



Evaluation of the Tuvalu Programme 2018-2021

Final Report

10 May 2023

Document status:	Final Report
Version and date:	V 3.0; 3/05/2023
Author(s):	Jennifer Long, Shaun Foley
Filing Location:	Drive/MFAT/A. Evaluation and reviews/Tuvalu 4YP 2022 /04 Deliverables/4. Report
Peer / technical review:	Nick Leffler, Ned Hardie-Boys
Verification QA changes made:	Jennifer Long, Nick Leffler
Proof read:	Otis Boyle
Formatting:	Nathan Liu, Francesca Ancillotti, Nick Leffler
Final QA check & approved release:	Nick Leffler, Senior Consultant



+64 4 890 7300
office@allenandclarke.co.nz
www.allenandclarke.co.nz



Quality
ISO 9001

Allen + Clarke has been independently certified as compliant with ISO9001:2015 Quality Management Systems



Table of contents

Executive summary	3
1 Introduction	6
2 About this Evaluation	13
3 Findings: Relevance and Coherence	19
4 Findings: Efficiency and Effectiveness	28
5 Findings: Achievement of Activity Objectives and Strategic Goals.....	34
6 Findings: Sustainability of Current and Future Support.....	49
7 Conclusions and Recommendations	56
Appendix 1 – Evaluation Objectives and Questions.....	61
Appendix 2 – Evaluation Criteria and Standards	63
Appendix 3 – Core Project Descriptions	78
Appendix 4 – Timeline of Core Projects Delivered in Tuvalu over the Evaluation Period ..	81
Appendix 5 – Alignment between Tuvalu’s National Strategic Policies and New Zealand’s Work in Tuvalu 2018 – 2021.....	82
Appendix 6 – Summary of Findings against the Four ICESD Quality Domains	86



Executive summary

Tuvalu is a Polynesian country with nine inhabited coral islands scattered in a chain over 676 km and with a population of approximately 12,000 people. Tuvalu and New Zealand have strong historical and whakapapa (kaiga) ties, with over 5,000 Tuvaluan diaspora living in New Zealand. New Zealand currently operates a non-resident high commission in Wellington, from which it coordinates bilateral engagement and development cooperation with Tuvalu.

In line with the Pacific Reset, New Zealand introduced a Four-Year Plan (4YP) approach in 2017 outlining 20-year strategic priorities, medium-term outcomes, and short-term outcomes. Priorities for the 2018-2021 Tuvalu 4YP focused on three areas: climate change resilience, fiscal management, and a mutually beneficial New Zealand-Tuvalu bilateral and regional relationship.

The Evaluation

This strategic evaluation was commissioned by the Ministry of Foreign Affairs & Trade (MFAT) to assess the achievements, coherence, and strategic direction of MFAT's programme with Tuvalu between July 2018 and June 2021. The four key objectives of the evaluation are to:

1. assess alignment and coherence of MFAT's engagement in Tuvalu over 2018-2021
2. assess achievement of strategic goals articulated in the 4YP and New Zealand's impact
3. assess effectiveness and efficiency of New Zealand's approaches and ways of working to achieve desired strategic objectives, and
4. offer insights into the sustainability of current and future support.

The evaluation period overlaps with the emergence of the COVID-19 pandemic – both the work and data collection for the evaluation were impacted by challenges associated with border closures that remained in place until December 2022. The evaluation was conducted largely from New Zealand, supported by local staff who undertook in-person interviews in Tuvalu, including in two outer islands. Interview notes (68) and documents (95) were analysed to answer the strategic evaluation questions.

Findings

New Zealand engagement in Tuvalu in 2018-2021 focused on priorities outlined in Tuvalu's national strategic documents. Activities including direct budget support, contributed to revenue generation for the Government of Tuvalu or supported access to key services (e.g., water, healthcare) for the population.

New Zealand's work is responsive to New Zealand's priorities as outlined in the 4YP, and New Zealand's International Cooperation for Effective Sustainable Development (ICESD) quality domains, with strengths around resilience and further opportunities in relation to effectiveness, sustainability, and inclusiveness.

New Zealand is working well with other donors in Tuvalu. We found evidence of complementary activities and no duplication. There are mechanisms to promote coherence



between donors and agencies, and while these are working well, there are opportunities to improve knowledge and information sharing and consistency of communication.

COVID-19 had a large impact on New Zealand's activities in Tuvalu during the evaluation period and it is difficult to draw objective conclusions about what might have happened in the absence of this disruption. Numerous projects were delayed and/or experienced cost escalations. Some of these delays related to shipping of materials and recruitment of local staff with necessary specialist skills.

New Zealand's activities drew strongly on activities from previous years, built synergies across activities, delivered efficiencies through regional projects, and focused on a relatively small number of sectors. A mix of modalities balanced the relative cost, local ownership, and impact trade-offs of each modality across the programme of work.

There was mixed achievement of immediate objectives across the programme. In some cases, progress has been made but outcomes are yet to be achieved (e.g., in water resources management). Capacity-building appears to be working in some areas, but impact was limited by staff vacancies, staff movement, and buy-in from local departments. Results and anticipated outcomes are typically clear, and specific reviews of core pieces of work were undertaken to increase the learning and evidence base. There are opportunities to improve monitoring of how the outputs of New Zealand's activities are being used, as well as medium-term outcomes, to better understand likely impact on the 4YP.

The impacts of many of the projects delivered during this period may only be realised over several years, and thus our assessment for many projects pertains to an evaluation of likely impact. New Zealand's work generated short-term and likely long-term impacts for fiscal strengthening, but it is too early to ascertain impact in relation to climate change activities due to delays in project delivery. Bilateral engagements increased in the initial part of the evaluation period. However, the relationship did not grow stronger over the full evaluation period due to the inability to engage face-to-face during the COVID-19 pandemic and the off-shore commission. Legacy activities, such as the borrow pits remediation and renewable energy infrastructure, are continuing to deliver benefits in Tuvalu, although the benefits of the renewable energy infrastructure are declining due to maintenance issues.

New Zealand's activities in Tuvalu sought to promote sustainability of project outcomes by working to build local ownership through consultations and close collaborations with respective local government departments. Capacity building was often integrated into project delivery, and at times specific budgets and maintenance plans were developed prior to project conclusion. However, the absence of explicit maintenance budgets from project outset, the impact of population mobility on capacity building, and the wider context of coastal degradation and maintenance capacity, indicate that New Zealand's current and future projects are likely to experience sustainability challenges without further investment.

Criteria assessment summary

The evaluation assessed the 2018-2021 programme against the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation



criteria using a three-point rubric developed for this evaluation. We assessed the programme as meeting or exceeding expectations on each of the DAC criteria.¹

Criterion	Assessment
Relevance	Exceeding expectations
Coherence	Meeting expectations
Efficiency	Meeting expectations
Effectiveness	Meeting expectations
Impact	Meeting expectations
Sustainability	Meeting expectations

Recommendations

1. Offer long-term investments in a select range of sectors.
2. Build a senior in-country presence to strengthen key relationships, visibility of projects and local needs, and monitoring of activities and outcomes.
3. Improve staffing levels, staff retention, and rotation across the Tuvalu bilateral MFAT team.
4. Continue to invest in regular donor communication and collaboration.
5. Work with Tuvalu and other regional partners to develop a Pacific approach to labour mobility that is cognisant of the impacts on local capacity.
6. Undertake a review of the medium-term outcomes of the scholarship work in Tuvalu, and scholarship uptake, to inform actions and better align these with local needs and circumstances.
7. Ensure that infrastructure planning considers coastal conditions in the choice of materials and future maintenance plans.
8. Plan capacity building activities with an expectation that these will be impacted by population mobility; repeat or ongoing capacity building may be needed to ensure capacity is maintained.
9. Improve the accountability for maintenance of infrastructure, for example by explicitly including accountability for maintenance budgets as part of initial partnership agreements.
10. In future work, utilise inclusive approaches across programme delivery processes to enhance equity and measurement of outcomes for women, children, youth, rural populations, and other marginalised groups.

¹ Three-point rubrics were developed drawing on the priorities and considerations raised through the Phase 1 interviews and were presented to the steering committee for comment before being finalised. Senior evaluation team members conducted an internal workshop to review the weight of evidence against each of the criteria to inform the criteria judgements.

1 Introduction

1.1 Tuvalu Country Context

Tuvalu is a Polynesian country with nine inhabited coral islands that are scattered in a chain over 676 km. The Islands include both atolls and reef islands, split into Northern, Central, and Southern groups. The atolls are Nanumea, Nui, Nukufetau, Funafuti, and Nukulaelae, while the reef islands are Nanumanga, Niutao, Vaitupu, and Niulakita. Given the location of the islands, the ocean is central to the lives and livelihoods of Tuvalu communities. Genealogical networks, land and environment, cultural and linguistic heritage, and Christian spirituality, are some key aspects that inform the ways of living in Tuvalu. There is emphasis on the importance of community, community consensus, participation, relationships, and reciprocity.

Tuvalu's total population is estimated to number around 12,000 people.² While its landmass and population are one of the smallest in the world, Tuvalu is ranked 38th in the size of its Exclusive Economic Zone (EEZ) at 749,790km², which provides the country with valuable marine resources. Approximately 4,700 Tuvaluans live in New Zealand,³ the second largest expatriate Tuvaluan population after Fiji. Their contribution to their families' household income through remittances is significant.

Table 1: Key human, economic and environmental statistics for Tuvalu⁴

Statistic	Metric (year)
Population	12,000 (2021)
Population density per sq. km	397.5 (2021)
Population growth rate	1.2% (2021)
Under 5 mortality (per 1,000 live births)	24 (2019)
Life expectancy at birth (years)	Female: 70 / Male: 66.1 (2019)
Secondary enrolment rate	Female: 47.2% / Male: 35.4% (2021)
Adult literacy rate	95% (2021)
Share of parliament seats held by women	6.3% (2021)
GDP per capita	AU\$6,537 (2021)
Annual GDP growth	1.5% (2021)
Population <5m above sea level	100%

As a small island state that is located far from the major economic and population centres, Tuvalu faces challenges like other small Pacific Islands, including dispersed land area; vulnerability to climate change and dramatic weather patterns; limited internal capacity in government due to a small population; narrow economic base; limited arable land; limited

² [UN Data App - Tuvalu](#)

³ [Stats NZ – 2018 Census ethnic group summaries](#)

⁴ Sources: [World Bank](#); [UN Data App](#); [UNDP](#); [UNCTAD \(2012\)](#); [IME](#); [IHME](#); [UNDESA](#).



private sector; and limited opportunities for employment in the formal sector. However, geographic isolation also enabled the country to avoid the worst impacts of the COVID-19 pandemic. Like many Pacific Islands during the COVID-19 pandemic, indigenous knowledge about localised ways of living (such as subsistence fishing and gardening) has provided a safety net for communities, lessening the economic and social impacts faced by other countries.

The Tuvalu resident population, while small, is concentrated onto a very small amount of land, resulting in one of the highest population densities in the Pacific. Despite its small size, Tuvalu has a strong regional voice on issues that are critical to the country – in particular, climate change. In 2019, as host of the Pacific Islands Forum Leaders Meeting, Tuvalu utilised its leadership position to emphasize the climate crisis to encourage urgent regional policy action.

Te Kete, which roughly translates as the basket, is the current ten-year national strategy for sustainable development (2021-2030).⁵ Te Kete represents a repository which stores and preserves Tuvaluan traditional knowledge and wealth that can be utilised to support daily community needs and wellbeing. The plan works towards a resilient future with a vision of peace, prosperity, and resilience, underpinned by traditional cultural values and Christian faith. The five key focus areas of Te Kete are the enabling environment for sustainable development, economic development, social development and inclusion, islands and culture, and infrastructure development. Te Kakeega (III), the national strategy document for 2016-2020, is structured differently but broadly focuses on these same areas.

Tuvalu has developed strong partnerships with various donors and countries. This has helped capacity building within Tuvalu and strengthening its national foundations. The most active countries and organisations include New Zealand, Australia, Republic of China (Taiwan),⁶ Japan, United Nations Development Programme, Asian Development Bank, the World Bank, the Adaptation Fund, and the Green Climate Fund. The Republic of China (Taiwan) has a resident embassy in Tuvalu and Australia established a High Commission in Tuvalu in 2018.

1.2 New Zealand's Engagement with Tuvalu

The Pacific Reset in 2017 brought an increased focus on New Zealand's relationship with the Pacific region. For Tuvalu, the Pacific Reset meant a significant increase in New Zealand's development assistance and a stronger focus on engagement on policy issues. New Zealand's assistance focused on supporting Tuvalu's resilience, noting the impact of climate change on prosperity.

A Four-Year Plan (described below) was developed in 2018 to guide the bilateral work in Tuvalu. In 2019, then Tuvalu Prime Minister Enele Sopoaga and then New Zealand Deputy Prime Minister Winston Peters signed a New Zealand-Tuvalu Statement of Partnership (the Partnership), affirming the principles and priorities under which the Government of New Zealand and the Government of Tuvalu will cooperate, coordinate, and partner in agreed priority areas. The Partnership is based on five key principles to guide and deepen the relationship between the two countries: understanding, friendship, joint benefit, collective

⁵ [Te Kete – Tuvalu National Development Strategy for Sustainable Development 2021-2030](#)

⁶ Tuvalu is one of four Pacific Island countries to continue to recognise the Republic of China (Taiwan).



ambition, and sustainability. It also affirmed the shared values of upholding and advancing human rights and a commitment to regional and international frameworks that protect and promote those values, while respecting cultures and traditional customs. In the Partnership agreement, New Zealand and Tuvalu identified a set of common priority areas for ongoing cooperation and building deeper engagement, including:

- Partnership – sharing knowledge and collaborating.
- Climate Change – recognising this global issue as the single greatest threat to the livelihoods, security, and well-being of the peoples of the Pacific.
- Peace and Security – working towards a safer Pacific community.
- People – growing Tuvalu’s human capital.
- Prosperity – supporting a resilient and prosperous economy.

Bilateral relations are administered out of Wellington after accreditation was shifted from Suva in 2015. The New Zealand’s High Commissioner to Tuvalu is based in Wellington and is supported by a Wellington-based Programme Manager and Policy/Development Officer, and a locally employed staff member in Funafuti. Tuvalu’s High Commissioner to New Zealand is based in Wellington.

1.3 About the Tuvalu Programme

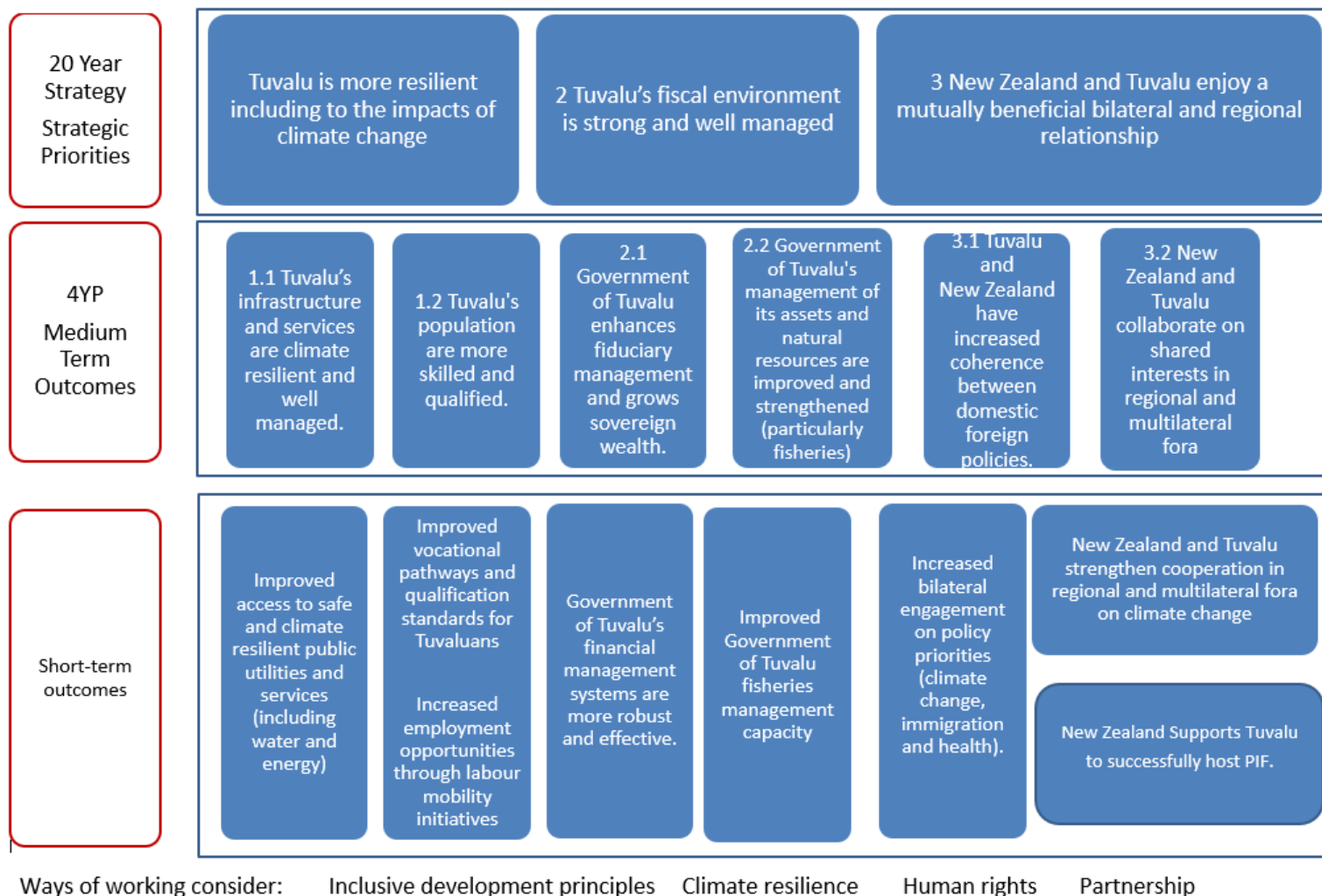
In line with the Pacific Reset, MFAT’s Pacific and Development Group (PDG) Four Year Plan (4YP) approach was introduced in 2017 to work towards a more resilient nation, underpinned by values of hononga (connection) based on whanaungatanga between New Zealand and Tuvalu. The Plan outlined 20-year strategic priorities, four-year medium-term outcomes, and short-term outcomes. Priorities for the strategy focused on three areas: climate change resilience, fiscal management, and a mutually beneficial New Zealand-Tuvalu bilateral and regional relationship. The priorities and outcomes for New Zealand’s bilateral cooperation with Tuvalu is articulated in the 4YP. The 20-year strategic priorities and 4YP medium and short-term outcomes are outlined in the logic diagram in Figure 1 below.

MFAT funding for activities in Tuvalu is divided between “core” bilateral activities and funding to regional or “non-core” activities that operate across multiple countries. Core and non-core activities may overlap or have synergies, for example through shared delivery partners or complementary work streams. Tuvalu also participates in New Zealand’s Recognised Seasonal Employer (RSE) scheme, and after this evaluation period, signed up to the Pacific Agreement on Closer Economic Relations (PACER) Plus (ratified 2022).

In this evaluation, we were particularly interested in projects that started after mid-2018 as they relate to the 2018-2021 4YP. New Zealand’s 2018-2021 work primarily focused on sectors where New Zealand had historically provided support to Tuvalu (finance, governance, fisheries, maritime, and health). During the 2018-2021 period, New Zealand also initiated water management and water security projects with Tuvalu.



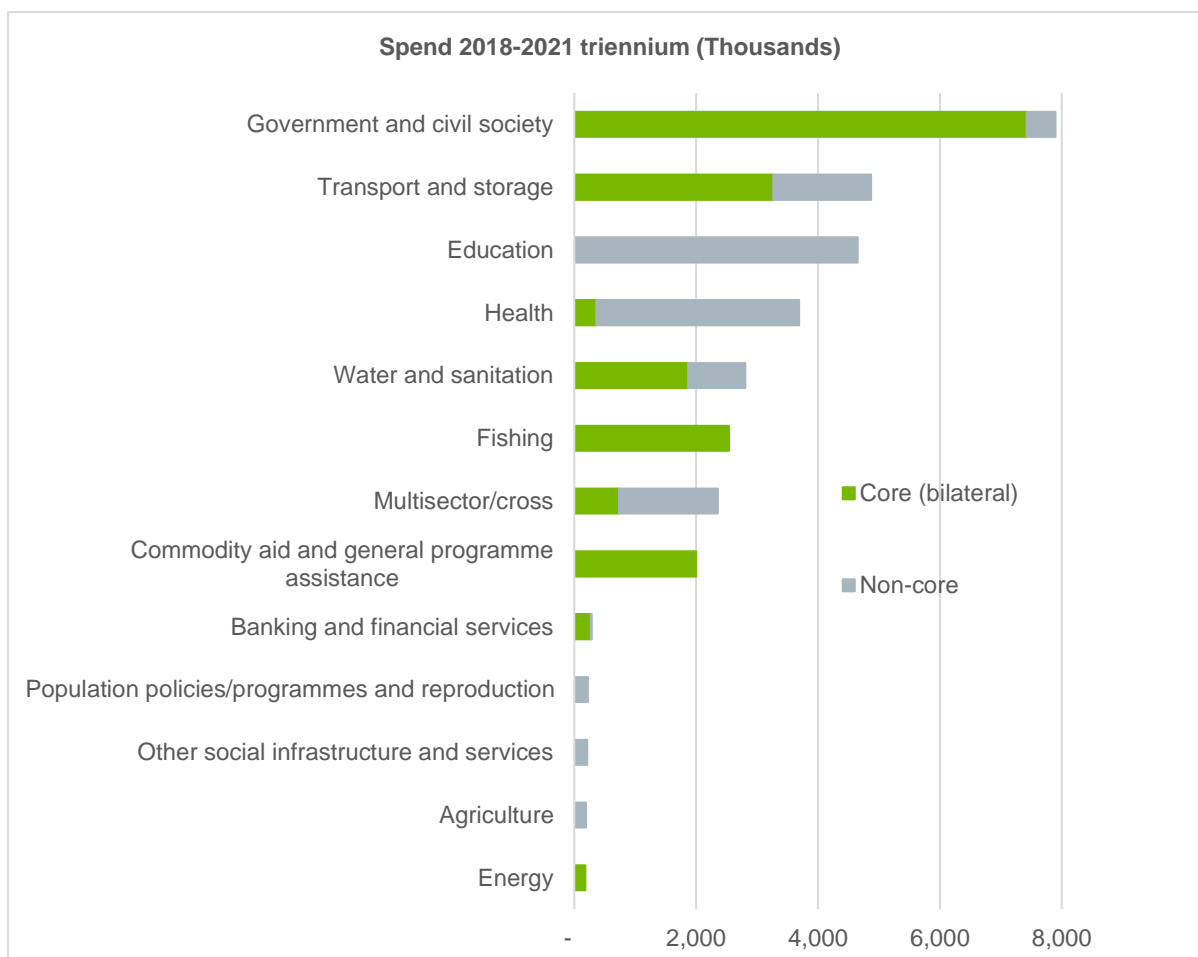
Figure 1: Tuvalu Programme Logic Diagram, 2019 version



Non-core and regional projects make up 37% of the total funding to Tuvalu, of which nearly half (45%) was allocated to scholarships for Tuvalu citizens. Other non-core projects include health initiatives, maritime and aviation safety, and climate-change related projects.

During this period, high-level bilateral engagements occurred around the signing of the 2019 Partnership and the Pacific Islands Forum in 2019. See Appendix 4 for a timeline of core Tuvalu projects. Figure 2 demonstrates the core and non-core funding spent in different sector types in the 2018-2021 triennium.

Figure 2: Core and non-core funding by DAC sector



1.4 COVID-19 Context

The evaluation period overlaps with the emergence of the COVID-19 pandemic. Tuvalu, like New Zealand, closed its international borders in March 2020. Borders were not reopened until late 2022. By this time, COVID-19 had been detected in the community. With closed borders, there were significant disruptions to Tuvalu's economy, particularly for shipping. Government focus shifted away from priority cooperation areas towards pandemic preparedness and response. There were substantial barriers to the delivery of projects and to communications between New Zealand and Tuvalu. Importantly, COVID-19 prevented any face-to-face engagement which significantly impacted the ability for New Zealand and Tuvalu to maintain regular bilateral engagement.



1.5 Policy Context

New Zealand has a range of strategic policy objectives for its international engagement and partnerships. Core strategies are outlined below; many of these have been initiated following the evaluation period but align with principles articulated in MFAT's policy for International Cooperation for Economic and Sustainable Development (ICESD) and earlier documents.

Table 2: New Zealand's strategic policy objectives

Strategic objectives / policy	Summary
Pacific Reset (March 2018)	This cabinet paper focuses on building relationships in the Pacific, including coordination with other countries in the region. It also includes a focus on providing support for Pacific countries' prosperity, security, and resilience.
New Zealand's International Cooperation for Effective Sustainable Development (ICESD) (2019)	ICESD includes a range of principles for international development including 4 Quality domains (effective, inclusive, resilient, and sustained).
Reset to Resilience (November 2021)	This cabinet paper focuses on partnering in the Pacific, and a focus on long-term resilience, Sustainable Development Goals, regional and multi-lateral action.
Child and Youth Wellbeing Strategic action plan (2021-2025)	This action plan focuses on child and youth involvement in society, including youth employment, equitable access to service development, and representation with decision making.
Gender Action Plan (2021-2025)	This action plan focuses on gender equality and women's empowerment. Strategic priorities include increasing "principal" gender activities to 4% of official development assistance (ODA) and "significant" gender activities to 60% of ODA and building gender mainstreaming capacity within the Ministry and partners.
Human rights strategic action plan (2021-2025)	This strategic action plan focuses on increasing capacity and capabilities of local institutions and relevant international agencies, integrating human rights into crisis responses, mainstreaming human rights and empowering rights holders.
Inclusive development framework (Draft)	The framework sets out goals and priority outcomes related to improving equality, including equitable participation in the benefits of development. The framework places priority on groups experiencing discrimination and exclusion.
New Zealand's Pacific and Development Climate Action Plan (2019-2022)	This plan focuses on increased funding, amplifying Pacific voices, New Zealand's own engagement and leadership in climate change forums and issues. Adaptation activities to include water security, food security, disaster risk-reduction, ecosystems, infrastructure resilience and preparing for, or averting climate mobility.



Other international agreements have implications for shaping MFAT’s broader objectives (in part through their influence on the above policies) and how the work is implemented in Tuvalu. A sample of these is outlined in Table 3 below.

Table 3: International agreements of relevance to New Zealand’s work in Tuvalu

International agreement	Summary
Paris Agreement (2015)	New Zealand committed a large financial contribution to climate change efforts (\$300 million for 2018-2021). This funds mostly regional initiatives, which also cover Tuvalu.
Paris Declaration on Aid Effectiveness (2005)	This declaration sets out a range of core implementation activities designed to increase the effectiveness of aid. It is focused on ownership, alignment to local objectives, harmonization between donors, focusing and measuring results, and mutual accountability.
Global Partnership for Effective Development	An international partnership, drawing on the Paris Declaration on Aid Effectiveness. It is focused on improving the effectiveness of cooperative activities through country ownership, results focus, inclusive partnerships, transparency, and mutual accountability.
Small Island Developing States Accelerated Modalities of Action (S.A.M.O.A. Pathway) (2014-2024)	This conference outcome statement focuses on collaboration around support for, and partnering with SIDS, including a focus on ensuring their voices are heard on international forums. It also acknowledges unique challenges of SIDS.
Pacific Agreement on Closer Economic Relations (PACER) Plus	This is a free trade agreement between New Zealand, Australia, and several Pacific Island countries. This policy was ratified by Tuvalu in 2022.
Framework for Resilient Development in the Pacific (2016) ⁷	The framework provides voluntary guidance on climate and disaster risk management.
Boe Declaration on regional security (2018)	A security declaration signed by members of the Pacific Island Forum. It focuses on regional responses to security and takes an expanded concept of security (including human, cyber and environmental).

⁷ [Framework for Resilient Development in the Pacific 2017-2030](#)



2 About this Evaluation

The purpose of this evaluation was to assess the achievements, coherence, and strategic direction of MFAT's Tuvalu Programme over July 2018 to June 2021. The evaluation assessed what worked well in the programme and the areas that could be strengthened. The evaluation aimed to contribute to a stronger evidence base and deeper understanding of MFAT's contribution to Tuvalu's priorities over this period and offer insights into future priorities in a changing context impacted by COVID-19 and climate change.

The evaluation sought to provide evidence and insight on:

- Tuvalu 4YP and effectiveness in delivering outcomes, including development quality
- overall coherence and alignment of New Zealand's support and approach with long-term strategic goals
- progress towards achieving longer term outcomes and likely impact and sustainability
- learnings for ongoing 4YP planning and management
- MFAT's engagement with Tuvalu, and
- achievements to partners, stakeholders, and taxpayers.

The four key objectives of the evaluation, and related key evaluation questions, are summarised below. The full wording of the evaluation questions is provided in Appendix 1:

1. Assess the alignment and coherence of MFAT's engagement in Tuvalu 2018-21, including with Tuvalu's priorities for national development, New Zealand's strategic objectives, and consistency with New Zealand's ICESD Policy and international guidance around donor alignment.
2. Assess the achievement of strategic goals articulated in the 4YP and New Zealand's impact around these strategic priorities. Also assess the success of the response to COVID-19 and other socio-economic trends.
3. Assess the effectiveness and efficiency of New Zealand's approaches and ways of working to achieve desired strategic objectives. Include an assessment of partnership and collaboration with Tuvalu's leaders, other New Zealand government agencies and other donors.
4. Offer insights into the sustainability of current and future support and offer learnings into how the achievement of 4YP can be maximised.

2.1 Scope

The evaluation of the Tuvalu programme was a strategic evaluation of the 4YP. It did not assess individual activities in detail but utilised evidence of success (or otherwise) to contribute to overall findings. The evaluation focused on the progress and achievements against the Tuvalu 4YP between July 2018 and June 2021 by considering development activities and New Zealand and Tuvalu's bilateral engagement. Some non-core activities received more focus



than others, based on scoping feedback from the Government of Tuvalu and MFAT, size of funding provided, and availability of information. To provide a longer-term view, we also explored the longer-term impacts of four legacy activities (the Tuvalu Trust Fund, renewable energy projects, the ship to shore, and the borrow pits).

2.2 Approach and Methodology

New Zealand's whanaungatanga with Tuvalu is important, as New Zealand is home to one of the largest communities of Tuvaluans living overseas. A key part of the evaluation was ensuring that we incorporate the voices and understanding of the Tuvaluan community. We approached this through incorporating views of the Tuvalu diaspora in New Zealand, outer island communities in Tuvalu, and centred the evaluation in Tuvaluan research.

The approach, method, and tools have been selected and designed as they:

- Build on New Zealand's partnership approach to Pacific engagement through hononga, and Pacific evaluation principles outlined in the Pacific Monitoring, Evaluation and Learning Capacity Strengthening Rebbilib.
- Integrate guiding principles from New Zealand's ICESD Policy, Organisation for Economic Co-operation and Development's (OECD) Quality Standards for Development Evaluation, and the United Nations Evaluation Group's (UNEG) Integrating Human Rights and Gender Equality in Evaluation guidelines.
- Adopt a culturally responsive evaluation focus and process that includes Indigenous capacity and capability building.

We put together a Pacific-led team with Tuvaluan fluency across most of the evaluation – this ensured that proper cultural protocols and understandings guided our approach. For example, we applied Pacific-Indigenous methodologies, including talanoa, and appropriate cultural protocol that demonstrates respect and reciprocity. We also drew on genealogical connections (whakapapa) to establish and reinforce trusted relationships conducive to sharing knowledge and information.

We employed a participatory approach that included stakeholders from the different islands in Tuvalu. We sought views of key stakeholders that were involved in implementing, directing, and managing the programmes and projects. We also included engagement with key beneficiaries in the community, such as the community living next to the borrow pits, the Kaupule, Falekaupule, and community representatives in two outer islands. Interviews included women and representatives of minority groups, such as youth and people living with disabilities, while upholding research ethics standards in engaging such groups. Consideration of these groups was guided by the UNEG Integrating Human Rights and Gender Equality in Evaluation guidelines.

The evaluation was delivered in two phases – a scoping phase to understand priorities of respective stakeholders, followed by a data collection and analysis phase.



2.2.1 Phase 1

Phase 1 involved determining the scope of the evaluation. Key stakeholders were involved early to develop an understanding of needs and priorities of New Zealand and Tuvalu for the evaluation. A mixed methods approach was used with emphasis on a document review to scan for key scoping information and targeted stakeholder interviews. In addition to video call briefings and interviews with relevant MFAT stakeholders, face-to-face interviews were conducted in Funafuti and Suva with the Office of the Prime Minister, the Ministry of Finance and Economic Development, the Ministry of Foreign Affairs, the Ministry of Fisheries and Trade, the Ministry of Public Works, the Ministry of Health, and three NGOs working in the social sector. One development partner interview was carried out with the Australian Department of Foreign Affairs and Trade (DFAT) to gain a preliminary understanding of the key areas of focus relating to donor coherence.

A rubric for assessing the criteria was developed, drawing on official definitions of the OECD Development Assistance Committee (DAC) evaluation criteria, and based on considerations raised through the Phase 1 interviews. This was presented to the evaluation steering committee for comment before being finalised.⁸ Judgements are based on these rubrics, provided in Appendix 2.

2.2.2 Phase 2

Phase 2 focused more explicitly on the evaluation scope and questions clarified through Phase 1. It involved interviews with 58 key informants and a review of over 90 documents. Our team in Tuvalu and Fiji conducted in-person interviews and visited two outer islands (Niutao and Vaitupu) as part of data collection. Some interviews with Tuvaluan stakeholders were conducted online. The evaluation also involved sense-making sessions of the preliminary findings with four MFAT staff, 16 Government of Tuvalu stakeholders, five Tuvalu civil society organisations, eight community members and representatives, and four regional organisations and other donors to support explanation and interpretation of the emerging findings. 11 key informants interviewed in Phase 1 were re-interviewed in Phase 2. In total, 68 different stakeholders were interviewed across Phase 1 and Phase 2. The final sample is displayed in Table 4 below.

Table 4: Interview sampling

Stakeholder group	Abbreviation code	Number of interviews (Phase 1)	Number of interviews (Phase 2)
Current and former Country Programme managers and staff	MFAT	4	6
Government of Tuvalu Ministers and Officials	GOT	11	15

⁸ The evaluation steering committee was set up to guide and oversee the evaluation. The committee included MFAT Tuvalu bilateral team members, thematic leads and MFAT evaluation staff, as well as staff from the Tuvalu high commission in Wellington.



Stakeholder group	Abbreviation code	Number of interviews (Phase 1)	Number of interviews (Phase 2)
Regional programme staff within MFAT and other relevant New Zealand Government agencies	MFAT NZGovt	1	11
Development partners working in Funafuti, and regional and multilateral partners based in Suva	Donor RegOrg	2	4
Tuvalu civil society organisations including the National Council of Women, National Youth Council, Tuvalu Family Health Association, Fusi Alofa Association (disability), Tuvalu Red Cross Society, Kaupule, Falekaupule, the Church of Tuvalu (EKT), and private sector representatives	TCmty NGO	2	21
Tuvalu community representatives in New Zealand	Diaspora	1	1
TOTAL		21	58

To ensure a wider-Tuvaluan view, we also spoke with community members and Kaupule on the outer islands of Vaitupu and Niutao to explore their experiences of the impact of New Zealand's work on these islands. Tuvaluan evaluation participants were located on the following islands or identified these as their home islands: Niutao (13, 30%), Vaitupu (13, 30%), Funafuti (5, 12%), Nanumea (4, 9%), Nanumanga (3, 7%), Nukufetau (3, 7%), Nui (1, 2%), Nukulaelae (1, 2%). 17 interviews were undertaken in the outer islands.

23% of Tuvaluan evaluation participants were female, and 41% of the total interview sample were female. To enhance female perspectives, we also interviewed two leaders from local women's groups about issues relevant to their communities. Two young people who were involved in leadership within youth organisations were also interviewed. Disability perspectives were included through interviews with the local disability association (Fusi Alofa), a person with a disability, and two parents of children with disabilities.

Interview data was triangulated against information collated through document review. Documents reviewed included:

- MFAT programme strategies, policies, and frameworks
- MFAT expenditure for the four-year plan and 4YP model
- programme activity designs and business cases, and
- reviews of programme activities such as activity monitoring assessments, activity completion assessments, progress reports, evaluations, reviews, and data.

The findings were triangulated across the different evidence types and sources to understand the convergences and divergences, allowing the evaluation team to test data and assert findings statements that show the weight of the evidence that conform to this finding.



2.3 Sense-making and Criteria Judgements

During the drafting of the report, the team undertook sense-making workshops with five stakeholder groups:

- four MFAT staff (steering group members) and two New Zealand Government representatives
- 16 people from the Government of Tuvalu
- five Tuvalu NGO's
- eight community members and representatives, and
- four regional organisations and donors.

The purpose of the sessions was to understand if the findings were viewed as representative and accurate; explore any disparities to strengthen the analysis; help develop recommendations from the findings; and build buy-in and interest in the evaluation and the findings.

Following these workshops, senior evaluation team members conducted an internal workshop to review the weight of evidence against each of the criteria to inform the criteria judgments.

2.4 Strengths and Challenges

2.4.1 Strengths

The main strength of the evaluation was that the evaluation team was able to engage with a wide variety of stakeholders, including those from the outer islands. Furthermore, the local team was able to provide contextual framing of the findings. Headline evaluation findings and potential recommendations were tested with Tuvaluan stakeholders through sense-making sessions, generating additional nuancing and increasing our confidence in the findings.

2.4.2 Information Challenges

The ability to assess impact was limited by a lack of data for some investments and thus our data relies heavily on interviews and reporting provided by MFAT in the form of project-specific evaluations and reviews, Activity Management Assessments (AMAs), and Activity Completion Assessments (ACAs). Staff turnover in both MFAT and the Government of Tuvalu, combined with remote data collection, made it difficult to get clear answers to several points of interest. Some of the intended participants were unable to speak with us due to competing commitments or priorities, and regional thematic reports typically had little or no data for Tuvalu. A logic model for the 4YP was provided, but the remainder of the 4YP was considered classified and not made available for review. Allocation of budget support is up to the Government of Tuvalu, and thus was out of scope; similarly, policy objectives around security could not be assessed due to security classifications.



2.4.3 Border Closures and Logistical Challenges

COVID-19 and associated border closures had a substantial impact on New Zealand’s work in Tuvalu. Many of the projects underway in 2018-2021 remain unfinished making the impacts and sustainability unknown. Work that was intended to be conducted in 2018-2021 was delayed until 2021-2022 - this has been included where possible within our evaluation findings.

Data collection was disrupted by a major drought and associated state of emergency, Tuvalu’s first COVID-19 outbreak, Tuvalu transport vessel repairs, and government officials being unavailable because of activities associated with climate change week, Tuvalu Independence Day, and COP-27. The Wellington based team was unable to visit Tuvalu prior to the sense-making sessions in early February 2023.

2.5 Structure of this Report

The report outlines the findings against each of the evaluation objectives, with each key evaluation question (KEQ) and sub-question discussed separately. Evidence sources are also provided for MFAT interviews, Government of Tuvalu interviews (GOT), project beneficiaries and NGOs (TCmty), diaspora, donors, and regional organisations (RegOrg), and Documents (Doc). Source codes demonstrate the frequency which information was noted across these sources, highlighting the weight of the evidence to support each finding.⁹ A summary is provided in a box at the start of each findings section.

⁹ Some source codes, such as documents, have a number following the DOC code which designates a specific document for the evaluation team. These numbers were removed from the interview codes (e.g. MFAT, GOT) in this report to protect anonymity. These are retained in the evaluation team’s copy of the report as part of the team audit and accountability process.

3 Findings: Relevance and Coherence

New Zealand engagement in Tuvalu over 2018-2021 focused on priorities in Tuvalu's national strategic documents. Many activities helped to support revenue for the Government of Tuvalu or supported community access to key needs (e.g., water, healthcare). One-off budget support reflected immediate needs and circumstances in Tuvalu. New Zealand's work is aligned with New Zealand's priorities as outlined in the 4YP, and the 4YP is itself well aligned with the increased focus on resilience, partnership, and regional and multi-lateral action in the Reset to Resilience Cabinet papers.

New Zealand's contribution aligns well with the ICESD quality domains, with strengths around resilience and further opportunities in relation to effectiveness, sustainability, and inclusiveness. The Child and Youth Action Plan and the Inclusiveness Framework were initiated after the evaluation plan, and there are opportunities to build a greater focus on youth or marginalised groups within New Zealand's work in Tuvalu.

New Zealand is working well with other donors in Tuvalu. We found evidence of complementary activities and no evidence of duplication between New Zealand's work and the work of other agencies in Tuvalu. Mechanisms exist to promote coherence between donor agencies, and these are working well, although in-country donor meetings could be undertaken more consistently. There are also opportunities to improve coherence in terms of knowledge and information sharing between New Zealand agencies about the various activities happening within MFAT and the wider donor sector in Tuvalu.

3.1 Relevance and Responsiveness to Tuvalu's Priorities for National Development



The Government of Tuvalu were involved in the development of the 4YP and Statement of Partnership (and other projects), but opportunities exist to improve the processes for identifying priorities

The focus areas of the 4YP were based on conversations with the Government of Tuvalu in 2018 which conveyed a strong interest in climate change-related activities (MFAT). Government of Tuvalu stakeholders present for the Statement of Partnership reported that they had sufficient say in its development (GOT, GOT). Again, in 2021 Tuvalu-New Zealand consultations sought to understand the priorities of the Government of Tuvalu, including whether historical priorities were still relevant (Doc44).

Individual pieces of the bilateral programme were discussed with departments within the Government of Tuvalu (e.g., Doc2, Doc4) and no one reported a lack of adequate consultation with the Government of Tuvalu for individual pieces of work. Opportunities to improve the processes for communication between Tuvalu and New Zealand were discussed, including the process by which priorities were identified and communicated. MFAT officials commented that they struggled to get clarity on Tuvalu's goals (MFAT, MFAT3), or sufficient information to assess requests for funding (MFAT). For example, requests that did not include an opportunity for discussion (e.g., annual forum) or that did not include the relevant department,

did not provide sufficient information for MFAT to pursue those requests (MFAT). Government of Tuvalu stakeholders noted that discussion and negotiation with individual Ministries, rather than through a central process, can lead to activities that might not be agreed by central government as a whole (GOT).



2018-2021 activities aligned with high-level goals around finance, fisheries, climate change, governance, and clean water outlined in the Government or Tuvalu strategies (Te Kakeega III; Te Kete)

The Government of Tuvalu outlined its National Strategy for Sustainable Development policy in Te Kakeega III 2016-2020 and later in Te Kete 2021-2030. There is significant consistency in the two national strategies: water security, shipping, climate change, fisheries, good governance, education, health, infrastructure, climate change preparedness, private sector development, and outer-islands development were key strategic priorities in Te Kakeega III and Te Kete. Te Kete provided a more succinct set of goals and included specific focus on areas such as housing and buildings, digital capacity, cultural and traditional knowledge, Falekaupule capacity, and people with disabilities.

Several of the strategic priorities in Te Kakeega III and Te Kete aligned with New Zealand's work programme and 4YP objectives. MFAT officials consistently emphasized the relevance of the bilateral work with Tuvalu policy directives, including Te Kete and Te Kakeega III, in the business cases for core bilateral activities. The alignment between these documents and New Zealand's activities is outlined in Table 10 and Table 11 in Appendix 5.

New Zealand funded activities also supported Tuvalu's broader policies and plans. For example, the Vaitupu Water Security Activity reflects the water-related objectives in the Vaitupu Island Strategic plan (TCmt, TCmt), and New Zealand's fisheries activities are aligned with Tuvalu Fisheries department corporate plan (GOT).

Tuvalu's Foreign Policy developed in 2020 places a strong emphasis on cultural values, the development of authentic relationships, and desire to engage with partners on an equal footing. It also signals priorities in terms of diaspora relations, climate change and disaster resilience, health, ocean security, transnational crime, trade, labour mobility, Tuvalu Trust Fund (TTF), and international agreements. The priorities around climate change, security (including in relation to fishing), health, trade, and labour mobility are reflected in the Statement of Partnership and reflected to some extent within the activities and bilateral engagements over 2018-2021.



Relevance to community needs

Government of Tuvalu officials and donors perceived the 2018-2021 activities as relevant to the priority needs of Tuvalu (GOT, GOT, GOT2, DFAT, DFAT, donor sense-making session). Project beneficiaries often only knew about a select set of activities and were asked about those. Project beneficiaries generally reported that water security work was relevant to their needs (TCmt, TCmt, TCmt, TCmt, TCmt, TCmt), however one individual questioned whether the community needed more water.

Scholarships were described as important for Tuvalu by many participants (GOT20) but contribution to the wider population was raised in at least one interview (TCmty). Support for the development of a Contract Management Unit does not appear to be a top priority for the current Government of Tuvalu (Doc13, GOT, GOT).

Many evaluation participants only knew about activities that they had explicitly been involved in, or in the case of beneficiaries, activities that happened on their island, and thus could only comment on the relevance of those. Project beneficiaries commented on water security work in Vaitupu (or legacy projects, discussed later in the report). A large part of New Zealand's work during 2018-2201 was support to the Government of Tuvalu through budget support, which community members were unable to comment on.



Scholarships, the RSE programme, and labour mobility were commonly emphasised by Tuvaluan stakeholders as a core priority for the relationship with New Zealand (GOT3, GOT20)

Te Kakeega III explicitly mentions New Zealand in relation to the expansion/continuation of RSE scheme opportunities, including diversifying employment overseas into other sectors (e.g., fishing, mining). This was also a key topic of bilateral discussions during the evaluation (MFAT, Doc44, GOT) and was explicitly highlighted in our interviews (GOT, GOT, GOT) and the sense-making sessions held in Tuvalu. Policy work to consider an expansion of overseas employment schemes was delayed due to COVID-19. Discussions in the local sense-making workshops indicated that a diversified labour mobility programme continues to be an interest area for future engagement with New Zealand. International work experiences were noted by evaluation participants and again in the sense-making sessions as important capacity building opportunities for Tuvalu (e.g., TCmty, Government of Tuvalu sense-making session). For maximum benefit, the work areas need to have relevance to the economy of Tuvalu and avoid negatively impacting on existing capacity.

Tuvaluan stakeholders also expressed strong appreciation and continued interest for scholarships, including those at a Polytechnic level (GOT, GOT, Doc44, GOT, Doc44, GOT). Work experience opportunities following scholarships was suggested to increase uptake of scholarships, enabling practical learning to build on the more theoretical learning within tertiary programmes (TCmty).

Work in these areas was not substantially progressed during 2018-2021, however, discussions in the local sense-making workshops indicated this continues to be an interest area for future engagement with New Zealand.



There was no direct investment in the private sector or economic development during the evaluation period

Within budget records, there were no projects tagged to “Economic Development” despite nearly \$750,000 allocated to this sector in 2015-2018 and \$1 million in 2012-2015. PACER Plus was ratified by Tuvalu in 2022 and this theoretically provides support through strengthening the facilities and skillsets of the private sector to export goods. The Government of Tuvalu has voiced concerns that the PACER Plus agreement may lead to more revenue



loss than gain (New Zealand-Tuvalu discussions 2021), and there are concerns that Tuvalu may not have the land, machinery, processing facilities, and goods to make tangible improvements to their level of exports (GOT, GOT). It was noted that this support is somewhat less flexible than bilateral arrangements and more difficult to get assistance than anticipated when the agreement was signed (GOT).

Whilst strengthening Tuvalu's export market would be of large benefit to society and the economy, realising these benefits is likely to require strong multi-faceted investment, realistic scoping, and nuancing to the specific Tuvalu context.

3.2 Alignment with New Zealand Policies

3.2.1 ICESD Policy



Overall, New Zealand's cooperation with Tuvalu aligns well with the ICESD policy

The 4YP includes specific reference to New Zealand and Tuvalu's shared goals around climate change advocacy and international agreements. Support for Tuvalu's prosperity and self-direction is demonstrated within the Statement of Partnership and budget support activities, which provided the Government of Tuvalu discretion over how to allocate those funds.

The ICESD policy outlines that the majority of New Zealand's overseas development assistance will focus on countries most in need, particularly small island developing states and least developed countries. In 2020/2021, Tuvalu received two percent of New Zealand's international development cooperation, which exceeds what might be expected on a purely population basis.¹⁰ The policy also references a commitment to work with small island developing states to support their voice and advance their sustainable development interests.

The collective ambition for the New Zealand-Tuvalu relationship is outlined formally in the 2019 Statement of Partnership. The Policy Reform Matrix (PRM) and other activities also reflect a collective ambition between the Government of Tuvalu and a range of donors, although local priorities may have shifted somewhat with the change of government in Tuvalu in 2019.

A few evaluation participants explicitly noted that New Zealand's engagement often demonstrated better understanding of the local Tuvaluan culture than other partners. A spirit of close friendship was pursued throughout the early stages of the 4YP, albeit this was disrupted by COVID-19 (discussed further in Section 5.3).

The ICESD policy (and other New Zealand policies) also includes a focus on climate change. During 2018-2021 this was advanced within New Zealand's activities in Tuvalu through work in water security and considered within the fisheries planning and support activities. Support

¹⁰ [New Zealand's International Development Cooperation 2020-21](#)

for the hosting of the Pacific Islands Forum also bolstered Tuvalu's role in advocating for climate change.

Climate change resilience was also pursued through regional programmes that support activities such as disaster resilience planning in government and ecosystems. During this evaluation period, funding for regional climate change initiatives was expanded across MFAT's portfolio, however delivery on most regional climate change projects was delayed in part due to border closures associated with COVID-19.

Prior to 2018-2021, core bilateral projects included remediation work on unused land (climate change adaptation) and renewable energy (climate change mitigation). Thus, despite the expanded work around water security over 2018-2021, the total core bilateral spend on climate change was lower than the previous periods.

The ICESD policy also refers to the need to value and progress four key areas of sustainable development: social, environment, economic, and governance. Work across all four areas is apparent in the activities delivered within this period:

- Projects focused on health and education (scholarships) align with the social pillar of sustainability.¹¹
- Water security projects and other climate activities align with the environment pillar.
- Support for the TTF aligns with the economic pillar.
- Activities within the PRM align with the governance pillar.

Alignment of New Zealand's work in Tuvalu with each of the ICESD quality domains is discussed in Appendix 6.

These quality domains overlap with the content covered, specifically under later evaluation questions. Key content pertaining to the quality domains is summarised in Appendix 6 to make the assessment of alignment with ICESD transparent.

3.2.2 Relevance and Responsiveness to other New Zealand Strategic Objectives



New Zealand's work is aligned at a high level with the Reset to Resilience Cabinet paper and climate change emphasis of recent policies

New Zealand's activities are well-aligned with the short and medium-term outcomes and strategic priorities outlined in the 4YP. Similarly, we found alignment with the Pacific Reset in terms of its focus on strengthening the bilateral and regional relationship (strategic priority 3 of the 4YP). The 4YP and New Zealand's activities also aligned with the recent Reset to Resilience Cabinet papers in terms of the 4YP strategic priorities around Pacific partnerships

¹¹ Depending on how the social pillar is defined, some authors have defined this as a focus on equity, social cohesion, and participation which the 2018-21 has not directly targeted. See Murphy, K (2012) The social pillar of sustainable development: a literature review and framework for policy analysis, Sustainability: Science, Practice and Policy, 8:1, 15-29, [DOI: 10.1080/15487733.2012.11908081](https://doi.org/10.1080/15487733.2012.11908081)

and long-term resilience, and the short-term outcomes relating to regional and multilateral cooperation around climate change.

Climate change more generally is another key strategic direction for New Zealand's international engagements. This is discussed in Appendix 6 in relation to ICESD, and again in the section on impacts on climate change resilience (Section 5.1). Overall, the emphasis on climate change could be strengthened given this a strong mutual priority for New Zealand and Tuvalu. However, increasing the focus in this area will need to consider the wider context of donor funding and capacity of the relevant departments in Tuvalu to absorb more work. Diplomatic support for regional and international agreements is another potential avenue for contributing to climate change mitigation in Tuvalu.



New Zealand's work promotes human rights and has benefit for a range of groups, but the initiatives delivered in 2018-2021 did not directly focus on reducing inequalities

Interviews included discussion on work with marginalised groups, which relates to the Inclusive Development Framework (in draft at the time of writing this report).

ICESD and MFAT's (draft) inclusion framework argues for reducing inequities, the promotion of human rights, and "*equitable participation in the benefits of development*."¹²

Many of New Zealand's projects contribute to the provision of basic human rights, including access to healthcare through the Medical Treatment Scheme, access to water and sanitation, and access to fisheries for subsistence and livelihood. Fairness concerns continue to be raised around the system for managing medical referrals to New Zealand, which require final signoff by a local board based in Tuvalu (NGO and community sense-making session).

Within 2018-2021, children and youth were directly targeted through the COVID-19 vaccination provision for under 12's, and children were reportedly a focus of the virtual health visits during COVID-19 (NZGovt, MFAT, GOT). A local NGO delivering sexual and reproductive health services also received funding from New Zealand during 2018-2021. Three small regional activities also directly targeted children or women:

- Just Play sports had a specific focus on the inclusion of women
- the "inclusion representatives within the Mainstreaming Climate Change in Governance Activity", and
- an initiative with Oxfam to work with youth to increase access to climate change funding.

According to communication with MFAT staff and available activity reports, the three latter regional activities were unable to proceed in Tuvalu during the evaluation timeframe due to border closures associated with COVID-19.

¹² [DRAFT] Inclusive development: Applying the Principle of Inclusive Development across New Zealand's International Development Cooperation. MFAT.



During the interviews and sense-making sessions, specific needs for youth and disabled communities were often raised. Tuvalu stakeholders in the sense-making sessions noted concerns about the adequacy of the current schooling system to set young people up for success at university, in particular a mismatch between science education and the requirements for tertiary qualifications in health and other areas.¹³ Rates of completion of high school are low¹⁴ and there does not appear to be any specific programmes for young people who do not complete school. Education challenges may have implications for achievement of New Zealand's long-term goals around building resilience in Tuvalu.

Planning work of New Zealand's projects often considered the needs of women. Women and youth make up a high proportion of the fisheries sector (Doc3, Doc35) and water is key to the traditional roles of women in Tuvalu. The Vaitupu Water Security project may have safety benefits for women by allowing collection of water from inside villages, as there are reports of women being attacked when collecting water from the original water source (TCmty). The Vaitupu water security consultation explored the water use needs of different groups, including women (Doc45), and the results framework includes disaggregation of benefits for women and people with disabilities (Doc78). Fisheries support has explicitly included training for women, and repair plans for the Manu Folau considered the travel needs of women and youth and people with disabilities in terms of repair timeframes and design standards (Doc15).

There is relatively equitable gender participation in scholarship recipients: 68% of people who received tertiary scholarships and 38% of people who received short term scholarships were female. Gender was not systematically reported on within health activities but within 2021 and 2022 (where data is available), recipients were relatively well split between genders. Children were a focus for COVID-19 vaccine donations from New Zealand and New Zealand health visits, although capacity building and education activities is based on older age groups, with no one under the age of 20 starting a tertiary scholarship in 2018-2021.

Members of the Tuvalu National Council of Women considered supporting women to build some financial independence as a priority (TCmty). They also reported that women on the outer islands often had limited knowledge of RSE and other available schemes (TCmty). There are opportunities to consider how a new disability policy may be integrated across New Zealand's programme of work. Within the data provided to MFAT, youth involvement was often not reported and could be made more explicit within programme monitoring, as could other marginalized groups (e.g., disabled) to both maintain focus on and monitor the inclusion of these groups.

A large portion of New Zealand's work programme in Tuvalu between 2018-2021 was budget support to the Government of Tuvalu, enabling them to provide essential services to the population, with money being used to fund health and education (GOT). Women and youth are expected to benefit from these services, with females more likely to complete high school in Tuvalu.¹⁵

¹³ Literacy levels among younger students was also highlighted in recent international testing according to sense-making participants.

¹⁴ [UN Data app - Tuvalu](#)

¹⁵ [UN Data app - Tuvalu](#)

The Tuvalu programme, however, was found to be somewhat lacking in terms of an explicit focus on reducing inequalities within activity records, business cases or the logic model for the 4YP. Similar findings emerged from the previous evaluation conducted in 2017. Some thinking had been undertaken in this space within the bilateral programme, reflected in the disaggregation of results indicators in the Vaitupu Water Security framework. It was noted that as the 4YP reflects a set of priorities agreed by two countries, inclusivity may be challenging to include unless this is a priority for the partner government (MFAT).

While we found that women and youth are likely to benefit from New Zealand's work, core activities did not directly have explicit aims in terms of gender, youth, disabled or marginalized communities or reducing inequalities.

3.3 Donor Coherence

The Global Partnership for Effective Development and the Paris Declaration for Aid Effectiveness place a strong emphasis on donor coherence that extends on the core principles outlined in the ICESD domains and policy domains. The principles include that “*donor countries coordinate, simplify procedures and share information to avoid duplication.*”



Donors in Tuvalu are operating in complementary ways

Donor coordination is particularly important in a context like Tuvalu where “*there are handfuls of [donor] people and we're talking about engaging with the [Government of Tuvalu] Ministry that might have three people*” (DFAT).

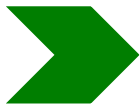
At an individual project level, there were several examples of complementary work happening between donors. New Zealand consulted with other donors in the development of water security activities, resulting in the work focus seeking to leverage the scale of the Asian Development Bank's planned water-related activities in Funafuti (Doc4). Similarly, within the maritime work consultation, information sharing occurred between other donors – this allowed New Zealand to understand what other boats and maintenance support donors were planning to, or were able to, provide, and to access needs assessments undertaken by other donors (Doc6). In general, there seems to be a sense of goodwill and strong desire for information sharing and collaboration among the core donors working in Tuvalu.

During the evaluation period there was some co-funding of core bilateral activities, such as coordination between the TTF and the PRM, and in the regional space (e.g., COSSPAC2 a meteorological project in collaboration with Australia). Work was explored regarding co-funding of an international optical fibre submarine cable with the World Bank, but this project was put on hold until agreements with the Government of Tuvalu and appropriate scoping work was undertaken (Donor).

Donors operating in Tuvalu have historically focused on specific sectors, reducing the likelihood of duplication. This also allows each donor to build capacity and relationships in those areas, reduce set-up costs and increases consistency for the Government of Tuvalu (MFAT).



“One of the things that I do place a lot of value on actually is where we have our own lanes and then it's useful to be informed about what New Zealand is doing but not necessarily need to deconflict or coordinate.” (DFAT)



Donor coordination mechanisms are present in Tuvalu and there is merit in continuing to consistently engage with these

During the 2018-2021 period, Australia set up a monthly donor discussion between those parties present in Tuvalu (DFAT, DFAT, GOT). Discussions were intended to reduce demands on the Government of Tuvalu, as well as keep each other informed and reduce overlap (DFAT). Despite the utility of this group, the meetings have not been consistent and appear to depend on Australia for coordination (DFAT, DFAT). It was also noted that New Zealand's contribution was somewhat limited as other donors could make commitments to initiatives at the time, while New Zealand did not have the seniority present to do so (MFAT). The limited knowledge of the in-country position about specific projects and their progress may also limit New Zealand's contributions to these meetings. New Zealand could look to increase its presence either through joining remotely or aligning in-country visits with these meetings.

The PRM and TTF discussions between donors also have a dual purpose of attempting to reduce burden on the Government of Tuvalu whilst enhancing collaboration between donors (Donor). It was noted that these were working well for communication and collaboration. During parts of 2018-2021 New Zealand and Australia collaborated via frequent meetings, although there was some variability in this (DFAT, MFAT). Australia has a high commission in Tuvalu and staff were able to provide information to New Zealand about local politics and priorities in a collaborative manner (DFAT). Discussions with some of the banks also occurred on a weekly basis in parts of the evaluation period (MFAT). Given New Zealand's offshore high commission it has a lot to gain from maintaining good working relationships with other partners and donors on the ground (MFAT).

4 Findings: Efficiency and Effectiveness

To build efficiencies New Zealand’s activities drew strongly on previous initiatives, built synergies across activities, delivered efficiencies through regional projects, and focused on a relatively small number of sectors. A mix of modalities balanced the relative cost, local ownership, and impact trade-offs of each modality across the programme of work.

Contextual operating challenges were exacerbated by the COVID-19 context and numerous projects were delayed and/or experienced cost escalations. It is likely that some of these delays would have happened in the absence of COVID-19.

Modalities were used in complementary ways to enhance effectiveness. Capacity building modalities had mixed success.

Section 5 notes that across the programme there was mixed achievement of immediate objectives. Immediate objectives and longer-term impacts are described together, as an assessment of impact in part relies on an assessment of whether immediate objectives were achieved. Results and anticipated outcomes were not consistently included in project reporting, but specific reviews have been undertaken on specific projects. Outside these reviews there is limited monitoring of medium-term outcomes or actual use of delivered projects.

4.1 Effectiveness and Efficiency of Modalities



The 2018-2021 programme focused on sectors where New Zealand had historically worked and used complementary modalities and projects to maximise effectiveness

As noted earlier, most of New Zealand’s activities focused on sectors where New Zealand had prior experience (maritime, fisheries, scholarships, health, the PRM, and budget support), which contributed to efficiencies (MFAT).

The streamlining of New Zealand’s programme in Tuvalu has been deliberately focused on working well in a discrete number of sectors to improve efficiency, as the setting up of new projects, including securing suitably skilled staff, can be time-consuming. It is also in keeping with one of the aspirations set out within the Statement of Partnership: “coordinate long-term and predictable assistance to priority sectors in accordance with coherent sector plans.” It is expected that larger and longer projects should provide better value for money; short-term contracts limited the types of activities that could be undertaken (NZGovt, MFAT). Streamlining is also sensible in a context where there are multiple donor parties undertaking substantial investments, with each developing efficiencies and areas of expertise in specific areas. Reducing transaction costs for the Government of Tuvalu is another reason motivating a lean/focused scope of projects within Tuvalu (MFAT).

Complementary activities were also a core feature of the 2018-2021 Tuvalu programme. Budget support and technical advisory support were used in complementary ways with the TTF work, PRM activities, and fisheries. For example, technical advisory support was provided



to the TTF, supporting the likely future growth generated by New Zealand's budget contributions to this fund. New Zealand's activities included funding within fisheries and a technical advisor who could provide expertise to maximize the impact of that funding, as well as funding from other donors. New Zealand's membership on the TTF advisory committee also provides wider visibility of the Government of Tuvalu's finances (GOT), thus providing insight into which potential PRM activities are most likely to support good fiscal management.

Regional and bilateral programmes worked in synergy around health support and water security. For example, within the water security work:

"[the regional team] would do one piece and bilateral would focus and connect another piece (getting rainwater from the ground). [We also] made sure the delivery partners were similar and finding efficiencies for delivery as well because we were doing the work with the same partners." (MFAT)

Water security programmes drew on the previous groundwater work undertaken as part of regional water security Activities undertaken in Tuvalu, and previous drought planning activities (RegOrg). 37% of the spend in Tuvalu was directed through regional activities that draw on economies of scale and learnings from implementation in other countries.



Capacity building modalities had mixed success

Technical assistants were a core feature of capacity building and implementation work in the contract management unit, TTF, and the fisheries over 2018-2021. Some of the intended capacity building activities were limited by staff vacancies but technical assistants made substantial progress in key areas. Technical assistants were seen as useful for getting local government buy-in (MFAT), and when it may be necessary to have relationships to advance difficult areas (e.g., gender) (DFAT). The in-country nature of these positions was identified as critical for building relationships and generating outcomes in complex areas (GOT). Further, the in-country position allowed them to flex and adapt as circumstances changed and enabled them to identify high-impact supplementary activities, such as negotiating the sale of a fishing vessel during border closures.



New Zealand's work in Tuvalu also built efficiencies by using trusted implementing partners

Access to New Zealand government agencies provided critical support to the Government of Tuvalu, allowing them to access New Zealand experts for key tasks around the COVID-19 response, maritime safety, and weather prediction and modelling. Implementation partners with established relationships with the Government of Tuvalu and familiarity with the environment contributed to delivery and reduced the lead-in time that would otherwise be required (Doc18). Within these arrangements, MFAT staff largely took a contract management role. Multiple stakeholders commended the professionalism, prompt payment, and flexibility of MFATs management of these projects (GOT, RegOrg). Efficiencies were achieved by using higher order contracting of trusted delivery partners such as the National Institute of Water

and Atmospheric Research (NIWA) and the Pacific Community (SPC) who were able to perform reporting and monitoring functions (MFAT). The involvement of delivery partners may limit the visibility of New Zealand's contribution, however visibility appeared to be an issue across the programme, not just for the work conducted by external delivery partners. Working through and with other agencies was noted as particularly important when operating from an offshore post (MFAT). The inclusion of regional activities should also contribute to efficiencies within the programme through better economies of scale.



There were large delays to projects due to COVID-19 and local staffing challenges, although attempts were made to continue providing activities in this context

As described throughout this report, there were large delays to projects due to COVID-19:

- **Water security Vaitupu:** put on hold due to delays in shipping (MFAT).
- **Repair needs for the Manu Folau:** impacted by border closures and initially underestimated and created large cost and time implications for how and where repairs could be conducted (NZGovt).
- **Progress in fisheries work:** also impacted by border closures.
- **Intended work in renewable energies:** put on hold due to challenges implementing this with a closed border (MFAT), and work on several climate change programmes was postponed.
- **Scholarships and overseas health referrals:** impacted substantially by border closures; attempts were made to continue work in this context by facilitating the uptake of online short-term scholarships, online health consultations, and a medical evacuation flight was provided to bring some patients to New Zealand during the border closures.

These delays were not unique to New Zealand's work as other donors also experienced disruptions. Where possible, continued progress through the border closures was facilitated by an established in-country technical advisor (fisheries), regular online meetings for support to government departments (maritime, health), and the off-shore project manager having local knowledge of the island on which water security was based (Vaitupu water security). Flexibility and a shift in emphasis towards budget support also supported delivery.

Border closures was not the only factor contributing to project delays. Project timeframes were also delayed due to challenges identifying suitable individuals for key roles in several projects. For example, the Vaitupu project experienced early delays securing the project administrator position and finding sufficient time for local government staff to undertake work (Doc79). Capacity building work in the Contract Management Unit was delayed because staff were not in place for training. No other major issues were encountered with timeframes of the core projects.

Similar lessons occurred in legacy projects – going forward, it may be useful to consider longer lead-in times to account for shipping, hiring of local staff, and to allow sufficient time for

engagement with local Kaupule and other key parties. New Zealand's deliberate focus on a small number of activities is a step in the right direction.



New Zealand's work in Tuvalu made good use of existing capabilities in other government agencies

Several activities in Tuvalu were managed or implemented by New Zealand government agencies that work across Pacific countries (e.g., NIWA, MBIE, Ministry of Health, Counties Manukau DHB, Maritime New Zealand). Access to these government agencies provided important technical support, and at times project management or implementation support for key projects. Relationships between MFAT and these agencies were described as working well (NZGovt, NZGovt), and at times "invaluable" for supporting key activities (Doc15).

With the shift to the 4YP, the bilateral programme was intended to operate as the key point of contact for all initiatives with Tuvalu (MFAT). During the evaluation period the bilateral team operated as a key point of contact for many initiatives, however, there appears to be challenges maintaining that level of oversight and coordination across the wide variety of activities in Tuvalu, potentially exacerbated by the small FTE (around 3.5 FTE including Wellington and Tuvalu based staff) and offshore posting. Government agencies noted that they lacked information from MFAT about other activities within MFAT and on the ground in Tuvalu (NZGovt, NZGovt, NZGovt, NZGovt). [We] "didn't have clarity of what else we could be doing and opportunities that we could be collaborating on" (NZGovt). Government agencies attempted to locate this information themselves where they could. For NIWA, this information gap was resolved through an in-country visit to engage with key stakeholders soon after the borders reopened. This limited visibility poses risks to the efficiency of work as it may lead to duplication or project overlap.

MFAT staff also noted the need to be better informed about other government agencies' activities, as they are not always part of correspondence (MFAT). There was also some confusion about whose role it was to negotiate and agree priorities with the Government of Tuvalu, with non-bilateral teams sometimes taking the lead when bilateral teams would usually manage this (MFAT, MFAT). Challenges with role were in part attributed to the fact that the bilateral team was based in Wellington and may not have the same access and knowledge as an in-country team (MFAT).



Outcomes measurement was mixed

Short, medium, and long-term objectives for the overall programme were set out in the 4YP. While individual business cases and most activity reporting (AMAs and ACAs) referenced the outputs being sought, project outcomes were not clear in some AMAs and ACAs. Many activity reports contained little if any information on progress against outcomes (e.g., Doc11, Doc12, Doc13, Doc20, Doc21, Doc22).

Positive exceptions (including fisheries activities) clearly set out quantifiable indicators of progress as well as indicators of longer-term process (e.g., biological status of key tuna species), both for New Zealand's work and the fisheries department (MFAT, Doc35, Doc2).

Result frameworks were also developed for Vaitupu water security as well as the regional Medical Treatment Scheme work.

Limitations in monitoring were mitigated to some extent by specific reviews targeting key area of the programme for which future funding decisions were needed (e.g., renewable energy, fisheries technical advisor, maritime strengthening, as well as the legacy borrow pits and Ship to Shore activities).

4.2 Other Lessons around Cost-effectiveness and Efficiency



MFAT staff turnover and resourcing impacted on efficiency and effectiveness of work

Relatively high turnover and frequent vacancies on the Tuvalu bilateral desk during 2018-2021 were in part attributed to challenges bringing in new staff outside the formal MFAT staff rotation process. The turnover and vacancies made the work challenging to coordinate (MFAT), contributed to knowledge loss, and acted as a barrier to building strong relationships (MFAT, MFAT) – this was particularly detrimental to working in a Tuvaluan context where relationships are so important. The rotation of MFAT staff also contributed to additional work for New Zealand's partners as new staff members had to be brought up to date with existing programmes of work, and priorities shifted between different staff members (NZGovt, NZGovt). During 2018-2021 there were also long vacancies of key roles, and challenges balancing the policy aspects of the roles alongside the bilateral and contract management (MFAT).



Individual's skillsets uniquely influence the success of particular roles

New Zealand's High Commissioner to Tuvalu and the project officer for the main duration of the evaluation period were both highly valued for their people skills and engagement (e.g., GOT, Doc45). Within fisheries, the specific individual working as a technical assistant was also noted as a critical asset in the success of this work due to the combination of their technical knowledge and experience and ability to embed themselves within the local context. The specific impacts of modalities and engagements will in part depend on the ability to recruit and retain high-quality candidates who can work long-term in this environment.



Locally embedded staff member's access to information limits their effectiveness

MFAT's staff member in Tuvalu is unable to access certain MFAT systems. At times key emails were not forwarded from secure addresses for tasks that they needed to support. The person in the role is also often not up to date on progress on current projects as information is reported directly to the bilateral team. The complexity of MFAT's systems, policies, and language should not be underestimated and substantial information and training may be needed to bring someone sufficiently up to speed to represent New Zealand in discussions.



The offshore high commission reduces efficiency

A lot of work in Tuvalu is conducted face-to-face, with individuals often dropping in on each other's offices. Questions posed by New Zealand via email sometimes went unanswered, and this limited New Zealand's ability to respond to requests for assistance (MFAT). Tuvalu stakeholders also felt that they may get quicker responses to requests if New Zealand had a high commission in Tuvalu, although a few commented that New Zealand was already quick to respond (e.g., GOT, GOT). It may also take longer for New Zealand to identify challenges or problems with a project as it currently relies on others to volunteer this information. The wider impact of an offshore high commission is described in Section 6.3.



5 Findings: Achievement of Activity Objectives and Strategic Goals

New Zealand's work generated short-term and likely long-term impacts within the area of fiscal strengthening. A strategic review of the TTF and associated technical advisory support, as well as long-term planning to support fisheries revenue, is expected to have fiscal benefits over the long term. A 2021 report by the International Monetary Fund (IMF) noted that additional COVID-19 budget support and better than expected fishing revenues likely buffered the economy from the impacts of COVID-19.¹⁶

Bilateral relationships were strengthened in the first year of the evaluation period but have weakened since. Nonetheless, relationships remain positive, with strengths in particular projects.

It is too early to assess or predict long-term impacts within climate change as most of the initiatives identified for this period are yet to be delivered. The maritime infrastructure support had minimal success. Scholarship numbers were particularly low during the evaluation period and the long-term outcomes of these is difficult to ascertain without a follow-up of the individuals involved.

Statements of likely impact are provided within the text, however through this evaluation period it became clear that, sometimes, theoretically sound initiatives, do not contribute to their intended impacts over the longer-term. Thus, estimates of likely impact should not be interpreted as statements of actual impact, and actual impacts should ideally be monitored over time.

5.1 Impacts on Resilience, including to the Impacts on Climate Change

As a low-lying country, Tuvalu is made up of several small islands, many of which are atolls. The low-lying nature, thin land mass, and absence of rivers or lakes for water collection make it particularly vulnerable to the impacts of climate change. Tuvalu's aspirations for climate resilience include a staged land reclamation, increased funding from global climate financing facilities, improved frameworks for disaster risk, and resilience and land rehabilitation (Te Kete). Resilient housing and increased water storage, particularly in times of drought, are also seen as key priorities within Te Kete. Te Kakeega III also included a strong focus on international climate change agreements (the latter of which continues to be a focus of foreign policy).

¹⁶ [IMF Tuvalu Staff report for the 2021 Article IV Consultation. IMF Country Report No. 21/176.](#)



New Zealand's work supports resilience to future droughts in Tuvalu

Water security was a key focus of New Zealand's work in 2018-2021, and a relatively new area for New Zealand investment in Tuvalu. Despite project delays, due largely to COVID-19, activities were well underway by the start of the evaluation.

During 2018-2021, Activities in the programme developed software to estimate water usage availability using asset and rainfall information (NZGovt), monitored and assessed tanks across all islands, and introduced water storage measurement systems and rain gauges for each outer island (Doc45). A drought management plan for Funafuti was also developed, although signoff was delayed (RegOrg). Assuming these are signed off and subsequently used for planning in the future, they should contribute to better water security in Tuvalu. Staff working through New Zealand's initiatives also provided a range of other technical support to other water-related plans.¹⁷

The programme also initiated community-led gutter and water infrastructure maintenance work, which are reportedly happening annually in the outer islands, but there has been limited engagement with this in the country's capital, Funafuti (Doc45, RegOrg). For islands where maintenance is working well, this should increase the volume and quality of water collected by existing infrastructure.

The island of Vaitupu was a key focus for bilateral work around water security during 2018-2021. This included planning and constructing a water gallery (horizontal well) to draw water from the top of an underground freshwater catchment (RegOrg). The water harvesting system aims to improve access to potable water while reducing the risks associated with water salination in existing systems, however the infrastructure has not yet been built. The planned infrastructure was generally viewed positively by the local community (e.g., TCmty, TCmty). Some concerns were raised about impacts on the surrounding Pulaka pits and long-term impacts on their original water supply if the pumping recommendations and water allocations were not carefully controlled (TCmty, TCmty).

Bathing ponds on Vaitupu were upgraded and restored as part of this project, with the aim of reducing the use of household tank water for bathing and washing purposes. Some stakeholders thought that the pond use contributed to water savings (TCmty). Data on change in use was not collated therefore the potential impact of the upgrade on household drinking water availability is difficult to estimate.

¹⁷ Implementing partner reports indicated that staff provided technical input into the development of a Sustainable and Integrated Water and Sanitation Implementation Plan, ground-water assessment missions, procurement of UV purification units for schools and training in the operation of Reverse Osmosis (RO) desalination units (Doc45).

Figure 3: Revitalised bathing ponds on Vaitupu (December 2022)

The longevity of infrastructure impacts on Vaitupu may be subject to the management and maintenance of the assets, the responsibility for which will sit with the local Kaupule (island council). In particular, the ability for the water gallery (horizontal well) to positively contribute to water security depends on how it is used – water needs to be pumped and extracted following good rainfall, rather than in times of drought, to avoid negatively impacting the long-term water supply and the surrounding food crops (RegOrg). The impacts of the drought management plans depend on if and how they are used. In both projects, actions have been taken to promote future use and we expect these pieces of work to improve Tuvalu’s resilience to drought-related effects of climate change.



Many climate change activities planned for 2018-2021 were delayed

It appears that, as with work in other Pacific Islands countries, the 2018-2021 period largely acted as a setup phase for the expansion of climate change work signalled in the New Zealand’s Pacific and Development Climate Action Plan 2019-2022. This setup phase was further delayed in Tuvalu due to border closures associated with COVID-19.

Regional climate change activities in water security (discussed above) and integrating risk planning within Government (Doc55) were initiated in 2019/2020 and work was progressed prior to border closures in March 2020. Within the Integrating Risk Planning within Government activity, interactions and/or training sessions occurred with government staff to advocate for risk-informed development, but there was little progress on objectives related to engaging officials responsible for gender in this work (Doc55). Other regional activities, such as engagement with youth in Tuvalu around access to climate change funding and ecosystems resilience, were delayed until after the evaluation period (MFAT, Doc81).

Arguably one of Tuvalu’s greatest contributions to climate change mitigation is through its advocacy work on the international stage. New Zealand supported this work through budget support to facilitate the successful hosting of the Pacific Islands Forum in Tuvalu in 2019. Senior members of the Government of Tuvalu also appreciated diplomatic support for climate change advocacy and lobbying in regional and international forums (e.g., GOT).

The fiscal strengthening work discussed in Section 5.2 may also contribute over the long-term to climate change resilience.



Support to the fisheries sector should enhance the resilience of fish stocks and fisheries practices to climate change

The impact of severe weather events on fisheries is expected to be profound for Tuvalu, impacting both the coastal and lagoon fisheries (Doc2, GOT), and in turn the Tuvaluan community (Doc2). New Zealand's long-term investment in fisheries is in part motivated by this context and includes support for planning and managing the potential impacts of climate change on fisheries (Doc2, GOT). The expected impacts of climate change on fish stocks are built into plans to manage inshore resources as well as regional fisheries management, both of which are supported through New Zealand's contributions. This work includes the development of island-specific fisheries management plans although these have been delayed due to COVID-19 and the inability to engage face-to-face (Doc24).

Specific indicators of fish stock health have been a core part of planning for sustainable fishing in the context of climate change (e.g., the percentage of fish caught that are undersized, and the biological health of tuna stocks). These indicators are being monitored (Doc35). Tuvalu also made the New Zealand-funded fisheries building more resilient by constructing a sea wall during this period (GOT).

Much of this work is still in progress and impacts will play out over the longer-term. There is a good system in place to measure progress and risks over the longer term. The specialist technical advice provided for strategic planning work means that Tuvalu should be in a better place to predict and manage the impacts of climate change on their fish stocks.



Investment in maritime infrastructure

During this period New Zealand invested heavily in a major repair on one of Tuvalu's two passenger vessels (Manu Folau) and contributed to the repair of the second passenger vessel (Nivaga III). These vessels are responsible for transporting people, goods, fuel and other essential supplies between Funafuti and the outer islands. These islands are spread out over a large distance, with around 676km between the furthest islands.

The major repair work experienced multiple cost escalations and delays. Interviewees attributed these to the state of the ship at the time of project initiation, complications related to travel during COVID-19, and subsequent challenges with the quality of repair work undertaken in Fiji (TCmt, NZGovt). The vessel returned to Tuvalu in November 2022, but it continues to experience ongoing seaworthiness issues at the time of writing this report (GOT, TCmt). It is unclear whether New Zealand's repair work has extended the life of this vessel and in turn, increased the ability of the Government of Tuvalu to provide regular transport linkages between Funafuti and the outer islands.

Figure 4: Manu Folau at the wharf in Funafuti (January 2023)

Maritime legislation has also been updated to be consistent with international law, although there is a perception that more work is needed to ensure this influences practices on the ground (NZGovt). Overall, based on the status quo at the time of writing this report, the impacts of New Zealand's contribution to the maritime sector were limited during the evaluation period.



Scholarships and capacity building provides educational support to a small number of individuals

During the evaluation period, Tuvalu potentially benefited through people acquiring education across a range of specialist subjects, such as health and science, the environment, and business.¹⁸ Training opportunities were taken up by eight tertiary scholars¹⁹ and a further 35²⁰ received short-term scholarships funded by New Zealand. Five of the eight scholarship recipients completed their studies or showed 'satisfactory progress' despite the challenging COVID-19 context (Doc70). Similarly, 77% of the short-term scholarship recipients completed their courses (Doc70b).

It is difficult to ascertain the impact on capability in the Tuvalu population as New Zealand and Tuvalu do not track how frequently those who complete scholarships return to Tuvalu, or what jobs they return to. One interview noted that bonding periods are not necessarily enforced (GOT) and some scholarship recipients end up working in government roles that have better

¹⁸ Within the tertiary scholarships, areas studied included engineering, public health, environmental management, business, maritime, science and international relations. Subject areas studied through shorter term scholarships were maritime, aviation, engineering, health and safety, and in 2021 there was a big uptake of STSS scholars for project management, leadership, and financial management courses.

¹⁹ This compares to 24 in the previous triennium. The number of scholars (2) was low in 2019 (pre-COVID) as well as in subsequent evaluation years however we were unable to identify the reason for this difference; 12 potential scholars had been selected in 2018. Key staff at this time have moved on and staff were unable to identify records of why these scholarship numbers were particularly low.

²⁰ Of which 23 completed a scholarship, 7 withdrew and 5 deferred.

pay than the profession they studied for (GOT). Strategic monitoring of scholarship recipient career trajectories is needed to understand how well scholarships are contributing to 4YP goals.



Broader allocation of scholarships may benefit Tuvalu society

Several issues were raised with how New Zealand's scholarships are allocated in Tuvalu. There were concerns that the qualifications offered may not be meeting critical needs for the country (e.g., civil engineers rather than economists) (GOT). MFAT staff noted that New Zealand scholarships considered Tuvalu's human resource priorities but that it was difficult to restrict the focus areas for scholarships for applicants, given the small number of applications and the interest areas (MFAT). Scholarship recipients and some government officials believed that there may be limited numbers of non-government officials accepted for scholarships, thus inhibiting the impact on wider capacity building (TCmt, Government sense-making). The evaluation team were unable to access data to test this perception but noted that school leavers are not well-represented in the selected candidates. For those selected in 2018 and 2019, where age is recorded, 25% and 8% respectively were likely school leavers (aged under 20) (Doc74, Doc75).²¹

In response to the low numbers of applications, the 2019 selection report recommended "a revised approach to marketing the scholarship scheme within Tuvalu." A deeper piece of work may be needed to address youth participation. For example, young people could be offered resources to better understand and prepare for the scholarship application process – young people we spoke to found applications difficult and time-consuming to complete. Applications may advantage government officials, many of whom already have international tertiary qualifications and writing experience (MFAT, TCmt). The difference between the applications of young people and experienced applications may be greater in Tuvalu than in other countries (MFAT).

One of the potential factors contributing to uptake challenges is the limited pool of eligible individuals relative to the number of scholarships available from different funders (DFAT, MFAT). Records also show that many applications did not meet MFAT criteria (e.g., living in country, under 40, successful completion of International English Language Testing System). If there continues to be few suitable applicants for these scholarships, it may be worthwhile to consider the relative split between tertiary and short-term scholarships. In this period, 13% of the scholarships budget was allocated to short-term scholarships.



Other capacity building activities were undertaken, although the outcomes of these are difficult to measure

Fisheries, maritime, and budget support activities during 2018-2021 included capacity building activities, albeit the success of these has been limited due to staff retention (Doc13, Doc25).

²¹ Age is recorded in a different way within the short-term scholarships, so it is more difficult to identify likely school leavers; 28% of those awarded scholarships were 25 or under.

The impacts of capacity building activities, particularly less formal mentoring, are difficult to measure (Doc25, NZGovt); nonetheless, a recent review noted that:

“it is apparent from reports and interviews that the Tuvalu Fisheries Advisor has passed on considerable knowledge and expertise to Tuvalu Fisheries Department staff through working alongside them, providing templates and encouraging them to ‘take the reins’ wherever appropriate.” (Doc25)

Capacity building was also delivered to individuals working in health in Tuvalu, including 10 nurses attending I.N.F.A.N.T.S training for working with infants and children in Pacific contexts (Doc50). Most of those attending the I.N.F.A.N.T.S. training noted that they planned to make changes to their practice after the training (Doc50). 17 nurses and four doctors attending the Pacific Emergency Nurse Training course, and emergency training in general, reported it to be valuable for reducing mortality outcomes in low- and middle-income settings (Doc50). Virtual training in preparation for COVID-19 was also provided (GOT). Visiting medical specialists conducted coaching during their in-country visits, although it is difficult to quantify this impact (NZGovt).

5.2 Impacts on Tuvalu’s Fiscal Environment

To work towards a strong and well-managed fiscal environment, the 2018-2021 4YP sought to contribute to:

- improved fiduciary management by the Government of Tuvalu enhancing growth in sovereign wealth, and
- improved and strengthened management of Government of Tuvalu’s assets and natural resources (particularly fisheries).



New Zealand has contributed to Tuvalu Trust Fund growth and key strategic shifts in the Trust Fund management

The TTF was commonly described as a valuable contribution of New Zealand’s historical support. The fund has grown substantially over the years through contribution from a range of donors and the Government of Tuvalu.

“We put a lot of work in the period to clarifying objectives and horizon – and recalibrating fund managers and governance structure and ensure its fit for purpose.” (MFAT)

During the evaluation period, New Zealand contributed approximately \$3 million to the TTF. New Zealand also continued its role on the TTF board and through the provision of technical support. The TTF board membership allows for ongoing input and financial advice specific to the TTF.



A key contribution unique to this evaluation period was a specific report on the TTF which considered the fiscal outlook for Tuvalu and thus the purpose of the Trust.²² The report, together with findings in reports contracted by other parties, was described as critical for shifting some major changes to how the TTF was managed and its investment objectives (GOT). This included a change from an investment strategy focused on maximising the dividends that the government could draw down on in the short term, to a growth structure that should increase what was delivered over time (GOT). The report also led to changes in how the TTF is managed to reduce fees and build long-term ownership in Tuvalu (GOT). New Zealand expanded the technical advisor role it funded to implement the key decisions made about the TTF during this period (GOT).



Budget support from donors and increases in fisheries revenue provided a buffer against budgetary pressures associated with COVID-19 and the hosting of the Pacific Islands Forum

The Government of Tuvalu's revenue is small and thus substantial changes in revenue or expenses have impacts on the ability to cover basic services. New Zealand provided supplementary budget support to buffer the effects associated with the Pacific Island Forum and the emergence of COVID-19.

An IMF review noted that fisheries license revenue increases and donor grants were important for preventing an economic recession in 2020.²³ Increased budget support, and supplementary budget support associated with COVID-19, likely reduced the need to draw down on the TTF to meet Government outgoings.



PRM-activities tied to New Zealand's budget contributions are focused on financial and infrastructure management, and some progress has been made on core policies

Many of the PRM activities tied to New Zealand's budget support are tagged to financial and governance reforms.²⁴ These include the development and endorsement of the Public Financial Management Roadmap 2020-2024 and development and approval of fiscal ratios (Doc12). Updates were also made to the existing National Infrastructure Strategic Investment Plan (completed) and standard operating procedures for natural disasters (partially completed) (Doc12). A 2019 PRM report for donors noted progress against most activities (Doc76). These reforms provide a policy platform for activities in Tuvalu that should improve its fiscal resilience and the resilience of its infrastructure to climate change.

A focus on implementation may be useful for future stages of the PRM to increase policy changes leading to improvements in Tuvalu's resilience. For example, asset registers such as depreciation and life expectancy have been developed and are currently being used by the

²² Moore, D, Blick, G., Boyle, R. 2019. Fiscal review of the Tuvalu Trust Fund. Report prepared for the New Zealand Ministry of Foreign Affairs and Trade. Sapere.

²³ [IMF - Tuvalu: Staff Concluding Statement of the 2021 Article IV Mission](#)

²⁴ It was difficult to ascertain clearly from the documents provided which reforms were tied to New Zealand's budget contributions.

government to monitor requests for asset purchases against their existing assets (GOT). However, there does not appear to be political will to translate this into a concrete process and budget for asset management (GOT).

In addition to promoting important policy reforms, the PRM budget support was perceived to be effective in terms of bringing all the relevant partners and the Government of Tuvalu into one conversation and initiating conversations around policy reform (MFAT).



New Zealand's support to develop systems for managing revenue-generating contracts for the Government of Tuvalu have not yielded the anticipated benefits

New Zealand also sought to improve fiscal management and revenue to the Government of Tuvalu through support for the establishment of a contract management unit (CMU). This unit supported the negotiation of commercial contracts as well as the day-to-day management of these contracts; ensuring the Government of Tuvalu received a good deal and that various parties were upholding their obligations to Tuvalu.

New Zealand appointed a technical assistant to deliver New Zealand's contribution and produced a contract management framework and a contract management procedure. These were approved by the Ministry of Finance for inclusion in the 2019 Financial Instructions (Doc14). However, government departments were reportedly reluctant to use the new contract management system (GOT, GOT) and, at the time of writing this report, the contract management system is no longer being utilised (GOT24).

It was also reported that key negotiations for contracts during the evaluation period did not utilise the support of the CMU (GOT, GOT). There appears to be limited ownership and a perception that the CMU is not relevant in the current government – it is perceived that few contracts sit outside fisheries and thus there is limited need for the CMU (GOT). On paper, this unit had the potential to improve the Government of Tuvalu's revenue but relevance, buy-in, and local capacity challenges mean that the intended impacts of this support have not been achieved.

Due to staffing vacancies and limited buy-in for the CMU, the in-country technical assistant used some of their time to provide more general training on contracting and budgeting to a range of staff within the Government of Tuvalu (Doc26).



New Zealand contributed to Tuvalu's fiscal outlook through its ongoing work with the fisheries department

Fisheries revenue has generally remained similar or improved compared to the previous evaluation period (Doc24). In 2018, fisheries revenue was particularly high – the work New Zealand undertook to support the vessel day numbers and prices make up 90% of fisheries revenue (Doc73). Despite the COVID-19 context, the number of sold vessel days continued to increase over the period (from 2,110 in 2018 to 2,223 in 2021), albeit at a slower rate than the previous period (Doc73). Revenue for sold vessel days increased through the previous period, and into the current period, at a greater rate to the average for other Parties to the Nauru Agreement (Doc73).

Whilst there have been gains through this work, COVID-19 has impacted on the ability to increase the number of fisheries-related jobs and other intended outputs within 2018-2021 (Doc24). Maintenance and growth of fisheries revenue is critical to the fiscal outlook of Tuvalu as this makes up 40-60% of the government's revenue, thus large fluctuations will have flow-on effects for government spending.

5.3 Impacts on the Bilateral and Regional Relationships

20 Year Strategic priorities for New Zealand's work with Tuvalu include that New Zealand and Tuvalu enjoy a mutually beneficial bilateral and regional relationship. In the medium-term, the 4YP also sought to promote increased coherence between domestic and foreign policies and collaboration on shared interests in regional and multi-lateral fora. Tuvalu, like much of the Pacific, places a strong emphasis on the building of authentic relationships within its foreign policy.²⁵ The relationship between New Zealand and Tuvalu was described positively (GOT, GOT, GOT, GOT, GOT, GOT, GOT, MFAT, MFAT).



Face-to-face engagements in 2018 and 2019 were higher than they had been historically, and this strengthened bilateral and regional relationships

Following the Pacific Reset, frequent visits to Tuvalu strengthened the relationship between Tuvalu and New Zealand. Increasing visits from two per year to six in the evaluation period (prior to COVID-19) (MFAT) allowed strong relationships to be built with key government officials (MFAT, GOT, GOT). Support to Tuvalu for hosting the Pacific Island Forum, a signing of the 2019 Statement of Partnership, and the visit by New Zealand Foreign Minister (and deputy Prime Minister) in 2019 further elevated the relationship between Tuvalu and New Zealand (MFAT, GOT). People interviewed for the evaluation felt that the visit by the foreign minister "shows the support and the commitment" of New Zealand to the Partnership (GOT, GOT).

Support for the Pacific Island forum contributed to regional relationships, enhancing Tuvalu's participation and status in regional discussions.



The bilateral relationship appeared to decline following the change of government and border closures, but communication improved within individual projects

During 2020 and 2021, some of the bilateral relationship gains of the previous two years were lost as communication moved online.

²⁵ Department of Foreign Affairs, Ministry of Justice, Communication and Foreign Affairs, Tuvalu. 2020. Te Sikulagi: Tuvalu Foreign Policy 2020. Government of Tuvalu.

“You build relationship capital in country and you kind of spend it when you’re not there and I think we probably have exhausted out relationship capital.” (MFAT)

“Often we are only contacting [the Government of Tuvalu] when there is an issue as opposed to more socialising and relationship building – can’t do that from Wellington.” (MFAT)

The impacts of COVID-19 border closures were exacerbated by the fact that there was an election in late 2019 and relationships with the new Government of Tuvalu were not firmly established prior to the emergence of COVID-19 (MFAT, MFAT, MFAT, MFAT, MFAT). MFAT staff turnover also contributed to relationship disruption where new staff did not have existing face-to-face relationships to build on (MFAT, MFAT). Similarly, staffing absences and redeployments to address other issues when COVID-19 arose impacted bilateral relationships (MFAT). The locally based MFAT staff member in Tuvalu was seen as particularly valuable for maintaining relationships and lines of communication during this period (MFAT) due to their strong existing relationships (MFAT).

Despite the challenges created by COVID-19, it was noted that project-specific relationships improved over this time as technology improvements in Tuvalu enabled key parties to meet on a weekly basis (GOT). The Ministries of Health in each country met weekly during COVID-19 and the respective Maritime agencies met on a bi-weekly basis around repair work for the Manu Folau (MFAT, Doc15, NZGovt, NZGovt). This was contrasted with high-level meetings with the respective foreign affairs departments which were less frequent and typically scheduled when there was a need (MFAT, MFAT).



Despite the relationship challenges generated by border closures, Government of Tuvalu stakeholders reported the relationship was still working well

Despite the concerns noted by MFAT staff above, Tuvalu evaluation participants remained positive about the relationship with New Zealand (e.g., Donor. GOT, GOT, GOT), describing the country as very responsive to urgent requests (GOT, GOT, GOT) as well as flexible and approachable at a bilateral and at a project level (GOT, GOT, GOT).

MFAT were very flexible in accommodating changes to the work programme – notably delaying consultancies that could not be implemented due to border closures – and allowing resources to be used for work that could be progressed. (GOT)

This flexibility is in keeping with the Statement of Partnership which notes a goal to “pursue flexibility to respond to emerging priorities as they arise.”

Tuvalu’s high commission in New Zealand was seen as key for the bilateral relationship (GOT, GOT, GOT, MFAT, MFAT). Perceptions of this relationship were strongly influenced by high-level engagements with foreign ministers in 2019 and again in 2022, as well as access to New Zealand immigration schemes (GOT, GOT).

For discussion on the impact of the offshore high commission on relationships and other aspects of the programme, see Section 6.3.

5.4 Responsiveness to Changing Socio-economic Trends



Much of New Zealand's work in this period supported revenue generation which should buffer against some of the fiscal and socio-economic trends facing Tuvalu

There is a growing international interest in climate financing and disaster compensation.²⁶ A 2021 IMF report noted the following fiscal and socioeconomic trends as relevant to Tuvalu:

- Potential for negative impact of climate change on fisheries.
- Ongoing fragility of economy.
- Government expenditure on wages, health, and scholarships is increasing.²⁷

There is significant unpredictability over time in the Government of Tuvalu's revenue and funding as well as increased spending on wages, healthcare, and scholarships,²⁸ and spending in the lead up to the Pacific Islands forum. The TTF provides an important buffer to this economic volatility by allowing the government to draw down on net real returns on investment to support its recurrent budget, and/or cover shortfalls (Doc10). The PRM is another mechanism to provide budget support whilst simultaneously promoting reforms that improve the effectiveness of government delivery.

New Zealand provided additional budget support in response to key emerging issues, such as \$2 million in 2019 to cover preparation costs to host the Pacific Islands forum and anticipated government revenue shortfalls. \$2 million was again provided in 2020 as a contribution to prepare for COVID-19, part of which was used for payment supports to families to cover potential income losses due to COVID-19 related restrictions. This additional support helped avoid a recession in 2020.²⁹ Higher than expected fisheries revenues also provided an important buffer against the potential economic effects of COVID-19 (GOT).³⁰

5.4.1 Success of New Zealand's Support in Responses to the COVID-19 Pandemic



New Zealand provided valuable support to the Tuvalu health sector and economy in response to the COVID-19 pandemic

²⁶ [UN Climate Press Release](#)

²⁷ [IMF Tuvalu Staff report for the 2021 Article IV Consultation. IMF Country Report No. 21/176](#)

²⁸ [IMF 2021](#)

²⁹ [IMF 2021](#)

³⁰ [IMF 2021](#)



Following the outbreak of the pandemic, much of New Zealand's budget and bilateral discussions were redirected to COVID-19 and other related health needs (GOT, MFAT). In addition to the budget support noted above, New Zealand provided significant technical support to the Tuvalu Department of Health, including virtual training on the administration of vaccines, hospital repairs, and equipment (GOT, MFAT). New Zealand also provided Pfizer vaccines that were used for children aged 12 and over. Support to the health sector was described as ongoing and crucial (GOT), and the Polynesian health corridors activities provided useful architecture for support to the health sector in response to COVID-19 (MFAT).

New Zealand's support to Tuvalu's Department of Health was described as rapid (GOT) and proactive (MFAT):

“They would not only be quick to send medical supplies, but they were also amongst the first that were ready to deploy their pool of medical staff to help Tuvalu on any medical related matter” (GOT).

Repatriation flights were organised for stranded RSE workers in late 2020 (although ultimately were unable to go ahead due to a community outbreak in New Zealand). New Zealand also provided special flights for patients needing health treatment in New Zealand and budget support to enable the return of a fisheries vessel stranded in Fiji due to border closures (GOT).

Tuvaluans stranded in New Zealand tended to be supported by other members of the Tuvaluan community rather than New Zealand (MFAT). Support was available for particular visa types, however some of this funding was discontinued before Tuvalu's borders were reopened (MFAT). MFAT staff lobbied but were unable to achieve a change in the visa rules and support payments for Tuvaluans stranded in New Zealand during COVID-19 (MFAT) – this was seen as symptomatic of wider challenges getting a small country like Tuvalu on the agenda of New Zealand government agencies (MFAT).

5.5 Long-term Impacts of Legacy Projects



Legacy work in the Tuvalu Trust Fund, renewable energy, and the borrow pits are generating some long-term benefits for Tuvaluan communities

Translation into broad, detectable benefits often has a longer lag time, therefore the evaluation team considered long-term impacts of legacy activities – the borrow pits remediation project, the outer islands renewable energy project, and the ship to shore project – to better understand impact over a longer period.

Community members engaged in this evaluation valued the renewable energy installation (TCmty, TCmty, TCmty, TCmty, TCmty). The availability of energy for most of the day was reported as the biggest impact for communities as it allowed access to cold food storage and other appliances.

“I am very happy with the solar project because I have my business at home that used freezers and refrigerator and also using water pump that can be used at any hour of the day especially at night for my old father.” (TCmty)

Other benefits of the renewable energy work included wages for community members who were employed in the construction and running of the facilities (TCmty), and skill development for community members working alongside the construction company (TCmty).

Figure 5: Renewable energy project solar project on Niutao completed in 2015



Maintenance issues mean that electricity reliability and reduced diesel reliance may be declining over time. The Tuvalu electricity corporation noted that “[We] saw a reduction of diesel consumption in the first 3-years of the project operation, after that the demand increases and the deterioration of the batteries causes diesel consumption to increase again” (GOT). Some stakeholders also noted that power cuts still occur (sometimes for multiple hours and/or 2-3 times per day), with impacts on equipment and fish storage (TCmty, TCmty). Some stakeholders hoped that renewable energy would provide cost savings for families (GOT), however individual families report that power costs have not declined.

With a total land mass of 26 km², access to land for housing, gardens, and development is a challenge for the 12,000 people residing in Tuvalu (TCmty), thus the provision of additional land through the borrow pits remediation continues to benefit Tuvalu. In 2016, Te Kakeega III described this work as “arguably the most significant land development since independence” (p.46). While further land development has since occurred, this work continues to provide sustained benefits.

Community members described ongoing benefits of access to the land as part of the Borrow Pits activities, including new houses and gardens and an area for sports (TCmty, GOT). People also described reduced health and safety risks associated with the area (MFAT), and a disabled individual noted increased accessibility to their home (TVS). However, there were some concerns that the benefits from this activity accrued to a small number of families who owned the land. There are also ongoing discussions around land lease and ownership of the

land itself (GOT). Some families from the outer islands had lost access to their accommodation that had been built as temporary shelters on the borrow pits. We noted that the airport runway, rather than the adjacent restored borrow pits sports ground, continues to be the principal area for daily sports activities.

The visit to Niutao to understand the long-term impact of the renewable energy work also provided an opportunity for the evaluation team to explore the long-term impacts of the ship to shore project. Some improvements have been made to the safety of transport from ships (TCmty, TCmty), although some individuals perceived little improvement (TCmty). There are also ongoing challenges for elderly and disabled people in times of rough weather (TCmty, TCmty) and damage to food and goods in times of bad weather (TCmty).

Figure 6: Legacy Ship to Shore Infrastructure on Niutao



6 Findings: Sustainability of Current and Future Support

Sustainability of New Zealand’s activities and their long-term impacts is a critical factor in determining the long-term contribution of New Zealand’s work to Tuvalu and the 20 Year strategic priorities outlined in the 4YP.

New Zealand has consistently attempted to foster local ownership of its activities through consultations and close collaborations between respective government departments. Capacity building was often integrated into project delivery, and at times specific budgets and maintenance plans were developed prior to project conclusion. However, the inconsistency in the Government of Tuvalu’s budgeting for maintenance of infrastructure projects, the impact of population mobility on capacity building, and the wider context of coastal degradation and maintenance capacity, indicate that New Zealand’s current and future projects are likely to experience sustainability challenges without further investment.

6.1 Sustainability



A range of efforts have been made to build local ownership, build capacity, and develop maintenance plans as part of New Zealand’s core projects

Stakeholders described several steps taken within projects to try to build long-term sustainability of New Zealand’s work, including building local buy-in through consultation and by employing local staff as part of project implementation (MFAT, Doc45). Sustainability planning often included developing a maintenance plan for the work with key actions, timing, and levels of resourcing required (MFAT). For example, within the Vaitupu water security work, specific maintenance plans and training will be developed as part of the project (RegOrg). MFAT staff noted that sustainability discussions need to include capacity: *“having conversation with ministries around resourcing capacity to ensure there are people who can take it on as part of their role”* (MFAT).

Capacity development was common within New Zealand’s initiatives during this period, such as for budget, fisheries, maritime, and water security activities (Doc15, Doc9, Doc15).



Capacity building efforts need to be cognisant of population mobility and Tuvalu Government staff rotation

Off-shore employment and migration, rotation of staff between positions, and retirement of staff need to be considered within capacity building activities. This is not a unique issue to Tuvalu, it is common in small island developing states, and as noted elsewhere, also impacts on MFAT’s own capacity.

Within the CMU project, a single person was trained to undertake this work, but the capacity was lost once this person moved into another role. Within fisheries, capacity building is still impacted by staff rotation, however as capacity is supported across a wider variety of staff, it



is less susceptible to individual movement. Scholarships, immigration, and the subsequent staff movement created by this mobility will almost certainly continue regardless of New Zealand's own settings in these areas. Staff rotation and population mobility needs to be factored into New Zealand's capacity building activities.

One-off training initiatives, such as for water-asset maintenance, cannot be assumed to be sufficient for the duration of the project – it is not realistic to expect that staff trained during short-term delivery of a project will be present in the role two, five, or even 10 years later. Individuals mentioned the need for frequent retraining on an annual or bi-annual basis around key skills such as finance (GOT), maintenance, and cleaning of desalination plants (GOT). Reoccurring training for multiple people should increase the sustainability of capacity building efforts; however, it is important to be cognisant that capacity gaps will still arise over time. The sharing of training with incoming staff was not obvious in the projects we looked at, potentially in part due to prolonged vacancy gaps. Such vacancies mean that train-the-trainer models may not be an appropriate solution here. Scholarships, particularly short-term scholarships, could be aligned to New Zealand activities to sustain New Zealand's investments. Post-scholarship retention would also need to be considered, for example whether the roles are sufficiently remunerated. Wider donor discussion may be useful to identify if there are models for capacity building that have worked well in a Tuvaluan context or for other small island developing states.

Population size and mobility may influence access to specialist maintenance capacity, as well as the retention of maintenance training: despite receiving training in maintenance, the Tuvalu Electricity Corporation perceived that someone from overseas needs to be brought in to run full assessments and checks on the renewable energy projects. Likewise, there may be unanticipated issues that individuals have not been trained for. For example, there is a desire for someone to support the local community to understand and address growth of seaweed within the recently renovated bathing ponds (TCmt). Within the renewable energy work, a one-year design liability period was included (Doc41), however Tuvaluan stakeholders commented that it is often only after this period that issues crop up (GOT). The opportunity to access experts for remote troubleshooting and training may be a relatively cost-effective way to provide this support, depending on the complexity and equipment requirements of the task.

6.2 Partnerships with Leaders in Tuvalu

Much of New Zealand's core programme during this period was conducted in partnership with the Government of Tuvalu, albeit sometimes with third parties leading that partnership.

- For water security activities, there was strong involvement between the implementing organisation and the Government of Tuvalu, and a specific role was set up with the climate change department to support this partnership.
- Strong involvement between governments also occurred within health and maritime projects. Within the maritime work, this involved weekly or biweekly meetings for critical periods of the project.
- Collaboration also occurred with the Government of Tuvalu around scholarships through sharing information and participation in interview panels, as well as comparing lists of candidates to address potential double-ups (GoT2).



- The budget support matrix, and the TTF activities, operated as a partnership with the Government of Tuvalu and multiple other donors.

Some individual projects included consultation with community members as part of their delivery – this appeared to be a particular strength of the water security work. The water infrastructure initiatives involve consultation and approval by local Kaupule on each relevant island (TCmty). No other major infrastructure projects were delivered in 2018-2021.

Related community projects included community gutter maintenance initiatives. These initiatives reported good buy-in for the outer islands but buy-in from community leaders on Funafuti was more challenging due to the large number of separate outer-island community structures in addition to the Funafuti Kaupule (RegOrg).

As noted earlier, much of the delivery took the form of budget support and other support to the Government of Tuvalu, rather than directly to communities. As might be expected, for such work it is not obvious that New Zealand engaged in partnerships other than with the Government of Tuvalu.



Local maintenance budgets and culture are negatively impacting the sustainability of New Zealand's current and future infrastructure support, as well as the sustainability of initiatives implemented by other donors

At least some New Zealand and Tuvalu government officials shared the idea that assets should be handed over to the Government of Tuvalu to become responsible for maintaining those assets (MFAT, GOT). Through the PRM, the Government of Tuvalu has developed an asset management register, which includes an assessment of lifecycle and asset depreciation (GOT, GOT). This work has the potential to support better planning and budgeting for infrastructure maintenance, however barriers to implementation include complexity of the documentation provided around depreciation, maintenance needs, and concerns that any budget set aside could be reprioritised by a subsequent administration (GOT). A review of Tuvalu's renewable energy infrastructure noted that there was not a long-term asset maintenance plan within the electricity sector, posing a future risk to sustainability of New Zealand's work in this area (Doc41).

The body responsible for maintaining renewable energy infrastructure provided by New Zealand has been unable to secure the necessary finances to do so. An electricity tariff increase was considered unaffordable for the population and requests to central government for extra funding were not successful (GOT). Nonetheless, maintenance budgets are possible; there are examples of maintenance budgets being set aside for some projects (e.g., the fisheries building opened in 2019), as well as in maritime, although historically these budgets may have been insufficient given the age and stage of the boats.

Some evaluation participants raised questions about whether sustainability without ongoing input is realistic (GOT, GOT, GOT, MFAT, TCmty), including for maritime work (GOT), fisheries (Doc16), and Vaitupu water security (TCmty). Some community members did not explicitly caveat sustainability of the water security infrastructure as dependent on external or central government input (TCmty).

Maintenance challenges are not unique to New Zealand's projects – we heard several examples where a second donor was subsequently brought in to provide repair or replacement of assets, such as for the New Zealand-funded repairs of the Manu Folau, New Zealand's contributions to maintenance of water infrastructure through SPCs work, and current requests for repairs to another donor's renewable energy infrastructure.

Without ring-fencing appropriate budgets and access to the right technical skills, maintenance and sustainability of assets is likely to be an ongoing issue for New Zealand's current and future work.



There is a need for greater consideration of context-specific materials

A complicating factor for infrastructure maintenance in the Tuvaluan context and the Pacific more generally is the impact of coastal conditions on the rate of degradation of infrastructure. Much of Tuvalu is a very narrow atoll structure, leaving key infrastructure very exposed to the damaging impacts of sea spray.

Despite maintenance and repainting efforts, there is substantial rust on the metal elements of the New Zealand funded fisheries building opened in 2019 (Figure 7). Maintenance and painting work has been done but this has been unable to resolve rust in nails and other metals.

Figure 7: New Zealand-funded fisheries building opened in 2019, with example of rust degradation (right)



Degradation appears to be particularly high on sites exposed to sea spray. Figure 8 shows the deterioration on another largely metal building constructed in 2018/2019, with high exposure to sea spray.

Figure 8: Other building completed in 2019 with evidence of early decay

Both the fisheries building and the solar panels from the previous three-year period were built to New Zealand quality and building standards (Doc41, Doc84). However, ongoing rust issues indicate that these building standards may not sufficiently consider the impacts of the local environment. The contract for the fisheries building (from the previous evaluation period) referenced and factored into the design a range of considerations around temperature and wind speed, but sea spray or other coastal conditions were not outlined (Doc84). There were no specific contracts for building construction available in the current period, but risk registers for activities that will require construction (such as Vaitupu water security) do not include risks around material degradation or budgeting for maintenance (Doc82, Doc83).³¹

6.3 Implications of a Non-resident High Commission



The non-resident high commission impacts on relationships, knowledge, and visibility of New Zealand’s work, access to consular services, and progress and involvement in day-to-day planning (particularly in a COVID-19 context)

During the evaluation period, New Zealand operated a non-resident high commission from Wellington and employed a Senior Development Programme Coordinator in Tuvalu. In 2018-2019, New Zealand staff were visiting Tuvalu six times a year.

The offshore high commission has an impact on the type and visibility of New Zealand’s projects, the relationship with the Government of Tuvalu and Tuvaluan people, involvement in

³¹ A risk register for the Maritime Strengthening work was not provided so we were unable to assess its contents.

day-to-day planning, and the access of Tuvaluans to New Zealand consular services, as depicted in Figure 9.

Figure 9: Implications of a non-resident high commission



The bilateral relationship is also impacted by the non-resident location of New Zealand’s high commission and was exacerbated by COVID-19 related travel restrictions. Tuvalu’s foreign policy emphasises the *“building of authentic relationships that are mutually beneficial (taugasoa sai) and based on respect (aava or amanaia).”* Funafuti, where the Government of Tuvalu is based, is very small: the total island is 2.4km². Collaboration is often achieved through face-to-face communication and by dropping into offices (Donor2); relationship development opportunities are missed without a strong senior representative on the ground.

MFAT staff noted that bilateral discussions and specific activities were more difficult to conduct offshore. Whilst New Zealand has a staff-member in country, there is not the same access to senior government officials, or the same influence in discussions (MFAT, MFAT). For those based in Wellington, communication and buy-in was more difficult to achieve virtually, even when they were able to draw on existing relationships and previous visits.

“When we are on Zoom it’s hard to have a free and frank and it removes the person-to-person dynamic that you can lean on and set certain things in place.”
 (MFAT)



MFAT staff felt the offshore high commission, combined with the inability to visit due to border closures, shifted the relationship to a transactional rather than meaningful relationship. Recent interactions have tended to be more focused on needs and problems, rather than relationship-strengthening (MFAT). It was noted that since Tuvalu's borders have been reopened, specific project teams have visited, but the bilateral team had not.

Tuvalu evaluation participants frequently contrast this with higher quality relationships and day-to-day involvement with those partners who were based in country. For example, senior Government of Tuvalu staff described frequent messages and meetings with Australia and Taiwan (GOT, GOT), while simultaneously struggling to find time or sending more junior staff to attend online meetings with New Zealand (GOT). Meetings were also frequently cancelled at the last minute (MFAT).

Tuvalu stakeholders felt an in-country presence would enable greater involvement in day-to-day planning (GOT). Again, New Zealand's engagement was contrasted with Australia's, where policy and other discussions happened on a frequent basis (GOT, GOT).

The offshore high commission also impacts the awareness of Tuvalu's needs and the identification of project opportunities. For example, one of the motivations for budget support payments in response to crises was that New Zealand struggled to identify from offshore what was really needed to adequately respond. Similarly, MFAT staff noted that they were less confident in what they were being told due to their distance from what was happening on the ground. Information on community needs comes to New Zealand indirectly through communication with Government of Tuvalu officials, or perceptions from other donors.

New Zealand's offshore presence also appears to be reducing visibility of New Zealand's contributions in Tuvalu (in combination with the use of implementing partners and the strong focus on budget support). There was limited visibility of New Zealand's work or the New Zealand office and website among community members that we spoke with (TCmty9, NGO and community sense-making). There were also mixed levels of knowledge of New Zealand's projects among those living on outer islands, where specific infrastructure projects had been delivered in the previous period – those in the Kaupule or involved in projects could identify New Zealand funded work, but knowledge was mixed among others (TCmty, TCmty, TCmty, TCmty). Current government secretaries were not always aware of projects in their departments that had been implemented by New Zealand during 2018-2021, but they could list projects delivered by other donors.

Individuals in Tuvalu commonly noted challenges with the accessibility of New Zealand's consular services. The nearest location for these services was Fiji, which is an expensive flight away, and there were several instances where individuals got stuck in Fiji due to delays in visa processing. The need to complete applications and payments online is a challenge in a country like Tuvalu, where there is no online banking system, no access to credit cards, and few people have access to Wi-Fi.



7 Conclusions and Recommendations

New Zealand's activities in Tuvalu were well aligned with Tuvalu's strategic plans and local needs. Activities were also generally well aligned with New Zealand's strategic objectives and policies, including the Pacific Reset and the Rest to Resilience cabinet papers, New Zealand's Pacific and Development Climate Action Plan, and the ICESD policy. For the ICESD quality domains, there were strengths around resilience and further opportunities in relation to the domains of effectiveness, sustainability, and inclusiveness.

New Zealand is working well with other donors in Tuvalu, with a range of complementary actions and mechanisms to promote coordination. There are opportunities to improve consistency of communication, including with other New Zealand agencies undertaking work in Tuvalu.

COVID-19 and border closures substantially impacted New Zealand's work during the period, causing delays across multiple projects. Efficiencies were built through complementary activities across a small number of activities and sectors. Across the programme there was mixed achievement of immediate objectives, often linked to delays caused by COVID-19. Evidence of progress on medium-term objectives was limited, but specific reviews were undertaken for core pieces of work to increase the learning and evidence base.

New Zealand's work generated short-term and likely long-term impacts within the area of fiscal strengthening, but it is too early to ascertain the impact of climate change activities due to delays in project delivery. Despite engagement in the early part of 2018-2021, and some close working relationships for particular projects, the strength of relationships was mixed over this period. Legacy borrow pits and renewable energy activities continue to benefit Tuvalu, although maintenance issues are reducing the impact of the renewable energy infrastructure.

Several activities were undertaken to promote sustainability of New Zealand's activities, such as building local ownership through consultations and close collaborations between respective government departments, integrating capacity building, and developing maintenance plans. However, budget allocations, population mobility, and the wider context of coastal degradation and maintenance capacity are likely to limit the sustainability of current and future projects without further investment.

Based on our findings, we assessed the programme as meeting or exceeding expectations on each of the DAC criteria.

Table 5: DAC criteria and judgement

Criterion	Judgement	Justification
Relevance	Exceeding expectations	New Zealand engagement is exceeding expectations in terms of alignment with Tuvalu's priorities; it is focused on priorities in Tuvalu's national strategic documents and supporting revenue generation or community access to key needs (water, healthcare). Overall New Zealand's contribution is meeting expectations in terms of alignment with the New Zealand's priorities (e.g. ICESD quality domains and other policies), although there are further opportunities in relation to effectiveness, sustainability, and inclusiveness of the work. Alignment towards Tuvalu's priorities was given greatest weighting in this decision.
Coherence	Meeting expectations	New Zealand is working well with other donors in Tuvalu; there were co-funded activities (TTF and PRM) and no evidence of duplication. Mechanisms exist to promote coherence between donors, and stakeholders felt these were useful, although in-country donor meetings could be undertaken more consistently and may benefit from more senior MFAT involvement. Overall, the programme is meeting or exceeding expectations in terms of alignment with the work of other funders and projects and meeting expectations in terms of the functioning of donor coordination mechanisms.
Efficiency	Meeting expectations	To build efficiencies New Zealand's activities drew strongly on previous initiatives, built synergies across activities, delivered efficiencies through regional projects, and focused on a relatively small number of sectors. A mix of modalities balanced the relative cost, local ownership, and impact trade-offs of each modality across the programme of work. Contextual operating challenges were exacerbated by the COVID-19 context and numerous projects were delayed and/or experienced cost escalations. Some of these delays were due to foreseeable factors that were likely to have occurred in the absence of COVID-19.



Criterion	Judgement	Justification
Effectiveness	Meeting expectations	<p>Project reporting did not consistently report results against specific outcomes and there was limited monitoring of medium-term outcomes or actual use of delivered projects. Reviews have been undertaken on specific projects to build learning.</p> <p>There was mixed achievement of immediate objectives. Generally, the TTF projects, fisheries, PRM, specific budgets and medical treatment scheme achieved their immediate outputs and objectives. There was mixed success in terms of outputs and subsequently outcomes for water security and related projects, maritime strengthening, and the contract management unit.</p>
Impact	Meeting expectations	<p>New Zealand's work generated short-term and likely long-term impacts within the area of fiscal strengthening. There were limited clear positive impacts of evaluation period activities on bilateral relationships and infrastructure resilience. Within climate change it is too early to assess or predict long-term impacts as most the initiatives identified for this period are yet to be delivered.</p>
Sustainability	Meeting expectations	<p>New Zealand has consistently attempted to foster local ownership and included capacity building to promote sustainability. However local contextual factors pose significant challenges to the sustainability of many of New Zealand's projects without further investment.</p>

7.1 Recommendations

1. **Offer long-term investments in a select range of sectors.** Long term investments reduce some of the scoping and setup costs, allow for longer-term capacity building, a wider set of possible actions, and offer certainty for implementing partners, the Government of Tuvalu, and other donors. MFAT should continue work in sectors such as finance, health, and fisheries where New Zealand has had a long-term presence, and work with the Government of Tuvalu to identify other potential areas for long-term investments.
2. **Build a senior in-country presence.** This is needed to strengthen relationships, visibility of projects, and local needs, as well as monitoring of activities and outcomes. The offshore presence combined with border closures has constrained the building and maintenance of relationships, the visibility of New Zealand's work, and knowledge about project progress and outcomes. The prominence of the relationship between Tuvalu and New Zealand may continue to fade in the absence of a stronger presence, given that Taiwan and Australia are now more accessible through the opening of local high commissions.
3. **Address staffing levels, staff retention, and staff rotation across the Tuvalu bilateral MFAT team.** Frequent movement of staff disrupts relationships which are critical to bilateral engagement in a Pacific context. It contributes to inefficient processes for the



team and implementation partners and reduces MFAT's organisational knowledge about its work in Tuvalu. Staff within the bilateral team had a large scope of development work and budget to manage in addition to their policy portfolios.

4. **Continue to invest in donor collaboration.** Prioritise consistent donor engagement and invest to support coordination if needed. Maintenance challenges appear to be widespread across donor-funded projects in Tuvalu, therefore collaborative work in this space may benefit all donors.
5. Work with Tuvalu and other regional partners to develop Pacific approach to labour mobility that is cognisant of the impacts on local capacity. In addition to economic benefits through remittances, New Zealand-based work placements were widely considered to be a valuable tool for capacity building. This will need to remain cognisant of the risk of removing those who already have skills in these areas from the local economy in Tuvalu.
6. Undertake a review of the medium-term outcomes of the scholarship work in Tuvalu, and scholarship uptake, to inform actions to better align these with local needs and circumstances. Potential issues around relevance, uptake, representation of young people, and temporary negative impacts on local capacity were raised in this evaluation but could not be assessed with the information provided.
7. Plan capacity building activities with an expectation that these will be impacted by population mobility; repeat or ongoing capacity building may be needed to ensure capacity is maintained. Staff rotation, scholarships, and emigration mean that one-off training for individuals is unlikely to build resilient capacity.
8. **Ensure that infrastructure planning considers coastal conditions in the choice of materials and future maintenance plans.** Project materials and maintenance plans need to align with the realities of the local environment (e.g., rust, fast degradation of metals).
9. **Improve dual accountability for maintenance of infrastructure.** This could be promoted through a commitment to budget and responsibilities as part of a partnership agreement at the outset of infrastructure activities. Expectations need to consider the ability of Tuvalu to fund and deliver maintenance work across a wide range of donor infrastructure investments. New Zealand, or New Zealand in partnership with other donors, should consider an infrastructure maintenance facility that enables access to the required technical expertise, potentially as a regional facility.
10. Utilise inclusive approaches across programme delivery processes to enhance equity and measurement of outcomes for women, children, youth, rural populations, and other marginalised groups.

7.2 Other Contextual Considerations for Future Scaling

- Future scaling of the programme size will likely require ongoing utilisation of trusted, contextually knowledgeable implementing partners.
- Interviewees consistently identified the large demands on a relatively small public sector and thus the need for technical support and/or low reporting requirements. Increased meeting frequency is also causing an impact on staff time (DOC16,



GOT). Future scaling needs to be done in a way that does not increase the burden on the Government of Tuvalu.

- Migration is likely to continue to impact critical areas of local capacity and New Zealand could consider supplementation in key areas. Australia is also considering a new immigration scheme for the Pacific. Within Tuvalu, there is often little redundancy in terms of skillsets – when individuals migrate there may not be others present to fill key roles. Tuvalu, like much of the world is experiencing a shortage of nurses and other roles which are important for accessing basic services. There may be opportunities to engage the diaspora in New Zealand and elsewhere to address capacity constraints.
- Banking services in Tuvalu, including the absence of an online banking system, credit cards and ATMs, impact on Tuvaluan's access to New Zealand visas, scholarships, and the transfer of remittances back to Tuvalu.
- Stakeholders noted challenges in the education sector (where challenges are currently noted in literacy at a primary level, and science at a high school level, which limit access to tertiary qualifications needed for essential jobs), and few if any initiatives to create employment pathways for Tuvaluan youth who do not complete high school. These factors may pose challenges to resilience in Tuvalu over the longer term. Australia, and possibly other donors, do have some initiatives underway for high school students in Tuvalu.



Appendix 1 – Evaluation Objectives and Questions

Objective 1: Assess the alignment and coherence of MFAT’s engagement in Tuvalu 2018-21

To what extent did New Zealand’s integrated approach to development cooperation effectively maximise strategic policy alignment, relevance, and responsiveness for:

- New Zealand’s strategic objectives, including in gender, child and youth wellbeing, human rights, and climate change?
- Tuvalu’s priorities for national development?

To what extent was New Zealand’s integrated approach to development cooperation in Tuvalu consistent with:

- the Global Partnership for Effective Development Cooperation and the Paris Declaration on Aid Effectiveness (particularly donor alignment)?
- New Zealand’s International Cooperation for Effective Sustainable Development (ICESD) Policy Statement?
- New Zealand’s International Development four quality domains?

Objective 2: Assess the achievement of strategic goals articulated in the 4YP and New Zealand’s impact

To what extent has MFAT’s engagement over 2018-21 effectively contributed to the Strategic priorities:

- increased resilience to the impacts of climate change?
- a strengthened fiscal environment for Tuvalu?
- a deepened bilateral relationship between New Zealand and Tuvalu?

How effectively did MFAT’s engagement respond and adapt successfully to the COVID pandemic and its ongoing impacts for Tuvalu?

To what extent has MFAT’s engagement over 2018-21 successfully responded to changing fiscal and socio-economic trends and build on previous New Zealand support to maximise positive impact?

To what extent did the bilateral programme over 2018-21 effectively integrate New Zealand’s development quality principles (effective; inclusive; resilient; and sustained)?



Objective 3: Assess the effectiveness and efficiency, of New Zealand’s approaches and ways of working to achieve desired strategic objectives

To what extent has MFAT’s Tuvalu engagement over the period effectively:

- utilised the most effective and efficient modalities to achieve desired objectives?
- effectively partnered with Tuvalu’s leaders (Government; Civil Society, including Church) on joint priorities?
- successfully collaborated with other New Zealand government agencies to deliver development outcomes (including through regional initiatives)?
- successfully engaged with and influenced other donors to leverage New Zealand and the overall effectiveness of the assistance being provided?

Objective 4: Offer insights into the sustainability of current and future support

To what extent has MFAT’s Tuvalu engagement over the period effectively considered the sustainability of current and future support?

What learnings can be identified to maximise achievement of Four-Year Plan objectives? Including:

- use of resources for greatest effect, and
- ability to scale investments to best realise and maximise New Zealand’s impact.



Appendix 2 – Evaluation Criteria and Standards

The evaluation framework is based on the Development Assistance Committee (DAC) Quality Standards for Development Evaluation (2010). It makes use of the OECD DAC criteria as a framework for the evaluation and facilitates a strategic overview within an international development context. We defined the DAC criteria using the New Zealand International Quality Domains as relevant to the specific areas of interest for this evaluation (i.e., KEQs). In doing so, we also begin to identify our evidence focus and how we will collate evidence to inform judgements on the merit and worth of the strategic programme.

Our approach to the MFAT/DAC standards as well as additional evaluation and development standards are described below. Specific indicators of success for each criterion are outlined subsequently in Table 6.

Relevance

Consideration was given to whether the Four-Year Plan (4YP) was responsive to Tuvalu's economic, social, environmental, and political context, and what adjustments were made if any, to changes in the local context, to maintain alignment with stakeholder needs. The relevance assessment was focused on the 4YP relevance to beneficiary and stakeholder needs, and relevance to context. For the three legacy projects, we also considered relevance over time and equitable participation as a means to be responsive and relevant to Tuvalu. The stakeholders and beneficiaries needs, and a reflection of these changing needs, included consideration of the diaspora and any potentially marginalised groups (e.g., gender, disability, ethnicity, sexuality, age (youth) and social class).

Coherence

In assessing the coherence of New Zealand's 4YP for Tuvalu, we looked at how clearly the goals and objectives of the 4YP are aligned with Tuvalu's national development plans, the needs of non-government stakeholders, as well as New Zealand's strategic objectives as set out in the Quality Domains and ICESD. Given the international development context, it was critical to consider alignment with other bilateral and multilateral donors, and NGOs that are operational in the country. The coherence dimension goes beyond merely establishing strategy and programme complementarity with other donors. It also includes the mechanism for donor co-ordination and the focus of high-level consultations, such as establishing appropriate processes for donor co-ordination, who determines the agenda for high level consultations, and whether these consultative processes are fit-for-purpose to enable proper alignment.

The 4YP was also assessed broadly for consistency with New Zealand's development quality principles (effective, inclusive, resilient, and sustained).

Efficiency

Efficiency aspects include, but are not limited to, transparent relationships based on shared development goals and values. This is particularly important for the New Zealand – Tuvalu



relationship, as the two countries share common interests pertaining to issues in the Pacific and work together in regional and international forums on renewable energy, fisheries, climate change, and labour and employment. Operational efficiency would include working together, making use and building upon existing resources, working with others, and well-targeted capacity building. Timeliness is also a key indicator of success. We considered whether delivery was within the intended timeframes, appropriateness of timeframes, what adjustments were made due to changing contexts, and to what extent results were achieved.

Effectiveness

Effectiveness focused on both the modalities (including capacity building) and approach to achieve the agreed goals, as well as the achievement of the outcomes. A key area was whether the approach and outcomes have been agreed, focusing on outcomes. We considered whether these have been well recorded, and if lessons learned were taken on board by current programme management, wider MFAT, and Government of Tuvalu. Where evaluations have been undertaken and the results are available, we aggregated the judgements across approaches and modalities in terms of effectiveness.

Impact

It was valuable to consider how the programme in the current period, notably 2018-2021, may have had additional benefits for Tuvalu, as a nation, above and beyond those in the previous period. These differential benefits may be realised for the Government of Tuvalu, the nation of people and/or specific sectors or people. We expect the long-term objectives, albeit oftentimes lofty goals and broader benefits, would have been considered in the programme and evaluation designs, and ideally monitored throughout the activities. Given enough time, some benefits would be detectable, and could be found in existing evaluations and/or perceptions of those where the benefits are expected to be realised. It was important to consider inclusion, and notably, the benefits that were achieved for those that tend to get left behind.

Sustainability

Strengthening sustainability of impacts can be addressed on multiple levels: budgeting, technical capacity, local ownership, governance arrangements, and inclusive activities. Resourcing and capacity planning needs to consider the long-term intentions for the programme of work.

When measuring sustainable results, we considered development principles pertaining to ownership, mutual accountability, and capacity development. Mutual accountability along with ways of working that incorporate human rights, social inclusion and gender equality, and climate resilience approaches are fundamental to effectiveness and impact in the context of this evaluation.

While aspects of mutual accountability are integrated into the 4YP, it was important to verify what this looks like in practice and to what extent this has been implemented. Likewise, it was essential to consider how local partners have been strengthened in the process, and whether the selected aid modalities have enhanced local ownership.

Table 6: Tuvalu Strategic evaluation: criteria, assessments and indicators³²

Criterion	Not meeting Expectations	Meeting Expectations	Exceeding expectations	Example indicators (and information sources)
<p>Relevance</p> <p>New Zealand's work with Tuvalu responds to the need of beneficiaries, Tuvalu, NZ, and continue to do so if needs change.</p>	<p>New Zealand's work with Tuvalu is rarely responsive to needs and priorities of Tuvalu.</p> <p>New Zealand's work with Tuvalu is rarely consistent with NZ priorities.</p>	<p>New Zealand's work with Tuvalu is relevant to Tuvalu's needs, albeit inconsistently</p> <p>New Zealand's work with Tuvalu meets NZ priorities.</p>	<p>New Zealand's work with Tuvalu is always, or almost always relevant to Tuvalu's needs.</p> <p>New Zealand's work with Tuvalu meets NZ priorities.</p> <p>[Weighting; 75%, 25%]</p>	<p><i>Project and relationship alignment with the high-level needs outlined in Government of Tuvalu documents (Tuvalu TKIII; Te Kete; 4Y plan).</i></p> <p><i>Project goals, relationships, and ways of working alignment with core MFAT policies (Pacific Reset, ICESD, New Zealand's Pacific and Development Climate action Plan 2019-2022).</i></p> <p><i>Government of Tuvalu involvement in the development of the 4YP and Statement of partnership (MFAT interviews, GOT interviews).</i></p>

³² We have altered the headings of the criteria judgments to shift away from a focus on 'expectations' in acknowledgment that expectations may differ and can be a loaded term in this context. ICESD criteria are covered within the assessment of relevance to New Zealand's priorities rather than in relation to coherence.

Criterion	Not meeting Expectations	Meeting Expectations	Exceeding expectations	Example indicators (and information sources)
<p>Coherence: alignment</p> <p>New Zealand's work is aligned/complementary to the work of other bilateral and multilateral donors, and NGOs that are operational in the country. Duplication is avoided.</p>	<p>New Zealand's work with Tuvalu is not aligned with the work of other donors. Mechanisms do not exist to promote donor coherence or are very ineffective/detrimental to donor coherence.</p>	<p>New Zealand's work with Tuvalu is coherent with the work of other funders, albeit inconsistently. There are mechanisms to promote donor coherence, but these are achieving mixed results.</p>	<p>New Zealand's work with Tuvalu is aligned with the work of other funders and other projects (e.g., complementary, avoids duplication with other funders).</p> <p>There are mechanisms in place to promote donor coherence and these are functioning well.</p> <p>[Weighting; 50, 50%]</p>	<p><i>Project alignment and non-duplication with the work of other donors (MFAT interviews, donor interviews).</i></p> <p><i>Mechanisms to support donor coordination (MFAT interviews, donor interviews).</i></p> <p><i>Evidence of local ownership of projects.</i></p>
<p>Efficiency: operational efficiency</p> <p>Intervention activities are cost-effective and timely, or likely to be cost-effective and timely as they make good use of existing resources and transparent collaborative relationships.</p>	<p>Timeframes and costs not adequately considered within project activity planning.</p> <p>For many projects timeframes or budgets are exceeded, and changes are due to foreseeable factors.</p>	<p>Core project activities consider cost-effective, and timeliness, for example by making strategic use of existing resources but for many projects timeframes or budgets are exceeded. Changes are not due to foreseeable factors.</p>	<p>Core project activities are cost-effective (relative to alternatives) and timely (relative to alternatives). If timeframes and budgets were not achieved, this was not due to foreseeable factors (e.g., border closures due to COVID-19).</p> <p>[Weighting; 50%, 50%]</p>	<p><i>Project deliverables relevant to planned timeframes and/or deliverable timeframes adapted for local contextual factors (ACAs, AMAs, MFAT interviews, Government of Tuvalu interviews).</i></p> <p><i>Modalities perceived to be effective and relevant for the given context (business cases, ACAs, AMAs, MFAT interviews, Government of Tuvalu interviews).</i></p>

Criterion	Not meeting Expectations	Meeting Expectations	Exceeding expectations	Example indicators (and information sources)
<p>Effectiveness: outcomes-focused</p> <p>Interventions are focused on results and outcomes.</p>	<p>Little to no focus on results and outcomes in core project objectives.</p> <p>Little or no evidence that the immediate objectives were achieved.</p>	<p>Core projects focused on results and outcomes, albeit inconsistently.</p> <p>Some evidence that immediate objectives of core projects were achieved.</p>	<p>Core projects focused on results and outcomes.</p> <p>Core projects achieved their immediate objectives.³³</p> <p>[Weighting; 50%, 50%]</p>	<p><i>Extent to which project activities are clearly aligned to stated outcomes (ACAs, AMAs).</i></p> <p><i>Lessons recorded and used to improve projects (MFAT interviews, ACAs, AMAs).</i></p> <p><i>Outcomes clearly recorded, where relevant.</i></p>
<p>Impact: differential benefits</p> <p>New Zealand’s work contributes to climate, fiscal, and bilateral relationships outcomes.</p> <p>Where information can be obtained, benefits for those who tend to get left behind will be considered.</p>	<p>No indication of improvements to the impacts of climate change, fiscal environment, or bilateral relationship.</p>	<p>Some improvements made to aspects of at least one of the following:</p> <ul style="list-style-type: none"> • Resilience to the impacts of climate change. • Strengthened fiscal environment. • Deepened bilateral relationship. <p>Little or no evidence of unintended negative effects.</p>	<p>Improvements in aspects of Tuvalu’s</p> <ul style="list-style-type: none"> • resilience to the impacts of climate change • fiscal environment, and • bilateral relationship with NZ³⁴ (two or more of the above). <p>Little or no evidence of unintended negative effects.</p> <p>[Weighting 50%, 50%]</p>	<p><i>Improvements in the short or medium-term outcomes (ACAs, AMAs, project evaluations where available, MFAT interviews, Tuvalu interviews including project beneficiaries).</i></p> <p><i>Change in perceptions of the value of the NZ - Tuvalu relationship.</i></p> <p><i>Change in Tuvalu’s resilience to climate change (e.g., change in water security on Vaitupu).</i></p>

³³ “Timely” delivery is within the intended timeframe, or a timeframe reasonably adjusted to the demands of the evolving context” [OECD](#)

³⁴ We anticipate that outcomes will have been affected by COVID-19, thus where possible we will consider impacts achieved prior to COVID-19, as well as over the full period.



Criterion	Not meeting Expectations	Meeting Expectations	Exceeding expectations	Example indicators (and information sources)
<p>Sustainability: ownership Benefits of New Zealand's work with Tuvalu are likely to be sustainable over time.</p>	<p>Future sustainability is considered within project activities.</p> <p>Future sustainability is given little consideration within project activities.</p>	<p>Project benefits are unlikely to be sustainable across time.</p> <p>Future sustainability is adequately considered within project activities.</p> <p>There is evidence some project benefits are likely to be sustainable over time, but others may not be.</p>	<p>Future sustainability is thoroughly considered within projects activities.</p> <p>Benefits of the projects are likely to be sustainable over time.</p> <p>[Weighting 50%, 50%]</p>	<p><i>Existence of planning and capacity building to sustain benefits (ACAs, AMAs, MFAT interviews, Government of Tuvalu interviews).</i></p> <p><i>Perceptions of whether the benefits will remain beyond the timeframe of NZ's support (Government of Tuvalu interviews, NGO interviews, project beneficiary interviews).</i></p> <p><i>Local ownership promoted through project design, consultation, or choice of modalities (business cases, ACAs, AMAs, MFAT interviews).</i></p> <p><i>Exit strategy considered within projects (business cases, ACAs, AMAs, MFAT interviews).</i></p>

Evaluation Framework

Table 7 contains the key evaluation questions (KEQs) and evaluation criteria informed by the specific objectives for the Tuvalu 4YP evaluation listed in the evaluation Terms of Reference and research undertaken in this scoping phase. The evaluation questions guided tailored interviews with different stakeholders. As a result, sometimes the questions were asked at a whole-of-programme level and at other times (depending on the stakeholder) they were asked at an activity or priority-specific level. The table also identifies the sources of evidence and methods to collect information that were needed to answer the questions.

Table 7: Evaluation framework and key evaluation questions

Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
Objective 1: Assess the alignment and coherence of MFAT's engagement in Tuvalu 2018-2021			
KEQ 1.1 To what extent did New Zealand's integrated approach to development cooperation effectively maximise strategic policy alignment, relevance, and responsiveness for <ul style="list-style-type: none"> • New Zealand's strategic objectives • Tuvalu's Priorities for National Development 	Coherence	<ol style="list-style-type: none"> 1. What are New Zealand's strategic objectives as they relate to Tuvalu? 2. What are Tuvalu's priorities for national development? 3. Did the 4YP align with New Zealand's integrated approach (informed by the Pacific Reset)? 4. Was there alignment between the 4YP, and TK III/Te Kete national development plans? 5. What are Tuvalu's priorities for the relationship with New Zealand? 	Document review MFAT strategy and policy documents such as the Tuvalu 4YP, Tuvalu Programme Logic, New-Zealand - Tuvalu Partnership statement, Pacific Regional 4-year plan, gender, human rights, and climate change strategies and plans. GOT strategic plans, including TK III and Te Kete, other needs assessments and information on Tuvalu's needs and priorities.

Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
	Relevance	<p>6. How is the policy dialogue process working for agreeing on priorities?</p> <p>7. Was the 4YP responsive to Tuvalu's priorities and New Zealand's priorities and objectives (that perhaps shifted over time with Covid-19)?</p>	<p>Stakeholder interviews MFAT officials and GOT representatives.</p>
<p>KEQ 1.1.1 How effectively did MFAT's engagement respond and adapt successfully to the COVID pandemic and its ongoing impacts for Tuvalu?</p> <p>* We shifted this question under KEQ1 to follow a logical order in assessing the programme relevance for Tuvalu</p>	Relevance	<p>8. What did MFAT do to adapt their support for Tuvalu in response to the pandemic? Was there reprioritisation or add-on support?</p> <p>9. To what extent did Tuvalu articulate its needs in relation to the pandemic?</p> <p>10. To what extent did MFAT respond to those needs?</p>	<p>Document review Covid-19 related policies, strategies, TPNs, meeting minutes.</p> <p>Stakeholder interviews MFAT country programme staff, Tuvalu Foreign Affairs, Tuvalu Ministry of Health, New Zealand Ministry of Health, Tuvalu community reps, Tuvalu diaspora, development partners.</p>
<p>KEQ 1.2 To what extent was New Zealand's integrated approach to development cooperation in Tuvalu consistent with</p> <ul style="list-style-type: none"> The Global Partnership for Effective Development Cooperation and the Paris Declaration on Aid Effectiveness (particularly donor coherence)? 	Coherence	<p>11. To what extent does the integrated approach reflect principles of development cooperation and aid effectiveness including</p> <p>12. Country ownership, alignment [KEQ1.1], harmonisation (coherence)[KEQ1.1], focus on results, inclusive partnerships, [KEQ1.1,</p>	<p>Document review MFAT reporting against international agreements, internal reports (M&E reports on ICESD Policy implementation) and GOT documents, OECD reports, aid effectiveness regional reports.</p> <p>Stakeholder interviews</p>



Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
<ul style="list-style-type: none"> New Zealand’s International Cooperation for Effective Sustainable Development (ICESD) Policy Statement? 		<p>KEQ3.1] transparency and mutual accountability</p> <p>13. To what extent does the integrated approach reflect the principles of New Zealand’s ICESD Policy for development that is effective, inclusive, resilient, and sustained’?</p>	<p>GOT representatives, MFAT officials, representatives of other development partners and donors.</p>
<p>KEQ 1.3 To what extent did the bilateral programme over 2018-21 effectively integrate New Zealand’s development quality principles (Effective; Inclusive; Resilient; and sustained).</p> <p>*We shifted this question under KEQ1 to follow a logical order in assessing the programme against ICESD Policy.</p>	<p>Coherence</p> <p>(relevance, effectiveness sustainability)</p>	<p>14. How well were the ICESD development quality principles integrated into the 4YP activities?</p> <p>15. How well did the initiatives reflect shared values, partnership, flexibility, and evidence-focus?</p> <p>16. How well was resilience integrated within and across initiatives?</p> <p>17. To what extent was inclusivity considered to ensure that initiatives are reaching those who are furthest behind?</p> <p>18. How well did initiatives plan and responsive to the context and enable sufficient local ownership? Were initiatives responsive to context and have sufficient local</p>	<p>Document review</p> <p>Programme and project business cases, M&E frameworks, results reports.</p> <p>Stakeholder interviews</p> <p>MFAT officials, GOT representatives, other development partners, CSOs, community beneficiaries in Tuvalu.</p>

Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
		ownership? Were initiatives responsive to the context and have sufficient local ownership?	
Objective 2: Assess the achievement of strategic goals articulated in the 4YP and New Zealand’s impact			
<p>KEQ 2.1 To what extent has MFAT’s engagement over 2018-21 effectively contributed to</p> <ul style="list-style-type: none"> • Increased resilience to the impacts of climate change? • A strengthened fiscal environment for Tuvalu. • A deepened bilateral relationship between New Zealand and Tuvalu 	<p>Effectiveness</p> <p>Impact</p>	<p>19. Is New Zealand’s climate support aligned with shared definitions and Tuvalu’s resilience priorities?</p> <p>20. What was successful in terms of climate change support from New Zealand?</p> <p>21. Why/how was it successful?</p> <p>22. What results were achieved?</p> <p>23. What could be improved in terms of approaches or modalities?</p> <p>24. What was successful about New Zealand’s fiscal strengthening support for Tuvalu, including the impact of different activities on the government budget/expenditure?</p> <p>25. Why/how was it successful?</p> <p>26. What results were achieved?</p>	<p>Document review</p> <p>MFAT programme and activity documents including results reports, GOT performance reports, Tuvalu national budget documents and TTF reporting, accessible diplomatic communications.</p> <p>Stakeholder interviews</p> <p>MFAT and GOT officials in climate change space, as well as community stakeholders (CSOs) and beneficiaries of climate projects.</p> <p>TTF representatives in MFAT and Tuvalu Ministry of Finance, Ministry of Foreign Affairs, MFAT Pacific Connections and Tuvalu diaspora reps.</p>

Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
	Impact	27. What could be improved in terms of approach or modalities? 28. What was successful about the bilateral relationship? Why/how was it successful? 29. Was it operating at an acceptable level for both sides? 30. What could be improved? 31. What additional benefits have been realised for Tuvalu's resilience to the impacts of climate change in the 2018-21 period above those in the preceding period? 32. What additional benefits have been realised for the bilateral relationship in the 2018-21 period above those in the preceding period? 33. What additional benefits have been realised for Tuvalu's fiscal environment in the 2018-21 period above those in the preceding period?	
KEQ 2.2 To what extent has MFAT's engagement over 2018-21 successfully responded to changing fiscal and socio-	Relevance	34. What were some of the changing fiscal and socio-	



Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
economic trends and built on previous New Zealand support to maximise positive impact?		<p>economic trends relevant to Tuvalu?</p> <p>35. What did MFAT do in response to the changes?</p>	
	Effectiveness	<p>36. Were there new or changed approaches, as an add-on or reprioritisation of support?</p> <p>37. To what extent was MFATs response successful? What was the result?</p> <p>38. Were there lessons learned from previous experience that were applied to enhance implementation efficiency and effectiveness of 4YP activities?</p> <p>39. Was MFAT's Covid-19 response planned and implemented successfully?</p> <p>40. Why/how was it successful? What results were achieved?</p> <p>41. What could be improved?</p> <p>42. Were there lessons learned and applied from the experience?</p>	<p>Document review National development plans TKII, Te Kete, annual budget documents, WB/ADB outlook reports, UNDP indicator reports, other MFAT and development partner reporting, (including any relevant evaluations and independent reviews), gender/disabled/youth disaggregated data.</p> <p>Stakeholder interviews MFAT officials, GOT representatives (finance, foreign affairs, fisheries) CSOs, Tuvalu diaspora.</p>



Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
<p>Objective 3: Assess the effectiveness and efficiency, of New Zealand’s approaches and ways of working to achieve desired strategic objectives</p>			
<p>KEQ 3.1 To what extent has MFAT’s Tuvalu engagement over the period effectively</p> <ul style="list-style-type: none"> Utilised the most effective and efficient modalities to achieve desired objectives (including a specific focus on capacity building)? Partnered with Tuvalu’s leaders (Government; Civil Society, including Church) on joint priorities? Successfully collaborated with other New Zealand government agencies to deliver development outcomes (including through regional initiatives)? Successfully engaged with and influenced other donors to leverage New Zealand effectiveness? 	<p>Efficiency</p> <p>Coherence</p>	<p>43. Where have MFAT and Tuvalu’s leaders partnered on joint priorities?</p> <p>44. To what extent were these initiatives successful?</p> <p>45. How can these partnerships be improved?</p> <p>46. To what extent was modality a determining factor in design of the 4YP and its Activities?</p> <p>47. Was consideration given to the suitability of identified modalities for specific investment?</p> <p>48. To what extent was the balance of modalities appropriate to the management capacity of MFAT’s bilateral team?</p> <p>49. To what extent were the modalities allowing for timely implementation?</p> <p>50. How could operational efficiency be improved?</p> <p>51. Specifically, how appropriate and effective were the</p>	<p>Document review</p> <p>Programme and activity monitoring reports, progress reports/results reports, Tuvalu annual budget documents, audit reports, gender/disabled/youth disaggregated data.</p> <p>Regional programme monitoring and results reports.</p> <p>Donor coordination meeting notes and minutes.</p> <p>Stakeholder interviews</p> <p>MFAT, GOT, relevant New Zealand agencies such as Ministry of Health, Public Service Fale, relevant Tuvalu CSOs including church or association of churches, and development partners.</p>

Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
		<p>capacity building activities that were undertaken?</p> <p>52. Has MFAT collaboration with NZ agencies been successful for Tuvalu delivery?</p> <p>53. What was successful about collaborating with NZ agencies for MFAT and for Tuvalu?</p> <p>54. What can be improved?</p> <p>55. How and how well has New Zealand worked with other donors to deliver complementary support?</p>	
	Effectiveness	<p>56. What was achieved through the partnership projects?</p> <p>57. Were there lessons learned and applied from the experience across the partnerships?</p>	
Objective 4: Offer insights into the sustainability of current and future support			
KEQ 4.1 To what extent has MFAT's Tuvalu engagement over the period effectively considered the sustainability of current and future support?	Sustainability	<p>58. How is sustainability considered at all levels of support and in different modalities?</p> <p>59. To what extent are sustainability considerations built into programmes and</p>	<p>Document review Programme and project planning documents, progress and monitoring reports, transition or exit plans.</p> <p>Stakeholder interviews</p>



Key Evaluation Questions	Evaluation Criteria	Evaluation sub-questions	Sources of evidence and method of data collection
		<p>projects across all levels of support and modalities?</p> <p>60. What are the considerations (budgeting, technical capacity, local ownership, governance arrangements, inclusive activities)?</p> <p>61. How were they addressed, and has this been successful? Why or why not?</p> <p>62. How are NZ and Tuvalu addressing the sustainability of “legacy” investments such as the Borrow Pits, renewable energy, and sustainability of TTF support?</p> <p>63. What are the considerations about the sustainability of current model of engagement without an in-country presence?</p>	<p>MFAT programme staff, GOT officials and programme/project staff, CSOs, community beneficiaries.</p>

Appendix 3 – Core Project Descriptions

Table 8: Core project descriptions during the evaluation period

Project Name	Timeframe	Description
Tuvalu Trust Fund	2004-2019	This activity provided funding for an investment specialist who represents New Zealand on the Trust Fund Board. The New Zealand representative also chaired the Investment Committee which advises the Trust Fund on investment matters. In addition, New Zealand funded an economist/budget specialist on the Advisory Committee which undertakes research and analysis of social, economic, and financial issues that help inform government policy and decision-making.
Central contract management unit	2017-2021	This activity aimed to establish Tuvalu's central contract management unit to enable strategic and informed advice and support to the Government of Tuvalu, on complex commercial contractual matters with major financial implications for Tuvalu.
Budget Support Policy Reform Matrix	2017-2018 2019-2021	This activity provided budget support as part of the Government of Tuvalu's policy reform agenda, in coordination with other major development partners.
Fiscal review of the Tuvalu Trust Fund	2019	The production and submission of an analytical report on the Tuvalu Trust Fund, considered the wider fiscal situation in Tuvalu.
Supplementary Budget support, PIF	2019-2020	Budget support to contribute to Tuvalu's stressed budget (e.g., from a large 2019 programme: Pacific Island Forum leaders meeting, general elections, and constitutional review)
Tuvalu Trust Fund contributions	2019-2023	The Trust Fund secures the short and long-term financial stability of Tuvalu. This budget support directly contributes to improving fiscal stability, economic governance, and higher quality public services; and promoting New Zealand as an engaged and supportive partner.
Tuvalu Asset Maintenance programme	2017-2022	This activity aimed to support the development of an asset management plan, including short term maintenance and replacement work for New Zealand's infrastructure investment in Tuvalu. The goal was to establish a system for managing infrastructure in Tuvalu.
TA to Tuvalu Fisheries	2018-2023	This activity aimed to support the Tuvalu Fisheries department, through the provision of technical assistance (TA). The TA is based in-country and focused on improving management of fisheries resources and maximise opportunities and benefits for Tuvalu.



Project Name	Timeframe	Description
Tuvalu Fisheries Support Programme Phase 2	2020-2025	This activity was designed in conjunction with the Tuvalu Fisheries Department to further strengthen fisheries management, maintain fisheries revenues, and build sector-wide resilience from the national to community level. Key funded activities include Tuvalu fisheries advisers, surveillance technology trial, marketing initiatives, supporting crew training, feasibility studies, community fisheries, fiberglass boat building, vessels, offshore fishing trials, infrastructure and facilities, mariculture hatchery, staff capacity building, and public awareness and education on fisheries.
Maritime Strengthening	2020-2022	The goal of this activity was to bring a domestic vessel (Manu Folau) back into operation, which is crucial to Tuvalu and its outer islands for transportation and the delivery of services.
Vaitupu Water security	2019-2022	The Vaitupu Water Security activity consists of three key elements: (1) the construction of a groundwater infiltration gallery and storage facilities that provide access to potable drinking water in times of drought; (2) rehabilitation of freshwater ponds for washing/bathing; and (3) capacity building among the Vaitupu community to manage, maintain, and use the infrastructure.
Integrated Water Resources Management	2021-2023	This activity supports the development of drought management plans, water and sanitation policy, and drought modelling, with a particular focus on outer island communities.
Medical Treatment Scheme	2017-2022	The New Zealand Medical Treatment Scheme (NZMTS) includes an overseas referral scheme for patients requiring specialist treatment not available in Tuvalu, health specialist visits and capacity building activities. NZMTS also operates in Fiji, Kiribati, Tonga, and Vanuatu.

Table 9: Major “core” projects from the previous period (or defined by MFAT as out of scope due to focus in the previous period)

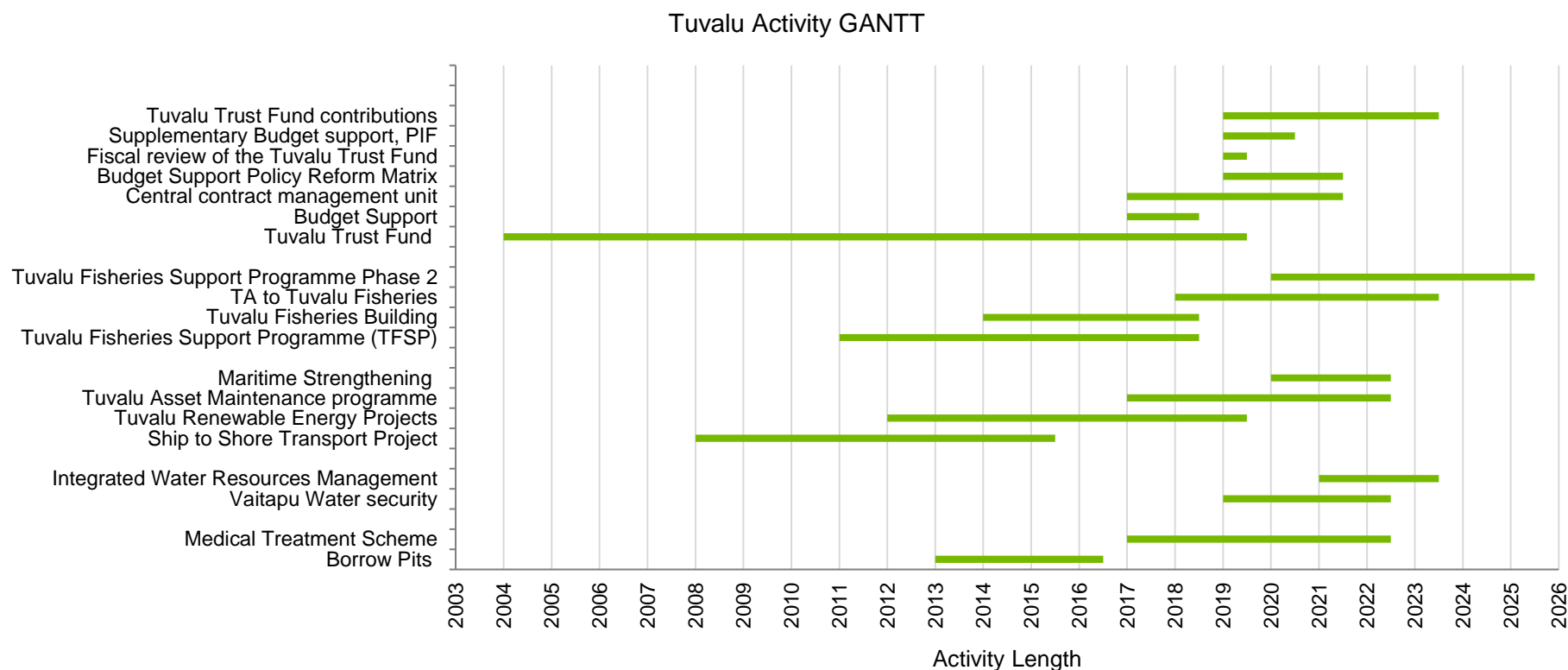
Project Name	Timeframe	Description
Borrow pits	2013-2016	This activity used 250,000m ³ of sand from the lagoon to fill borrow pits, effectively increasing the available land area of the atoll by 8%. This land was effectively returned to the pre-WWII owners, providing much needed space that has increased recreational opportunity for local residents, and significantly improving visual amenity. This also reduced public health nuisance and lagoon contamination.

Project Name	Timeframe	Description
Tuvalu Ship to Shore Transport Project	2008-2015	<p>This activity aimed to improve navigational safety, with a specific focus on reducing risk associated with the following:</p> <ul style="list-style-type: none"> • Ship-to-shore transfer in the outer islands, where small boats transported people and goods to shore from boats anchored outside the reef. • Navigation to the port at Funafuti from the reef entrance, where the lack of fixed navigation aids had resulted in several near misses for large fishing boats.
Tuvalu Fisheries Building	2014-2018	<p>This activity aimed to build a new Fisheries Department building to drive productivity improvements and enable implementation of the new structure of the Fisheries Department.</p>
Tuvalu Renewable Energy Projects	2012-2019	<p>This activity upgraded the electricity supply of the Northern outer islands of Nanumea, Nanumanga, Niutao and the second largest island, Vaitupu, through mini-grids – photovoltaic/diesel hybrid systems. It also involved increasing the renewable energy capacity on the main island of Funafuti through roof-mounted grid-connected solar PV systems. This was assessed in a historical project as most of the work was undertaken prior to 2018-2019.</p>



Appendix 4 – Timeline of Core Projects Delivered in Tuvalu over the Evaluation Period

Figure 10: Timeline of ‘core’ Tuvalu projects that operated within the 2018 and 2021 period³⁵



³⁵ Note: This is not an exhaustive list of projects dating earlier than 2018.

Appendix 5 – Alignment between Tuvalu’s National Strategic Policies and New Zealand’s Work in Tuvalu 2018 – 2021

Table 10: Alignment between MFATs 2018-21 programme and Te Kakeega III Strategy Priorities

TKIII strategic priority	MFAT development cooperation 2018-2021
<p>Climate change</p> <p>Climate initiatives, disaster initiatives, international agreements</p>	<p>Clear alignment through regional climate initiatives delivered in Tuvalu, support for the PIF, and NZs advocacy for climate change more broadly. Climate initiatives, including legacy renewable energy projects support Government of Tuvalu’s climate change advocacy work by helping it minimise its own impact on climate change.</p>
<p>Good governance</p> <p>Public sector reporting, efficiency, expenditure and reforms, parliament strengthening, laws, judiciary etc</p>	<p>The Policy Reform Matrix includes reforms around accuracy of public accounts and improving public procurement procedures.</p>
<p>Economic growth and stability</p> <p>Trade, macro-economic management, public enterprise, monetary economy</p>	<p>Macro-economic management was supported through fiscal initiatives aligned to NZ’s Policy Reform Matrix contributions.</p> <p>Investments in the setup of a contract management unit sought to improve financial management and revenue for the Government of Tuvalu.</p> <p>Tuvalu Trust Fund contributions and financial contributions to the Government of Tuvalu’s budget were also made during this period.</p>
<p>Health and social development</p> <p>Non-communicable diseases, health services, medical infrastructure, facility/equipment maintenance, staffing</p>	<p>Regional health projects were targeted to:</p> <ul style="list-style-type: none"> - Overseas health referrals, medical professional visits to Tuvalu (pre-COVID-19) and capacity building activities. - Other health projects included supporting access to essential medicines and some funding was allocated to local sexual and reproductive health services. <p>Specific budget support for COVID-19 was put towards facility maintenance.</p>
<p>FaleKaupule and island development</p> <p>Development, seas transport, communication, solid waste management</p>	<p>Sea transportation was supported by New Zealand’s maritime transport programme, particularly repairs to the Manu Folau and Nivagaa III.</p>

TKIII strategic priority	MFAT development cooperation 2018-2021
<p>Private sector development, employment, and trade</p> <p>Growth, tourism, overseas employment, domestic and international trade</p>	<p>RSE scheme provides employment opportunities for some members of the Government of Tuvalu.</p> <p>Whilst there was no direct support for tourism, private sector growth or domestic trade, water and transport projects may contribute indirectly to unlocking some of the barriers to private sector development.</p>
<p>Education and human resources</p> <p>Education administration, education, training, technical and tertiary education, youth, and sports</p>	<p>MFAT funded Manaaki (tertiary) scholarships and short-term scholarships.</p>
<p>Natural resources</p> <p>Fisheries, agriculture, land, and sea use</p>	<p>Substantial support for fisheries.</p>
<p>Infrastructure and support services</p> <p>Energy, water and sanitation, telecom, internet, public works, air services, maritime services outer island infrastructure, management.</p>	<p>Water security initiatives included work on one of the outer islands (Vaitupu).</p> <p>Some asset maintenance work was also directly funded by New Zealand during the evaluation period.</p> <p>New Zealand Government departments provided regulatory support for aviation and maritime services, and maritime repair and maintenance support for key vessels.</p>
<p>Environment</p> <p>Awareness, CO2 emissions, conventions and treaties, ocean fish stocks, forest cover, sea level rise</p>	<p>Fisheries advisers undertook advisory work to support ocean fish stocks.</p> <p>Support to host the Pacific Islands forum supported Tuvalu's visibility around climate change advocacy.</p>
<p>Mitigation and urbanisation</p> <p>Internal and external migration, urban population growth, international migration, remittances</p>	
<p>Ocean and seas</p> <p>EEZ, Tuvalu, fisheries stocks, and agreements</p>	<p>Fisheries advisers supported work to maintain Tuvalu fisheries stocks and improve Tuvalu's returns from fisheries agreements.</p>
<p>Implementation, monitoring, and evaluation</p> <p>Accountability, implementation, monitoring, and evaluation systems</p>	<p>PRM actions tied to New Zealand's funding included planning for Financial Reforms.</p>

Table 11: Alignment of NZ's 2018-2021 programme with Te Kete strategic priorities

Te Kete strategic goals and outcome areas	Alignment with NZ's 2018-2021 programme
Harnessing the Digital Transformation to Improve Lives	New Zealand explored a co-funding opportunity in this space to provide an underwater internet-capable cable, but the project was put on hold.
Strengthened Partnerships	In 2018 and 2019 New Zealand officials increased the frequency of visits to Tuvalu. A Statement of Partnership was signed in 2019. The Deputy Prime Minister made an official visit to Tuvalu in 2019.
Good Governance is Strengthened	Support through the PRM and contract management unit.
Climate Change and Disaster Resilience	A number of projects focused on improving water management and security in Tuvalu.
Environment, Meteorology, Land and Waste Management Strengthened	Regional projects included work around biosecurity, climate change and meteorology.
Macroeconomic Resilience	<p>Macro-resilience was supported through budget support (through the PRM, plus one-off budget support related to the PIF and COVID-19).</p> <p>PRM activities tied to New Zealand's budget contribution included planning for financial reforms and implementation of fiscal ratios.</p>
Fisheries Contribution to Socio-economic Development and Quality of Life Increased	Fisheries technical assistant and the Tuvalu Fisheries support programme supported fisheries management.
Agricultural Productivity Increased	
Develop, Improve and Strengthen Private Sector	
Health and Well Being Improved (primary health, upskilling of health staff)	Rheumatic heart disease screening, overseas referral scheme and some funding towards sexual and reproductive health services was provided during this period. Capacity building on health staff was undertaken through the Medical Treatment Scheme during 2018-2019 (pre-COVID-19) and some training was provided online to support the COVID-19 response.
Quality Education for Sustainable Living Improved for All	New Zealand funds a select number of tertiary and short-term scholarships.
Civil Society, Youth, Women, Men and People with Disabilities Participation Improved	A couple of regional programmes aimed to work with youth or women around climate change and sports, but these were cancelled or postponed.



Te Kete strategic goals and outcome areas	Alignment with NZ's 2018-2021 programme
Capacity and Resilience of FaleKaupule Increased	
A Devolution Policy Framework Improved	
Culture and Traditional Knowledge Enhanced	
Traditional Economic Model of Reciprocity and Distribution of Wealth Strengthened	
Resilient Housing and National Building Facilities Upgraded	
Improve Shipping, Networking and Harbour Facilities	New Zealand's work targeted maritime strengthening through repair of the Manu Folau) and updates to maritime legislation.
Quality and Affordable Energy Supply	New Zealand intended to undertake further renewable energy investments, but this was postponed due to COVID-19.
Access to Clean Water and Sanitation Achieved	Water security was targeted through Vaitupu Water Security and Integrated Water Resource Management Project.

Appendix 6 – Summary of Findings against the Four ICESD Quality Domains

ICESD Effectiveness



New Zealand's work aligned with this quality domain in that it was focused on Government of Tuvalu priorities, relatively adaptive, and included evaluations of key activities

The ICESD effectiveness quality domain describes effectiveness as “values driven, partnership focused, adaptive, outcomes-focused, and evidence-based.”

As described in Section 5, the outcomes and results focus was mixed for New Zealand’s work in Tuvalu. Outcome reporting and measurement was minimal, but this was mitigated to some extent by specific evaluations to inform key programme decisions (e.g., renewable energy, fisheries technical advisor, maritime strengthening, as well as the legacy borrow pits and ship to shore activities).

Bilateral consultations and discussions, including consultation on the 4YP between the two governments, provided some transparency around goals and core activities (GOT, MFAT). Implementing partners undertook further discussions with the Government of Tuvalu around priorities and design. It was noted that the Government of Tuvalu does not have visibility of New Zealand’s total spend for Tuvalu, including in the NGO sector (GOT). MFAT’s activities in Tuvalu considered local context. This was done through alignment with Government of Tuvalu policies, consultations with communities and stakeholders to inform design work (e.g., water security), and close collaborations with local government staff in Tuvalu, particularly around health, maritime work, and the Tuvalu Trust Fund (TTF).

The regional and core bilateral projects explored in this evaluation considered and scoped for the local context (NZGovt, NZGovt, RegOrg). The scholarships and RSE programmes have also taken the local context into consideration, such as by being less strict on some of the scholarship cut-offs, and by extending the number of months RSE workers can stay in New Zealand in acknowledgement of their higher travel costs (MFAT, MFAT). There still appears to be some enduring challenges with scholarship and RSE alignment to the local context, with low numbers of scholarship applications that fit MFATs expectations and scholarships and visas requiring online payments, despite Tuvalu not having an online banking system.

Core bilateral projects included mutual responsibilities for the Government of Tuvalu and the Government of New Zealand. Examples include a joint funding arrangement for the repair of the Manu Folau and the fisheries support programme, and the tagging of budget support delivered through the PRM to progress specific policy objectives. Grant contribution letters include general expectations about ethical conduct in the spending of the budget provided. Discussions were reportedly held to set out expectations around mutual responsibilities in relation to infrastructure maintenance (MFAT, GOT), although we did not identify explicit documentation about accountability for this.

Whilst New Zealand's activities did not utilise a formal adaptive management approach, the interviews consistently described elements of flexibility in the New Zealand programme during 2018-21. For instance, responding to the COVID-19 immediate needs, utilising underspend to contribute to key budget pressures, technical assistants adapting support according to context and emerging needs (GOT, GOT, Doc16) and adjusting timeframes in response to delivery challenges (e.g., maritime, fisheries) while remaining focussed on Tuvalu priorities. The flexibility to provide budget support in response to COVID-19 occurred in part because there was underspend in the programme.

ICESD Inclusiveness



New Zealand's work during this period had mixed alignment with the inclusiveness quality domains

The ICESD inclusiveness quality domain describes inclusiveness as development that “addresses exclusions and inequality created across all dimensions of social identity, while promoting human rights, and equitable participation in the benefits of development.” Detail related to inclusiveness is covered in Section 3.2.

ICESD Resilience



New Zealand's work was strongly focused on improving the short- and long-term climate and fiscal resilience in Tuvalu

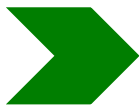
The ICESD resilience quality domain describes resilience as “strengthening the environment, economy, and societies to withstand shocks and manage crises while protecting future well-being.”

The funding priorities and 4YP objectives showed that the programme prioritised strengthening the environment and economy. The programme does this, for example, by funding:

- budget and advisory support to the TTF, which supports Tuvalu to build long-term economic resilience
- activities to support water scarcity resilience, and long-term resilience of fish stocks
- vaccines, technical support, and additional budget support for COVID-19 to strengthen Tuvalu's resilience in relation to COVID-19, and
- scholarships and recognised seasonal employer schemes that aim to provide skills and/or income opportunities to build resilience within wider society.

A range of other efforts to build local capacity within the Government of Tuvalu were also undertaken within 2018-21 to promote future resilience, albeit with somewhat mixed success (see Section 6).

ICESD Sustained



New Zealand undertook activities to promote sustainability and promote local ownership, however several risks to sustainability have not been addressed

The ICESD sustained quality domain describes sustained as “enabling lasting progress and is locally owned to uphold results in the long term. “

New Zealand’s work was sustained in so far as it pursued partner ownership and sought to promote ongoing maintenance and sustainability of activities through capacity building and exit strategy planning.

Activity assessments demonstrated clear alignment with local strategic plans in Te Kakeega and Te Kete, and as noted above, consultation and collaboration attempted to build buy-in to projects. Core activities and strategic priorities were sustained in that they balanced immediate priorities with long-term systemic change. For example, within fisheries, support is provided to immediate activities and priorities, as well as long-term planning and capacity building (Doc 2, 26, 25). In the maritime work, support was provided for urgent repair needs, as well as updates to long-term systems such as legislation (NZGovt). Similarly, within the area of water security, activities considered short-term needs for gutter and infrastructure maintenance as well as longer-term drought planning (RegOrg).

Many initiatives within New Zealand’s programme have taken a long-term investment approach, and at times engaged in capacity augmentation, in recognition of the narrow resource base within Tuvalu. Nonetheless specific agreements and mutually agreed plans for long-term infrastructure maintenance and budgets did not appear to be in place during 2018-2021, and preceding periods (an exception is maintenance of the fisheries building). Funding and capacity to maintain is impacting on the sustainability of benefits from New Zealand’s previous work around renewable energy. Further discussion on sustainability is provided in Section 6.1.



ALLEN + CLARKE

+64 4 890 7300

office@allenandclarke.co.nz

www.allenandclarke.co.nz

