOI	Johannesburg Plan of Implementation
KOHA-PICD	Kaihono hei Oranga Hapori o te Ao - Partnerships for International Community Development
MFAT	Ministry of Foreign Affairs and Trade
NGO	Non-Government Organisation
NZAID	New Zealand Agency for International Development/Nga Hoe Tuputupu mai-tawhiti
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
PMC	Programme Management Committee (of KOHA-PICD)
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
TOR	Terms of Reference
UNDP	United Nations Development Programme

INTRODUCTION

The Kaihono hei Oranga Hapori o te Ao - Partnerships for International Community Development (KOHA-PICD) is a co-funding scheme for New Zealand non-government organisations (NGOs) to support the community development programmes and projects of their overseas development partners. KOHA-PICD is funded from an annual grant from the New Zealand Agency for International Development/Nga Hoe Tuputupu-mai-tawhiti (NZ Aid), a semi-autonomous agency of the Ministry of Foreign Affairs and Trade with responsibility for delivering the New Zealand Official Development Assistance (ODA) programme. KOHA-PICD is jointly managed by a Programme Management Committee (PMC) made up of elected NGO representatives and the NZ Aid Programme Manager, Civil Society. An independent chairperson is appointed every three years.

The Maori title Kaihono hei Oranga Hapori o te Ao can be translated into English as: Partners in the Development of Communities throughout the World, as follows:

Kaihono – Partners - the people and organisations that join in the development of the community

hei – for (denoting purpose)

Oranga – Development/Wellbeing

Hapori – Communities

o – of

te – the (singular)

Ao – World.

The word KOHA, the abbreviated form of the name, is commonly associated with the word 'gift' in English, however, it can be used to mean words similar to 'respect', 'regard', 'surplus', 'endeavour', 'effort' and 'reciprocity'. This wider interpretation suggests that the amount of the gift is not what counts. Koha is something that we bring so that we can do our work together.

The name was identified by the Maori caucus of Council for International Development, (CID) who presented the name to the PMC. In doing so, they advised that the name itself suggests commitment to the protection of rights and participation of all those involved in our projects/programmes and processes; our partners overseas, community members and NGOs, vitally including Maori organisations in the NGO sector in New Zealand.

Funding is available for programmes and projects that meet the KOHA-PICD criteria (see Part A) and that are based on the ideals outlined above and accepted development principles and specific criteria defined for different funding opportunities (see Part B).

1. KOHA-PICD PURPOSE

The primary purpose of KOHA-PICD is to improve the lives of people in developing countries by addressing poverty and injustice internationally, through overseas community development projects and programmes supported by New Zealand NGOs.

This will be achieved through:

- providing funding for New Zealand NGOs involved in supporting partners providing high quality overseas community development projects and programmes
- supporting the continuation and development of a strong and effective New Zealand NGO sector involved in development through international partnerships
- facilitating partnerships and linkages between the New Zealand community and New Zealand international development NGOs.

2. NZAID POLICY FRAMEWORK

The NZAID Policy Statement “Towards a safe and just world free of poverty” sets out the agency’s vision, mission, values and guiding principles.

As with all NZAID programmes, support for NGOs will be guided by the operating principles set out in the policy statement. The following statements provide a brief explanation of the key operating principles underpinning the NZAID programme and the KOHA-PICD. References to “poverty elimination” in NZAID policy documents have been changed to “poverty reduction” in order to reflect the NZAID mission statement agreed by Cabinet on 20 April 2009 even though the NZAID policy documents have not yet been amended to reflect this change.

Protecting and promoting human rights

NZAID is committed to protecting and promoting fundamental human rights - civil, political, economic, social and cultural - as set out in the Universal Declaration of Human Rights and all the core international human rights instruments.

Strategic approach to poverty reduction

NZAID seeks to be strategic and outcome-focused in its operations, ensuring that the poverty reduction focus is central to its partnership building, planning and implementation activities.

Sustainability

NZAID is committed to assessing and supporting the sustainability of development outcomes as set out by the 1992 Agenda 21 and, in the context of NZAID’s Pacific focus, the 1994 Barbados Plan of Action.

Equity

NZAID is committed to achieving equitable development benefits for women and men, girls and boys.

Partnerships

NZAID recognises that sustainable development is achieved only through effective partnerships, with a wide variety of partners, which are based on trust, openness, respect and mutual accountability.

Participation

NZAID encourages the rights of women and men, girls and boys to participate in decision-making and other processes that affect their lives. It is committed to greater participation of all people in the self-identification of the causes and consequences of poverty and the means of reducing it.

Coordination

NZAID believes that donors must coordinate their development assistance in ways that allow developing nations to own, control and achieve their development goals.

Access and accountability

In its activities NZAID will encourage ease of partner access and promote mutual accountability.

2.1 Key Mainstreaming Issues

As well as being guided by the key operating principles outlined above, KOHA-PICD is also guided by NZAID's three mainstreaming issues, which are fundamental to all good development programmes and projects:

- gender equality
- human rights
- the environment.

In KOHA-PICD these issues are addressed in the following ways:

2.1.1 Gender equality and women's empowerment

The goal of NZAID's 2007 Policy for Achieving Gender Equality and Women's Empowerment is:

Women and men, girls and boys equally empowered to realise their rights and improve their lives and the wellbeing of their families, communities and societies.

KOHA-PICD believes that development interventions that effectively address gender inequality and women's empowerment are pivotal to the reduction of poverty and the achievement of sustainable human development. Consistent with this approach all programmes and projects funded under KOHA-PICD are required to recognise and promote the key role of women as well as men in development and decision-making.

Development programmes and projects that effectively consider gender equality and women's empowerment aim to:

- approach gender as a community issue and engage men and boys as development partners alongside women and girls in strategies to redress inequality and ensure equitable community outcomes
- use gender/social analysis at the appraisal stage of the project or programme
- engage men and women in the identification of gender indicators to measure programme impact at the start of the programme and processes that facilitate their engagement in monitoring programme progress
- monitor impact using information that describes impacts on men and women, boys and girls separately
- specifically understand and monitor men and women's access and control over resources, participation and decision-making at an individual, household and community level
- understand 'practical' and 'strategic' gender needs and issues and attempt to extend impacts beyond practical gender concerns
- ensure the capability of partners to engage in effective gender and social analysis
- facilitate effective and meaningful participatory processes that engage participants and create safe spaces for women, girls, men, boys and marginalised members to share and reflect.
- demonstrate an awareness of gender roles (productive, reproductive and community) in programme development and activity scheduling.

Addressing equality between men and women requires the use of social and gender analysis. The CID Resource Kit provides an outline of some of the fundamental concepts in gender analysis.

2.1.2 Human rights

KOHA-PICD supports projects and programmes that integrate human rights and development. For NZAID this means bringing together the standards of international human rights with the plans, policies and processes of development.

These norms and standards are those contained in the wealth of international treaties and declarations such as the Universal Declaration of Human Rights, the UN Convention on the Rights of Persons with Disabilities, the Declaration on the Rights of Indigenous Peoples and the Convention on the Rights of the Child. KOHA-PICD recognises that within these rights is the freedom of religion, a freedom which is also supported by the New Zealand National Statement on Religious Diversity.¹

Integrating human rights and development is underpinned by principles including equality and equity, accountability, empowerment and participation.

An integrated approach to development includes the following elements:

¹ The Statement on Religious Diversity was endorsed by the National Interfaith Forum in Hamilton in 2007 and is a project of the New Zealand Diversity Action Programme with the support of the New Zealand Human Rights Commission, Victoria University of Wellington, the Ministry of Social Development and the New Zealand National Commission for UNESCO.

- express linkage to rights (e.g. the right to education, the right to housing or the right of everyone to form a trade union and join the trade union of his/her choice)
- accountability (especially governments, international institutions, civil society, the private sector and individuals. The mechanisms by which these groups are accountable are also important. They should be accessible, transparent and effective)
- empowerment of the poor, women, the war-affected and other marginalised groups such as indigenous peoples and people with disabilities
- participation of people in their own development
- non-discrimination and attention to vulnerable groups.

2.1.3 Environment

The Goal of the NZAID Policy for Environment in International Development is:

A protected and enhanced natural resource base for sustainable development and poverty reduction.

NZAID and KOHA-PICD believe that sustainable development and poverty reduction are only possible if the environment is adequately taken into account. NZAID and KOHA-PICD promote the integration of the three components of sustainable development — economic development, social development and environmental protection — as interdependent and mutually reinforcing pillars.²

New Zealand is committed to various international agreements that prioritise the need for sustainable development. NZAID's policy statement reflects this and identifies the need to consider the environment as a key pillar of poverty reduction.

Poor communities, in both rural and urban settings, are particularly vulnerable to environmental degradation. Action to reduce impacts at this level must involve community partnership and enhance community capacity.

Community development experience shows that community-based and participatory approaches to environmental issues promote solutions that are both locally owned and sustainable over time.

In assessing NGO projects and programmes KOHA-PICD looks for integrated approaches to environmentally sustainable development that include community participation.

NZAID recognises that improving environmental governance and decision-making at all levels – particularly through integrating environment into national planning – is crucial for sustainable development and poverty reduction.

It is important that partner priorities and circumstances are taken into account when designing and implementing programmes. At the same time, NZAID believes that the environment policy goal will be met by seeking to focus on the following two areas:

Enhanced capacity of poor people to manage their environment including:

² The Plan of Implementation of the World Summit on Sustainable Development held in Johannesburg in 2002 (commonly known as the Johannesburg Plan of Implementation - JPOI).

- sustainably managing terrestrial, marine, and freshwater resources crucial to their livelihoods
- preparing for and responding to natural disasters
- preparing for and responding to long-term environment change such as climate change
- accessing environmentally sound and locally appropriate technologies, including energy, water, and waste management.

Improved environmental governance for the poor especially:

- integrating pro-poor environment issues, particularly community-based approaches to environmental management, adaptation to climate change and population policies, into national development planning
- developing locally appropriate policy, legislation, structures, processes and strategies for land and resource planning within accountable governance frameworks
- assisting in the resolution of land and other resource ownership issues, including access and benefit-sharing and reducing environment-related conflict
- achieving locally appropriate environmental protection and enhancement
- including communities in environmental governance.

3. NEW ZEALAND NGOS AND NZAID

NZAID values its partnership with the New Zealand NGO community. Its overarching policy statement “Towards a safe and just world free of poverty” recognises the major contribution made today by civil society, including non-governmental organisations, to New Zealand’s international development assistance efforts.

KOHA-PICD fund policies and practices involve a high degree of collaboration between NZAID and New Zealand NGOs. Principles that guide this relationship are outlined in the Strategic Policy Framework for relations between NZAID and New Zealand NGOs. This is available on-line at <http://www.nzaid.govt.nz/library/docs/nzaid-strategic-policy-framework-1311727.pdf>

4. KOHA-PICD PRINCIPLES AND CRITERIA

KOHA-PICD criteria build on NZAID’s guiding principles. The PMC assesses all proposals to ensure they meet these principles and address the cross-cutting issues outlined in Section 3.

Applications and reports must meet the following KOHA-PICD criteria, which reflect the attributes and processes of sound development practice.

Promotion of self-reliance

Good development aims not just to help people but to empower them, promote dignity and build self reliance. It is a process of enlarging choices for both men and women so that they can make the most of opportunities to realise their own potential and the

potential of their community. Strategies and processes that will empower community members or organisations and build ownership and self-reliance should be considered in programme and project design.

Addressing poverty and injustice

Poverty is one of the major constraints on development. KOHA-PICD programmes and projects should address the causes of poverty, work to change exploitative or unjust situations and benefit the poor and those discriminated against. Programmes and projects that benefit indigenous peoples are encouraged.

Community development and participation

Genuine participation enables the women and men, girls and boys involved in the programme or project to gain control over situations that affect their lives. To achieve this programmes and projects should be based on community members' active participation and be rooted in what they want, choose, learn and do. Both the NGO and its partner should take responsibility for ensuring that such participation occurs, so that the development process is based firmly in the community. In some cases a programme or project may be initiated from outside, but once the programme participants have been identified, they need to be actively and meaningfully involved.

Partnership

Authentic partnerships involve strong, supportive and ongoing relationships that offer mutual advantage. They are characterised by relationships in "which there is a balance that empowers the groups concerned and where the partners gain credibility, legitimacy, autonomy, viability, effectiveness, influence and leverage" (Fowler, 1998). Partnerships centred on a common purpose and values form the foundation for good development.

Human rights

Development includes respect, protection and fulfilment of human rights and a commitment to the rights of people to participate in decision-making and to control and determine their own lives. This requires bringing together the standards of international human rights with the plans, policies and processes of development.

Gender equality

Gender is a fundamental organising feature in all societies and gender inequality is the most prevalent form of social disadvantage within societies. Effectively addressing gender inequality is pivotal to the reduction of poverty and the achievement of sustainable human development. All projects and programmes should demonstrate an understanding and consideration of gender issues and promote gender equality.

Development and persons with disabilities

Many of those with disabilities in a community are the poorest of the poor and their voice is often unheard or ignored. It is important to ensure that community consultations include the views and needs of those with disabilities and that the participation of persons with disabilities in project design, implementation, monitoring and evaluation is allowed for.

Sustainability is understood and ensured

Sustainability refers to continuing the benefits and positive impacts of the project after funding ends. The length of time needed to achieve sustainability will vary depending on the type of programme or project and other factors. Key factors to consider in achieving sustainability include economic and financial viability; gender equality; social, cultural and political acceptability; organisational capability and protection of the natural environment.

Capacity building is integral to programme design

Capacity building underpins sustainability. Capacity building can be defined as "an ongoing process of helping people, organisations and societies improve and adapt to changes around them. Performance and improvements are taken in light of the mission, objectives, context resources and sustainability" (James, 2001).

Good practice in planning and design

Good planning and design are based on a thorough understanding of the programme or project and its context. This will ensure that the project or programme is well conceived; the goal is clear; the objectives are specific, measurable, achievable, relevant and time-bound (SMART); the context is understood and developmental issues have been addressed. How the programme or project is planned and implemented is equally important. Those responsible for the programme or project must have the necessary support, competence and experience to ensure it is soundly managed and viable.

Participatory processes in monitoring, evaluation and impact assessment

Good programme and project management requires the development of appropriate systems for monitoring progress and evaluating processes and outcomes. KOHA-PICD expects community members, as key stakeholders, to be fully involved in monitoring and evaluation. KOHA-PICD supports a learning approach to development and places high priority on the assessment of development impacts. This requires skills and tools that can assist organisations to engage at a deeper level of listening and learning about change in order to maximise developmental impacts.

Assessment and management of risk

All development work carries elements of risk. Risks should be carefully managed and, wherever possible, minimised by identifying them in advance and discussing them with programme or project partners. However, organisations are encouraged to consider support for a range of development initiatives, some of which may be in high risk contexts or have high risk components, yet potential for highly significant impact. In such cases appropriate measures to monitor and contain risks should be put in place and reported on. The KOHA-PICD guidelines on risk and innovation are designed to support such programmes (see Managing Risk and Innovation in Part C).

KOHA-PICD does not **usually** fund the following:

- capital expenditure (including vehicles and equipment) unless they are an integral part of a wider project or programme. (See Guidelines for Capital Funding in Part C for more details)
- recurrent activities (e.g. annual attendance at vocational conferences).

KOHA-PICD does **not** fund:

- religious activities. (See Guidelines on Religious Diversity and Development in Part C for more details)
- party political activities.

5. COMMUNITY DEVELOPMENT

KOHA-PICD is a community development funding scheme that supports a broad range of community-based initiatives addressing poverty and injustice. KOHA-PICD understands community to mean “a self-defined group or network of people who share a common identity”. The term ‘community’ can refer to:

- communities of place or geographic location (e.g. neighbourhood, village or district)
- communities of interest or identity (e.g. ethnic groups, special interest groups, a research group, network, or young leaders, persons with disabilities, advocacy alliances or coalitions and networks of organisations).

5.1 Community Development Values

A community development approach is people-centred and based on values of social justice, social change, participation, empowerment, self-determination, collective action, diversity and human rights.

5.2 Community Development Principles

Community development is defined by the processes that are used to achieve programme or project objectives. Community development initiatives:³

- directly engage community members ‘as active participants’ in their own development
- work collectively with groups or networks
- use participatory and empowering strategies and processes
- work to develop community capacity and leadership
- work to build trust and democratic structures through which resources can be mobilised and key issues addressed.

5.3 A Community Development Approach

A community development approach seeks to enable communities to achieve effective control of their own destinies. It does this through the development of structures and processes which facilitate community identification of their own issues, needs and problems and the means to address them within their own terms of reference (Kenny, S: 1999).

³ Developed from Department of Internal Affairs, 1997

Community development aims to build active and sustainable communities through processes that build on existing community strengths, and actively involves individuals and groups who are discriminated against. Through this process, barriers preventing meaningful participation and access to power structures are identified and addressed.

Community development aims to achieve outcomes within communities that:

- address injustice, poverty and the power structures that maintain communities in poverty
- increase cooperation and collaboration
- increase understanding of rights and how to assert them
- increase community ownership, control and self-determination
- increase capacity to self-manage initiatives and organisations
- resolve conflict
- increase levels of influence, linkages, networks and affiliations
- increase equality of women and girls and seek to include groups that are discriminated against
- ensure equitable outcomes for and increased levels of participation of persons with disabilities
- have positive impacts on livelihoods, living conditions and social, political and economic positions
- enhance community members' ability to reflect, learn, plan and adapt strategies to meet needs.

5.4 Welfare and Community Development

As a community development scheme the KOHA-PICD does not fund direct welfare or social service programmes or projects.

How does a welfare approach differ from a development approach?

Small scale welfare projects and programmes do not usually result in a substantial and broad impact on social and economic conditions in the recipient community. Nor do they necessarily increase community ownership and self-determination. A welfare approach to development will often:

- be externally planned and delivered through pre-formed institutions
- be provided to individuals and families as 'passive recipients'
- provide direct material assistance on a long term basis
- bring relief independent of other sustainable community development strategies
- not be sustainable after the programme or project has ceased.

A welfare or social service approach can typically be seen in institution-based programmes including hospitals, clinics, hospices and orphanages, which provide long term assistance to maintain individuals in a particular condition. These approaches also maintain structures for institutionalised care, such as schools and hospitals.

Institutionally delivered programmes based on a welfare approach, while important in their own right, cannot be supported through the KOHA-PICD, as the ongoing provision of services to individuals does not necessarily promote increasing community empowerment.

NGOs applying to KOHA-PICD for health, disability and institution building programmes and projects must consider how meaningful participation and empowerment can be achieved to facilitate community development outcomes.

6. PARTNERSHIPS IN KOHA-PICD

Partnership refers to relationships in “which there is a balance that empowers the groups concerned; and relationships where the partners gain credibility, legitimacy, autonomy, viability, effectiveness, influence and leverage within their respective societies” (Fowler, 1998).

Strong partnerships between New Zealand NGOs and overseas partners are the backbone of KOHA-PICD. In the context of this Handbook, partnership refers to the relationship between the New Zealand NGO and the developing country organisations it supports and networks it belongs to.

All KOHA-PICD programmes and projects are delivered through partnerships. Funding is only one element of KOHA-PICD partnerships. During organisational reviews over recent years, and following international best practice, KOHA-PICD has learned that effective development partnerships are based on:

- sound social analysis and understanding of the context the partner organisation is working in
- a common vision and sense of purpose, and clearly articulated goals
- complementary strengths
- a sense of equality in the relationship and an understanding of each other’s capacity
- autonomy within the relationship
- shared responsibility and clear understanding of roles (including communication about KOHA-PICD priorities and obligations)
- mutual accountability, listening, learning and trust
- open dialogue and joint decision-making
- a strong, compatible working relationship, based on regular contact and open communication
- long term commitment and common understanding about the future of the partnership
- a constructive method of resolving conflicts and disagreements
- a willingness to compromise and minimise transaction