

Guidelines for Accreditation Reviewers

Australian Agency for International Development

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ABBREVIATIONS

AA	AusAID/Australian Agency for International Development
ACFID	Australian Council for International Development
ANCP	AusAID NGO Cooperation Program
AP	Agency Profile
AusAID	Australian Agency for International Development
CDC	Committee for Development Cooperation
DA	Desk Assessment
NGO	Non Government Organisation
NGOPI	NGO Package of Information
OR	Organisation Review in Australia
RDE	Recognised Development Expenditure
RT	Review Team
SO	Services Order
TL	Team Leader
TOR	Terms of Reference

1. INTRODUCTION

As the aid program scales up efforts to help meet the Millennium Development Goals, there is potential for significant growth in AusAID's cooperation with NGOs, on an institutional basis, and across a range of sectors, countries and regions. In addition to the potential for significant growth in the AusAID NGO Cooperation Program (ANCP), NGOs that are AusAID accredited can expect increased engagement opportunities, through country programs and thematic areas.

The aid program recognises the important role that development NGOs can play in the delivery of high quality development work; their effective local, national and global partnerships, specialist expertise and well established community support base.

As one component of efforts to expand and develop a more partnership orientated approach to our engagement with NGOs, some reforms to the AusAID NGO Cooperation Program (ANCP) and NGO accreditation process are proposed. These reforms are aimed at strengthening and simplifying the supporting administrative processes, and will be an on-going process, to increase the aid program's engagement with Australian development NGOs.

BACK GROUND

In 1996 AusAID and Australian NGOs initiated an accreditation scheme for NGOs participating in the official Australian aid program. Accreditation acts as a front-end risk management process. It is one component of AusAID's risk management strategy and can also be seen as part of industry self regulation, along with the Australian Council for International Development's (ACFID) Code of Conduct for Non-Government Development Organisations, and other industry quality assurance systems such as SPHERE.

AusAID strives for good professional practice and equitable outcomes within the accreditation process by minimising significant variations in the way in which different Review Teams approach the accreditation of an NGO.

The **purpose of this manual** is to provide information and guidelines that will enable Review Teams to share a similar understanding of the purpose, process and approach to NGO accreditation. In doing this, AusAID seeks to develop reasonably consistent professional practice across the Review Teams and hence consistent, accountable assessment of NGOs against the accreditation criteria.

The **target audience for this manual** includes AusAID staff managing accreditation reviews, members of the Committee for Development Cooperation (CDC), and Review Team members.

The **status of this manual** is advisory and subject to change as AusAID and NGOs review and revise accreditation procedures. It does not provide a single official methodology or set of instructions for conducting accreditation reviews. Each review will have a particular scope, distinct circumstances and tasks which should be clarified by AusAID, the Review Team and the NGO. This manual provides guidelines, prompts and other information that describe the general situation in accreditation reviews, to enable Review Teams to work as consistently as possible within the broad context of the accreditation process.

This manual provides an overview of accreditation, describes the roles and responsibilities of the Review Team, offers general guidelines for the conduct of the review process and suggested methodologies for the Desk Assessment (DA) and Organisation Review (OR).

Annexes are cited throughout the manual and include the most recent accreditation criteria, formats and examples of reports. The manual quotes, paraphrases and draws directly from a number of AusAID documents particularly the AusAID NGO Package of Information found on the AusAID website <http://www.ausaid.gov.au/ngos/ngopi.cfm>, as well as standard tools and formats developed by AusAID, by Review Teams, and by consultants in previous reviews of the accreditation process.

2. NGO ACCREDITATION: AN OVERVIEW

2.1 What is Accreditation?

Accreditation is based on an assessment of a NGOs legal structure, philosophies, systems, policies and practices which, if applied effectively and consistently, are expected to produce quality development outcomes in an accountable manner. Accreditation is not an assessment of the quality or impact of NGOs development activities.

The AusAID accreditation process involves assessment of a NGOs capacity and track record against a set of agreed criteria. It evaluates an Australian NGOs structure, philosophies, links to the Australian community, partnership arrangements, program, financial and management systems, and their application in the NGOs work. It does not assess the Australian NGOs partner agencies in other countries. Since AusAID introduced accreditation in 1996, the process, standards, criteria and other aspects of accreditation have been revised several times.

The accreditation process aims to provide AusAID, and the Australian public, with confidence that the Australian Government is funding professional, well managed, community based organisations that are capable of delivering quality development outcomes. Accreditation acts as a front-end risk management process and ensures accountable use of funding with minimal activity overview by AusAID. As a risk management strategy, accreditation covers the NGOs entire program as reflected in their Recognised Development Expenditure (RDE) and is not limited to AusAID-funded activities.

NGOs can seek accreditation at two different levels, Base or Full. There are distinct criteria for accreditation at each level and eligibility for AusAID funding is different at each level, further information can be found on the AusAID website at:

<http://www.ausaid.gov.au/ngos/accreditation.cfm>

2.2 Why is Accreditation relevant to NGOs?

NGOs need to be accredited by AusAID to be eligible for funding through AusAID NGO Schemes. Accreditation with AusAID leads to funding under the AusAID NGO Cooperation Program (ANCP) an annual NGO funding scheme. Accredited NGOs can also access further funding by applying for Country, Regional and Humanitarian Cooperation Agreements.

Accreditation is also a basic quality assurance system that enables NGOs to assess and, if necessary, strengthen their capacity across a number of areas. It complements the ACFID Code of Conduct for Non-Government Development Organisations.

2.3 Guiding Principles

Broad principles informing the AusAID accreditation process include:

- Accountability;
- Front end risk management;

- Peer assessment;
- Collaboration/participation;
- Evidence based judgements;
- Acknowledgement of the diversity of the NGO sector;
- Continuous learning and quality/capacity improvement in the sector; and
- Best practice.

2.4 The Accreditation Criteria.

The criteria tables for both Base and Full accreditation are available on the AusAID website <http://www.ausaid.gov.au/ngos/accreditation.cfm>. The two sets of criteria are similar but there are substantive differences in several criteria and also in the suggested indicators and verifiers. Review Teams should use the appropriate criteria table to assess a NGOs capacity and track record in the areas of:

- NGO identity and structure;
- Development philosophies and management practices;
- Approaches to partnership and development collaboration;
- Linkages with the Australian community; and
- Financial systems and risk management.

There are also additional specific criteria (Criteria F) for assessing NGOs engaged in Family Planning and Reproductive Health activities.

2.5 The Accreditation Review Process.

The accreditation process involves a number of steps which can be summarised in general terms as follows:

Agency Profile: The NGO prepares an Agency Profile (AP) which provides information relevant to each Accreditation criterion. AusAID provides NGOs with a standard format for an AP at Full and at Base level which includes specific prompts for each section. (**Annex B**)

Desk Assessment: On the basis of the AP, a Review Team conducts a Desk Assessment (DA) of the NGO and makes a preliminary assessment of its capacity and track record. The Review Team writes a DA Report in a standard format (**Annex C**).

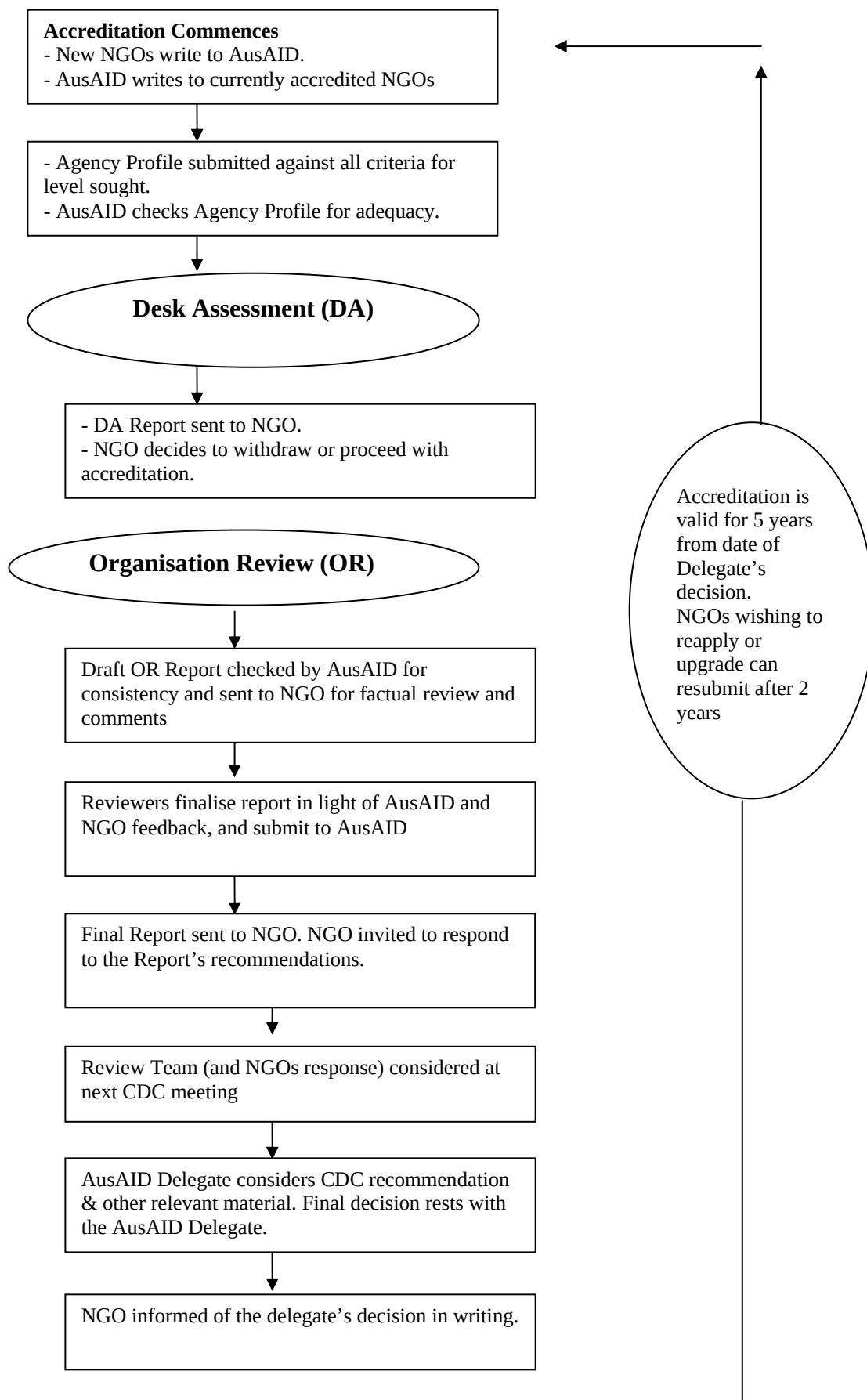
Organisation Review: The DA report informs a Review Team when it undertakes an Organisation Review (OR) in the Australian office of the NGO. The OR continues to assess the NGOs structure, systems and philosophy, and other dimensions of capacity and track record. It addresses any specific issues raised in the DA, and assesses the NGOs capacity using the AP, interviews with staff and Board members, review of project files and other documents.

Final Accreditation Report: The Review Team outlines its observations and recommendation for accreditation in an OR Report, a **Final Accreditation Report**, written in the same format as the earlier DA report (**Annex C**).

Committee for Development Cooperation (CDC) considers the Review Teams Report and makes a recommendation to the AusAID Delegate.

AusAID Delegate makes a final decision on accreditation status.

A schematic outline of the Accreditation Process follows over the page:



3. THE REVIEW TEAM: ROLES & RESPONSIBILITIES

AusAID manages the overall accreditation process including official communications with the NGO, ACFID, the CDC and Review Team Members.

3.1 The Accreditation Review Team

AusAID generally commissions the same Review Team to conduct both the DA and the OR with a specific NGO, although this may not always be possible. A Review Team comprises of a team leader and a team member, both drawn from a pool of consultants who have an appreciation of NGO philosophy and practice, as well as experience in accreditation reviews. If a third team member is required this will be a financial systems assessor. Some Review Teams may include others members such as an AusAID observer, a new consultant or a new member of the CDC.

There is no 'one or correct way' for an accreditation team to function. The dynamics of any team will vary according to different influences such as the size of the team, the nature and complexity of the review and the personalities of team members and NGO staff involved. However, there are some basics that need to be paid attention to in order to facilitate smooth running as much as possible, and create a working dynamic that achieves the right balance between collegiality and rigour.

3.2 The Team Leader

As indicated by the title, the Team Leader provides leadership to the Review Team. She/he is responsible for the smooth functioning of the reviews during both the DA and OR and for communication between the Review Team, AusAID and the NGO on operational matters. The Services Order (SO) issued by AusAID indicates that the role of the Team Leader is to coordinate and manage the Review Process. This includes:

- Ensuring the coherence of the team, including the financial assessor and observers, rather than rely on inherent good will and capacity to automatically get on well together;
- Contacting the NGO and Review Team members to negotiate and confirm dates for the DA and OR, and advising AusAID of the confirmed dates;
- Agreeing with Review Team members the allocation of tasks in the review;
- Provide leadership to the Review Team, including dispute resolution;
- Liaising, consulting and working cooperatively with Review Team members, the NGO and AusAID, at each stage of the review as required;
- Ensuring AusAID is kept informed of the progress of the review and of any changes to schedules;
- Ensuring consistency and quality of reports;
- Providing AusAID with a report, as approved by all team members, within ten days of completion of a DA or OR;
- Responding to AusAID and/or CDC requests for clarification or expansion of information in reports, as required; and
- oversee effective communication within the team and with the NGO being reviewed, ensuring that expectations of the review are shared.

3.3 Team Members

The AusAID Services Order indicates that Review Team members, usually a development/NGO specialist and if required a finance systems assessor, are required to work in cooperation with the Team Leader, the NGO and AusAID, at each stage of the review, to provide the Services involved in a DA and an OR.

If there is a financial systems assessor on the Review Team they are a member of the team and should be included in all discussions about the organisation. The roles of the team are interconnected and ensuring they work well together will bring best outcomes for the review.

3.4 Transparency and Accountability: managing the paper trail

Accountability is one of the key principles underpinning the accreditation process. This principle informs the work undertaken by Review Teams as well as the work managed by NGOs. A fairly standard paper trail through the accreditation process encourages transparency and provides a basis for accountability for the teams work. It includes:

- Accreditation Reviewers worksheets and notes;
- Email and other correspondence between the Review Team, the NGO and AusAID; and
- DA and OR reports.

In terms of the contract with the Australian Government, and for purposes of accountability, Review Team members are required to keep working papers such as the Accreditation Reviewers Worksheets for seven years.

4. ACCREDITATION: GUIDELINES FOR CONDUCTING REVIEWS

4.1 General Guidelines : Introduction

The way Review Teams conduct DAs and ORs can vary significantly due to a number of factors including:

- the varying application and/or interpretation of different criteria;
- the level of documented evidence required against criteria;
- the interpretation of different indicators and verifiers;
- the application of criteria, indicators and verifiers other than those listed in the AusAID NGO Accreditation Criteria Tables; and
- level of complexity, size and sophistication of the NGO

The guidelines provided here should assist Review Teams to work consistently and thus to strengthen the integrity of the accreditation process.

4.1.1 The Accreditation Criteria, Indicators and Verifiers

When AusAID engages members of a Review Team they will provide the most current AusAID NGO Accreditation Criteria Table. These criteria are revised from time to time, in order to reflect industry good practice and the changing operational environment for NGOs.

There are distinct sets of criteria for NGOs applying for Base or Full accreditation (**Annex A**). They cover key areas as follows:

- Agency Identity and Structure;
- Development Philosophies and Management Practices;
- Approaches to Partnerships and Development Cooperation;
- Linkages with the Australian Community,
- Financial Systems and Risk Management, and
- Family Planning and Reproductive Health.

Each of the criteria in the accreditation table is accompanied by examples of indicators and possible verifiers. It may be possible to observe these specific indicators and verifiers when reviewing an NGO. Alternatively, an NGO may address the criteria in a different way, providing other indicators and verifiers for the Review Team to consider. The onus is on the NGO to demonstrate through evidence and explanation how it addresses each criterion.

4.1.2 Judgment against criteria

The Review Team is required to assess the NGO against the ***agreed Accreditation Criteria***. The reviewers check the organisation systematically against the criteria in the Accreditation Criteria Table (**Annex A**).

The Review Team may only work within the frame of the agreed accreditation criteria. They should not make judgements about NGO capacity or track record against criteria or standards that are not included in the Accreditation Criteria Tables.

If there are issues about the NGO that the Review Team considers to be significant, which are not covered by the agreed criteria, the Review Team should refer this to AusAID for consideration.

4.1.3 Principles underpinning each criterion

There is an explanation or underlying intent for each criterion in the accreditation process. These are outlined in the Agency Profile formats and are cited in italics below each criterion in the AusAID NGO Accreditation Criteria Tables (**Annex A**).

Review Teams should assess the NGO against the accreditation criteria in a manner that acknowledges the underlying intent of the criteria, as well as the diversity and dynamic management practices of the Australian NGO community. They should not use the criteria, indicators and verifiers in a formulaic manner, but rather understand that there may be other indicators and verifiers provided by the NGO which respond to the underlying intent of a criterion. In order to work in this manner, Review Teams should be sufficiently familiar with the explanation behind each criterion so that they interpret and apply the criteria reasonably, consistently and with due professional care.

4.1.4 Applying criteria relative to level of risk

To achieve Base or Full accreditation, NGOs have to address the agreed criteria. Bearing this in mind, Review Teams should apply the criteria in a way that is commensurate with the size of the risk to AusAID. This will be a judgement developed by the Team Leader in consultation with AusAID and with the Review Team members. Where an NGO is identified as low risk in terms of factors such as funds, activities, profile, links with partners or the Australian community etc, the analysis and expectations against each of the criteria may not be as high or substantive.

Small NGOs with limited operations and receiving limited funding from AusAID are expected to have capacity and track record which reasonably addresses each criterion. However they may not have as comprehensive a capacity, as extensive a track record, nor as robust a set of systems as NGOs which receive substantial AusAID funding, operate globally, maintain high profiles in the community etc.

4.1.5 Ways of addressing the criteria: indicators and verifiers

Examples of indicators and possible verifiers for addressing each criterion are listed in the AusAID NGO Accreditation Criteria Tables. To avoid applying the criteria in a simplistic or formulaic manner, Review Teams should be aware that the indicators and verifiers are suggestions only. As stated in the table they are ***examples*** and ***possible***. Each NGO may address the criteria in different ways but the onus is on the NGO to demonstrate to the Review Team through appropriate indicators and verifiers, through evidence and explanation, how they address each criterion.

With each revision of the accreditation criteria tables, the examples of indicators and possible verifiers have been expanded and explained to assist NGOs and Review Teams. The list is

not exhaustive and Review Teams should draw on their collective experience and judgment to assess how agencies meet the criteria.

4.1.6 Evidence-based analysis and judgement

Review Teams are required to exercise due care and competence, ensuring that judgement about a NGOs capacity or track record is based on verifiable evidence. It is the responsibility of the NGO to provide this evidence. A Review Team will then test the evidence by considering, for example:

- Is the evidence up to date?
- Does the evidence follow current organisational practice i.e. are documented policies being followed?
- Are all relevant staff, Board members and volunteers aware of its existence and where they can find it?

At the DA stage, the Review Team relies on the NGO to provide a clear picture of how it operates through the Agency Profile.

At the OR stage, this picture can be analysed further and verified when the Review Team observes project files, documents and other evidence provided by the NGO, as well as through discussions with key staff and Board members that enable the Review Team to make a judgement, based on evidence, about the NGOs capacity or track record.

As a matter of accountable, professional practice, Review Teams should generally note evidence underpinning their judgements in the AusAID NGO Accreditation Reviewers Worksheets (**Annex D**). These worksheets provide an aide-memoire for the Review Team when they are debriefing with the NGO, a track record when they are compiling the DA/OR report, and are useful in subsequent liaison with AusAID and the CDC. They form part of a standard paper trail in the accreditation process and should be kept by Review Teams for a period of seven years.

4.1.7 The ‘on-balance’ judgment

During an OR the Review Team may observe indicators and verifiers that provide evidence about how the NGO addresses a criterion. However there may also be indicators and verifiers that provide evidence that the NGO does not comprehensively address the criterion or that it addresses it inconsistently. The evidence may at times be conflicting.

In these cases, where there may be conflicting evidence, the Review Team may make an ‘on-balance’ assessment against a specific criterion. “On-balance” is most commonly used in the case where an organisation may not have a written policy on an issue but there is consistent evidence and examples of behaviour that demonstrates an agency has a philosophy, commitment and modus operandi on this issue.

Additionally, the “on-balance” principle allows the Review Team an opportunity to stand back from individual criterion, consider the broad context of where the organisation works and the level of risk both to AusAID and development outcomes, and make an overall accreditation recommendation. The “on-balance” principle can also be applied where an organisation has applied for Full Accreditation status but the Review Team finds a Base Accreditation status appropriate.

In these cases, the Review Team may make an ‘**on balance**’ judgement against specific criterion. The evidence for and against this judgement should be explicit in the worksheets and in the OR report.

4.1.8 Encouraging Improvement

The purpose of accreditation has always been two-fold – to ensure a rigorous risk-management process for AusAID, and to provide an opportunity for learning and institutional strengthening for Australian NGOs. Therefore it is important, right from the beginning, to not assume you are looking for something wrong and embark on the accreditation review from the perspective of catching the organisation out. A punitive, accusatory approach does not provide the best environment for co-operation and fairness or for encouragement and improvement.

It is in the interests of both AusAID and the NGO that organisational governance, management and financial systems are operating well and efficiently. This does not necessarily mean that weaknesses, or indeed more serious issues, are not uncovered or addressed, however an encouraging and collegial approach will foster openness by the organisation and assist to create a dynamic that will enable rather than block the Review Team from doing their job well. A balance should be found between a review being a serious exercise maintained in an atmosphere of congeniality and learning.

4.1.9 On-the-day assessment: ‘subject to...’

An OR is conducted ‘on the day’ and a Review Team can only consider evidence that is available at that time. The onus is on the NGO, in discussion with the Review Team, to produce whatever evidence demonstrates how the NGO meets the criteria at the time of the OR. The Review Team is required to make an assessment of the NGOs capacity and track record, based on current practice and policies, not on proposed or possible practices and policies.

There may be occasions when an NGO has sound practices in place as demonstrated by project files, correspondence and other evidence, but it has not yet fully documented or ratified these practices as organisational policy. For example, an NGO may have evidence that it consistently rejects welfare or evangelism activities at pre-appraisal stage of the project cycle, but it has not formalized policy or guidelines to document this consistent practice. The NGO has developed draft policies or guidelines, however policy is ratified at an AGM and the next AGM is scheduled for 3 months after the OR.

In this and similar cases, the Review Team may make an assessment of NGO capacity and track record, adding a ‘subject to...’, to enable the NGO to formalise policy or guidelines to reflect existing practice which does in fact address the criterion.

A Review Team will rely on it’s collective experience and judgement, consultation with AusAID, and consideration of other guidelines in this manual, to recommend if the NGO should be given time to put formal documentation in place. If this does occur, it should be noted explicitly in the report.

4.1.10 Collaboration/Partnership

The Accreditation Review is intended to be a rigorous, professional process that allows for discussion and transparent negotiation between the Review Team, the NGO and AusAID. On this basis, a review should be a collaborative exercise that enables team members to identify and assess the evidence of how the NGO addresses the criteria. The onus is on the NGO to provide the evidence, and in practice this can be achieved through a partnership approach to discussion, analysis and negotiation between the Review Team and the NGO.

Principles underpinning the accreditation process include peer assessment, so AusAID actively encourages contact between NGOs, between NGOs and ACFID, and sharing of lessons learned from the accreditation process.

It is not the role or the responsibility of the Review Team to be in contact with an NGO prior to a review to assist their preparation or in any way to 'coach' the NGO through the accreditation process at an OR.

4.2 Operational Processes and Guidance

4.2.1 Communicating with the NGO.

AusAID is responsible for official communication with the NGO regarding the accreditation process. This includes a letter initiating the (re)accreditation process, inviting the NGO to submit an Agency Profile, as well as other official correspondence preceding and following each stage of the accreditation process.

The Team Leader manages communications with the NGO concerning the operational arrangements for a review. She/he also manages communications between Review Team members and the NGO and AusAID.

At the Desk Assessment stage, it is not generally appropriate for the Review Team to contact the NGO as the DA is based solely on information provided in the AP. There may be exceptions to this and Team Leaders would liaise with AusAID and the NGO if required. Any discussion about the DA report is normally between the NGO and AusAID and AusAID may contact the Review Team if necessary.

The Team Leader communicates with the NGO once it is clear that the review will progress to the OR stage in order to agree dates for the OR. While not common, it is sometimes recommended that an NGO not proceed past the DA stage. The Team Leaders should advise NGOs about the OR arrangements in a reasonably consistent manner. AusAID will already have sent an official letter to the NGO with a copy provided to the Team Leader.

4.2.2 Scheduling the OR

An NGO may decide to withdraw from the accreditation process after the DA, in which case it does not have to wait for two years before resubmitting an application. In the event that the NGO proceeds from the DA to the next stage, the OR should be scheduled within 4-6 weeks of the completion of the DA report. In some cases, depending on factors including the findings of the DA and the corresponding level of preparation required by the NGO to continue to an OR, there may be significant delays. This will be AusAID's decision, in consultation with the Review Team and the NGO.

4.2.3 A Methodology for a DA

The DA is based on the AP provided to AusAID by the NGO. AusAID will forward the AP and the appropriate accreditation tools, formats and other relevant information to the Review Team members.

The Team Leader will contact team members and delegate sections of the DA work, the analysis, assessment and writing. A common approach to this, but not the only way, is to divide the various sections of the criteria amongst the team. For example, one team member might use the Agency Profile to assess the NGO against sections A and C, while the other team member might take sections B and D. If required, the financial systems assessor on the

team assesses section E with input as appropriate from the other team members. She/he may also do other sections as agreed with the Team Leader. All team members should then contribute to the overall review/assessment of all the criteria, and any broad findings.

The Team Leader consolidates the sections completed by each team member and prepares the DA report in the required format (**Annex C**).

The Team Leader is responsible for coordinating the separate components and the development of the full DA report. This may require additional liaison with team members about modifications to the separate report sections. The Team Leader should edit the report for consistency, quality and formatting before submitting the draft DA report to AusAID.

4.2.4 A Methodology for an OR

The OR is a continuation of the assessment of the NGOs capacity and track record and is normally conducted over two days. AusAID writes to NGOs providing them with the final DA report and advises them that the Review Team will:

- review relevant records, including project documentation;
- hold discussions with authorised personnel;
- consider any other appropriate sources of information;
- review financial and management systems;
- highlight any features not adequately detailed in the Profile which are relevant to an assessment against the accreditation criteria;
- assess the organisation against each criterion at the relevant level;
- draw conclusions as to whether the organisation satisfies each criterion and, if not, indicate how the criterion has not been satisfied;
- recommend the appropriate level of accreditation;
- discuss the team's findings and likely recommendations with organisation representatives at the conclusion of the review; and
- provide a written report to AusAID within ten days of the OR.

The Review Team should develop a methodology for the review which would generally include at least the following elements:

- Introductions, clarification about the OR process and the accreditation process;
- General discussions with key Board and staff members – CEO, accountant, development staff, promotions/public education/publicity staff about systems, operational policies and practices to gain an overview of the NGO, and to begin to highlight any issues that may need more detailed consideration during the OR;
- Subsequent to these discussions, or at the same time, identification of NGO documentation e.g. Board Minutes, Strategic Plan, Operations Manual or other methods of systematic documentation of policies and procedures that will assist the Review Team to assess project/program files and related financial management, and hence NGO capacity and track record, as they pertain to the accreditation criteria;
- Specific questions/prompts against any or all of the accreditation criteria, identification of relevant files or other documents, to enable the Review Team to assess NGO capacity and track record in that area;
- Time and office space for the Review Team to work by itself without the NGO staff or Board present, to assess the degree and consistency of the application of the policies and procedures as they are relevant to the accreditation criteria. During this stage of an OR

the Review Team will need access to NGO staff from time to time, to clarify documents or issues, to obtain further information etc;

- At agreed points the Review Team would meet together to review progress, identify issues and agree ways forward
- Feedback from Review Team to the NGO summarizing observations and recommendation for accreditation. A recommendation may not be possible, or may be tentative due to the need to check policy or other issues with AusAID or to resolve differences of opinion between Review Team members; and
- Feedback from the NGO to the Review Team.

Team Leaders will clarify a working method for each OR in liaison with Review Team members. It is good practice for Review Teams to meet prior to an OR to clarify the agreed methodology, specific roles or issues. This may only be possible in the hour or so prior to an OR, but it is an important aspect of managing an OR.

Whatever working method is developed, in order to maintain a track record and to strengthen accountability, Review Teams should use the AusAID Accreditation Reviewers Worksheets (**Appendix D**) to document their analysis and any findings.

4.2.5 The DA/OR report

AusAID has issued a standard format for DA and OR reports (**Annex C**). Generally, reports should be less than 20 pages although DA reports may go over this page length where issues for clarification at OR are particularly detailed or extensive and thus provide a clear guide for follow-up during an OR.

Reports do not call for a detailed and in-depth discussion around any particular criteria or issue, but (rather) a concise summary, on a criterion-by- criterion and issue-by-issue basis.

Effective DA and OR reports should reflect the following characteristics:

- they should be evidence based e.g. cite examples or other evidence to support assessments;
- there should be internal consistency in the report e.g. in writing style, level of evidence cited in each section, etc;
- the recommendation for accreditation should be supported by logical argument i.e. the observations, analysis and evidence in the report should lead logically to the recommendation;
- they should contain flat statements of fact/evidence which are verifiable, and not too many adjectives and/or personal opinions which are unsubstantiated; and
- the narrative should be specifically about the NGO and should not be a generic text using formulaic statements that could apply to any NGO.

An example of an Accreditation Report is attached at **Annex E**.

4.3 Managing Problems or Issues

Problems or issues may emerge in any review process. The Team Leader would generally take the lead on addressing and managing any problems or issues, usually in consultation with Review Team members, AusAID and the NGO if appropriate.

Problems may occur within the Review Team and their different ways of working, with the NGO and it's preparation for, or response to, the accreditation review, with AusAID's

management of the work, in writing the report, or in other areas. It is not possible to provide a list of problems or issues that may emerge; the Team leader should contact AusAID if they are unable to resolve problems or issues that arise during any part of the accreditation process.

5. CONCLUDING REMARKS

As noted in the introduction, these guidelines have attempted to develop a common understanding of the accreditation process so that Review Teams operate in a consistent and accountable manner. If this occurs their work should contribute to the integrity of the accreditation processes, and in so doing strengthen the Australian aid program and the NGO sector.

AusAID NGO Accreditation Criteria Table – Full, February 2008

Advisory Note – new global programs indicators

For the purposes of Accreditation, a fully accredited agency may undertake a mixture of directly managed programs and “global programs”. Global programs are defined as: *programs that are implemented through a shared management arrangement with other international partners, alliances or affiliates, as opposed to a direct relationship between the agency and an implementing partner.*

The general indicators in the following Criteria Table apply to an NGO's overall organisational systems and/or the processes that it applies to directly managed programs. Effective from December 2007, alternative indicators have now been inserted under several accreditation criteria that apply specifically to global programs. In these cases, global programs do not have to address the same indicators as the agency's directly managed programs. The indicators applying to global programs are intended to test whether the Australian NGO can demonstrate confidence that global programs it funds are managed to an equivalent professional standard as its directly managed programs. At a minimum, the Australian NGO must be able to demonstrate understanding of, and influence over, the global program activities that it funds.

For example, XYZ Australia is part of the XYZ International network. XYZ International has an Africa Regional Office that implements programs funded through a number of donors, including XYZ Australia, based on standards agreed by the XYZ International Board. It is not possible to separate specific XYZ Australia funded projects for management and reporting purposes, and XYZ Australia does not directly monitor Africa Regional Office activities. This is a “global program”. XYZ Australia could demonstrate the necessary influence over the programming of the Africa Regional Office through some or all of the follow means:

- a) Participating in oversight of the Africa Regional Office through membership of the XYZ International Board
- b) Participating in working groups that develop standards for program design, M&E etc for XYZ regional offices
- c) Appraising the Africa Regional Office program(s) prior to funding being sent from Australia
- d) Receiving monitoring reports and other information from the Africa Regional Office
- e) Communicating with the Africa Regional Office program staff
- f) Being able to call for and/or participate in reviews, evaluations or audits of the Africa Regional Office and its programs

Based on the material provided at accreditation, the Review Team will judge whether the Australian NGO has sufficient information about the global programs to be confident of their ‘equivalence’ in standard to directly managed programs. Some flexibility will be given when judging ‘equivalence’, i.e. the standards do not have to be identical to Australian accreditation requirements, but must demonstrate a considered response to the relevant criteria.

Some programs implemented through international partners, alliances and affiliates may have a level of involvement by the Australian NGO that meets the general accreditation requirements, in which case the agency does not need to identify these as “global programs”. In other cases, the international activity may not be able to meet even the global programs criteria, in which case the program(s) can generally be excluded from accreditation and RDE (a line in the RDE worksheet is provided for this purpose). In either case, the decision lies with the individual agency as to whether to include global programs under the general accreditation requirements, or to exclude them from accreditation and RDE.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
A AGENCY IDENTITY AND STRUCTURE		
A1 Agency is voluntary, not-for-profit and non-government. <i>This criterion seeks to establish that the Agency's Governing Body and membership do not profit from the Agency's assets, that members are not remunerated for their services on the Governing Body, and that the Agency's Governing Body is independent of government. These operating principles are ideally documented in the Agency's governing documents.</i>	VOLUNTARY: Governing Body is drawn from the organisation's constituency and members are not remunerated for their services on the Governing Body. NOT-FOR-PROFIT: Funds should be applied solely to the achievement of the Objects. Surplus funds cannot be distributed to members/shareholders. NON-GOVERNMENT: Not formally part of any Government funded institution or department. Its governance is independent from any Government institution with which it is affiliated. No Government institution or department can appoint the majority of the Board.	Constitution, Memorandum Articles of Association or Trust Deed. Clause in Constitution, or Memorandum and Articles which specifically indicates that surplus funds cannot be distributed to members/shareholders. Clause on winding up of organisation. Policy on election/appointment of members to the Governing Body.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
A2 Agency is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters. NB. No specific number of members is required to meet this criterion. <i>This criterion seeks to understand the legal structure of the Agency and the functions and accountability of its Governing Body. The process by which the Governing Body is elected/appointed should be transparent, and the Agency should be governed in an accountable fashion. These operating imperatives are ideally documented in the Agency's governing instrument. Where an Agency is part of an international network, this criterion seeks to establish the level of the Australian Agency's independence, and accountability to its Australian membership.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Company Limited by guarantee, and without shareholders; or Company Limited by shares; or operates under a Trust Deed from a legally recognised entity; or constituted under an Act of Parliament or incorporated associations. Responsibilities of the Governing Body and its members are outlined in its Constitution or Articles of Association. The Objectives outlined in the Constitution, Articles, Trust Deed or Strategic Plan approved by the Governing Body specifically includes development/aid activities in developing countries. Sufficient evidence of accountability checks and balances. Agency has procedures to reply to specific requests regarding decisions of the Governing Body, consistent with the ACFID Code of Conduct. Transparent policies to identify and address any conflict of interest. A clear separation of duties between Board, management and staff functions. Mechanisms for members to raise issues at governing body level and evidence that Agency has made those mechanisms known.	Certificate of Incorporation, Constitution, Memorandum and Articles of Association, Trust Deed or Appropriate Act of Parliament, CAN, ABRN, or IA number. List of Governing Body members and office holders with names, occupations, and length of service. Clauses in Constitution dealing with responsibilities of office holders. Clauses in Constitution dealing with election/appointment of office holders. Minutes of Governing Body meetings demonstrating member involvement. Minutes of AGM, copy of audited financial statements, Annual Report. Clause in Constitution or specific policy to deal with conflict of interest. Evidence that appropriate procedures have been followed if conflict of interest has arisen (eg. Board minutes). Adherence/Signatory to the ACFID Code of Conduct.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
A3 Agency has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations. <i>This criterion seeks to establish that the Agency is committed to and is operating within current, good practice, sector guidelines.</i>	Ratification of the Code by the Board. Accepted by ACFID as a signatory to the Code. Evidence of any non-compliance to the ACFID Code of Conduct.	Date of formal adoption/ ratification by the Board. Minutes of Governing Body. ACFID advice that agency is registered and compliant.

B DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES		
CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B1 Agency has a demonstrated record of undertaking aid projects/programs consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development. <i>This criterion seeks to establish that the Agency has implemented projects or programs over at least the last two years which have achieved demonstrable development outcomes. The Agency must demonstrate that it understands the objectives of the Australian Aid Program, in particular poverty alleviation and sustainable development, and demonstrate similar objectives in their projects/program. The Agency should demonstrate their consideration of geographic and sectoral focus in planning.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Demonstrated track record over two years of successfully managing a program or series of projects, which have achieved demonstrable development outputs. This may include experience in managing own funding or AusAID funds. Aims/Goal of poverty alleviation and sustainable development should be reflected at all levels of the organisation (from the mission statement through to project objectives). Evidence of a strategic approach to programming with consideration of geographic or sectoral focus appropriate to Agency's resources. Agreed country/program strategies or proposals including proposed outputs and outcomes clearly specified and in line with Strategic Plan. ¹Program (NGOPI definition) 'Complex development assistance schemes which encompass a number of individual activities with a key sectoral or defined geographic focus in a multi-year timeframe, and which contribute to a common goal. This goal is linked to the agency's strategic plan'. ²Project (NGOPI definition): 'Defined sets of activities which have identifiable objectives, a timeframe and an implementation plan'.	Documented record of development activities undertaken by the Agency. Project/Program proposal/design and budget, including any amendments. Analysis of project files. Strategic Plan which establishes a clear rationale for the Agency's program or projects and may include a sector or geographic focus and if applicable global programs. Mission Statement and project objectives. Activities undertaken are in line with objectives outlined in Agency's Strategic Plan.
<u>For Global Programs:</u> <i>For programs that are implemented through a shared management arrangement with other international partners, alliances or affiliates ('global programs'), as opposed to a direct relationship between the agency and an implementing partner, the agency has approved the strategic framework and assessed the proposed use of funds within this</i>	<u>For Global Programs:</u> Australian Agency has documented the proposed use of funds through an agreed strategic framework of programs. Evidence of the agreed strategic framework for global programs and evidence that it has been developed through a documented program planning process.	<u>For Global Programs:</u> Documented record of global programs supported by the Agency and documented arrangements (e.g. MOU, contract or formal partnership agreement) with international partners, alliances or affiliates relating to these programs. Minutes of meetings with international

framework as being consistent with its own strategic plan.		partners, alliances or affiliates. The Australian Agency has documented its participation in the development of the strategic framework for global programs.
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B2 Agency has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of: a) Development and Welfare b) Development and Evangelism c) Development and Partisan Politics. <i>This criterion seeks to understand the Agency's development philosophies and practices. It seeks to establish that the Agency understands AusAID's development principles and gives due consideration to cross-cutting issues such as gender, environment and human rights. It seeks to confirm that designated development funds (i.e. all funds included in RDE calculation) are used specifically for development outcomes and not for evangelical, welfare or partisan political purposes.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Agency can demonstrate it understands the objectives of the Australian Aid Program. Agency's development philosophies are reflective of current good practice. Agency policies show an understanding of development principles and include cross cutting issues including gender, environment, human rights, child protection etc. Agency has a policy or guidelines, approved by the Governing Body, and documented practice, that indicates how evangelistic and developmental objectives are differentiated; how welfare and developmental objectives are differentiated; and how partisan political and developmental objectives are differentiated.	Objectives of projects. Strategic plan. Organisation Profile. Application of crosscutting policies in project documentation/publications. Documented policies approved by the Board or Governing Body. Minutes approving relevant policies. Examples of communications to the Australian NGO's donors that clearly explain the Agency's various areas of activity - evangelistic/ welfare/ political and developmental. Donation forms that enable donors to direct a donation to either a tax deductible relief or development activity or to other programs such as partisan political/ evangelistic/welfare activities. Examples of communications to implementing organisations that make clear the purpose of funds transferred from Australia, eg agreements with partners include Agency's policies on evangelism, welfare and development. Acknowledgement or report from the implementing organisation indicating that this is understood and accepted.
	<u>For Global Programs:</u> Evidence that global programs comply with the Australian Agency's requirements on issues such as welfare, evangelism, partisan politics and counter terrorism.	<u>For Global Programs:</u> Documented arrangements with international partners, alliances or affiliates, e.g. MOU, contract or formal partnership agreement.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B3 The Australian Agency has the capacity to deliver its project/program objectives in a way that meets its contractual obligations to AusAID. A key element of this capacity is management systems that address all aspects of the project cycle. <i>Risk management:</i> Agency must manage risk throughout the project cycle. This includes (i) project/ program appraisal for all Commonwealth supported activities and (ii) compliance with AusAID guidelines on terrorism and child protection and environment. <i>Decision making processes:</i> Agency must have decision-making power in project/ program management and have ongoing input to and influence on project/program, where appropriate. NB: THE FINANCIAL MANAGEMENT ASPECTS OF THIS CRITERION ARE COVERED IN CRITERION E.	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Evidence that Agency has the capacity and adds value to the development program/process. Evidence that the agreed programs have been developed according to a clear strategic methodology and in keeping with the principles and policies that guide the Australian Agency's development approach. Mechanisms for ensuring continuity of institutional knowledge. Appropriate management of, and staffing level for Agency's development program. Agency can appraise projects/program against AusAID requirements, the Agency's strategic plan and good development standards. Agency can influence/intervene at any stage of the project cycle. Documented risk management strategy for overseas operations including staff health and safety in areas of political and economic instability/insecurity. Documented risk management strategies for potential negative impacts of project activities on beneficiaries. Procedures to prevent funds going directly or indirectly to individuals or organisations associated with terrorism; and to ensure that no support is given to any individual with any conviction under the Crimes (Child Sex Tourism) Amendment Act.	Documented partnership agreements/ arrangements reflective of Agency's contractual obligations to AusAID. Agreed programming procedures, standards or guidelines for the Australian Agency outlining its development approach and approach to project management, including financial management. Agreements/MOUs outlining the provisions for Australian Agency involvement, governance and intervention. Examples of Agency intervening if need has arisen. Evidence of regular information flow between implementing partner and Australian Agency. Project files demonstrating ongoing communication between the field and Australian Agency and the involvement of all partners. Evidence of qualitative judgement on monitoring reports. Agency policies on risk management. Minutes of meeting where decisions on project management are made. Evidence that the strategies identified in the Counter Terrorism Policy are being followed, and specifically incorporated in a risk management strategy.

<i>This criterion seeks to understand the role played by the Australian Agency throughout the project cycle, and to establish that it exercises appropriate influence and control to add value to the development process and manage risk. The Australian Agency must be able to demonstrate that it undertakes project appraisal for all Commonwealth supported activities and complies with AusAID guidelines on terrorism and child protection. The Australian Agency must have ongoing input to and influence on the project/program, and exercise decision-making power for project/program management where appropriate.</i>		Evidence that the DFAT and Attorney-General's National Security websites are checked and considered regularly. Written agreements with implementing partners covering counter-terrorism and child sex tourism obligations, including immediate notification if required. Evidence of appropriate checks in relation to employment/contracting of individuals. Evidence of application of AusAID's Guiding Principles for the environment.
<u><i>For Global Programs:</i></u> <i>The Australian Agency can demonstrate its involvement in the program management cycle as part of the agreed framework for global programs.</i> <i>The Australian Agency, while not needing to be an active participant at all points of the cycle, can demonstrate the capacity to intervene where its interests dictate, and can provide examples of where it has participated in the management of global programs.</i>	<u><i>For Global Programs:</i></u> The Australian Agency can demonstrate engagement in some or all of: setting the strategic direction of the programs, participating in program design, corresponding with the implementing bodies, reviewing and approving annual budgets/reports, receiving monitoring and evaluation reports and participating in overall program reviews. The Australian Agency can demonstrate its role in the decision to annually approve global programs and their budget, at least as it relates to its own participation in the programs. The Australian Agency can demonstrate access and power in the decisions that set the context for the programs (e.g. strategy, methodology, policies, frameworks) at governance and management levels. The Australian Agency's ability to influence global programs that it supports is outlined and documented in the agreements with international partners, alliances or affiliates.	<u><i>For Global Programs:</i></u> Minutes of meetings demonstrating engagement with international partners, alliances or affiliates. Program strategies or proposals including budgets, including evidence of annual approval of these proposals. Evidence of information flow from international partners, alliances or affiliates about the global program activities. Global management documentation, which could include program strategic frameworks, policies, monitoring and evaluation plans, reporting requirements, processes and procedures.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B4 Agency can monitor, report and rate effectiveness of activities. <i>This criterion seeks to understand the monitoring, reporting and evaluation systems used by the Australian Agency and its partners, and their capacity to assess the outcomes and impact of development activities.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID A transparent and verifiable system is used by the Australian NGO to assess the impact of the Agency's development activities. Evidence of qualitative judgement in monitoring reports Common understanding in Australian Agency and partners of the Quality Rating System (grades 1-5). Ability to distinguish between monitoring, review and evaluation.	Quality of reporting (refer to AusAID data check sheet) Evidence in project documentation of application of system (eg trip reports, monitoring reports etc). Evidence of project monitoring and evaluation reports for the assessment of activities, including global programs. Evidence of dialogue/communication with implementing partner about shared system for quality rating. Documented evidence of other forms of monitoring. Evidence of sufficient dialogue, communication or involvement in project, to effectively monitor and evaluate. eg minutes of meetings Policy, guidelines or documented practice which demonstrates a clear distinction between monitoring and evaluation. Analysis of programs includes evaluation of outcomes and impacts, as well as activities and outputs.
	<u>For Global Programs:</u> The Australian Agency can demonstrate that it has contact, discussion and influence with the implementing bodies that have been charged collectively with the monitoring of global programs.	<u>For Global Programs:</u> Documented arrangements for monitoring, reporting and evaluating in the form of MOUs, contracts or partnership agreements.

	Where the Australian Agency does not directly monitor program/project implementation, the delegation of this responsibility is clearly articulated in agreements between the Australian Agency and its international partners, alliances or affiliates. The Australian Agency must demonstrate that it has sufficient information to enable it to make informed decisions about the allocation and appropriate use of funds by the implementing bodies of global programs that it supports.	Global management documentation – could include strategic program frameworks, policies, monitoring and evaluation criteria, reporting standards, processes and procedures.
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B5 Agency has systems for continuous improvement of its management and operations. <i>This criterion seeks to understand the Agency's commitment to continuous improvement and its capacity to reflect on its management and operations and incorporate lessons learned.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Existence of strategic plan or planning process, its application and its regular review. Existence of a system to review and apply lessons learned including in staff development and training, project management, partnerships, fundraising, HR etc. Agency conducts evaluations of project/program, operations and management systems. Agency has responded to recommendations in last Accreditation Review. Articulation of how Agency identifies and records development outcomes. Evidence of incremental changes over the five years since last Accreditation.	Strategic plan, action plans, review meeting minutes. Evidence of discussions at all levels of Agency. Documented communication with partners regarding evaluations and incorporation of lessons learned. Outline of staff training activities over previous years. Evaluation reports and evidence that findings/recommendations have been addressed.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
C. APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION		
C1 Agency has documented partnerships with organisations in countries where it works. NB: Affiliation with international agencies alone does not fulfill this criterion. Australian Agency must be able to undertake its own monitoring, receive reports direct from the field and be able to influence project outcomes, if necessary. Partnerships with Government departments or international organisations are not necessarily excluded. <i>This criterion focuses on the documented, contractual framework in place to manage partnerships and projects/programs. It seeks to establish that the Agency has formal arrangements with partners which cover all aspects of the Head Agreement with AusAID and that these arrangements are understood and accepted by partners.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID For AusAID funded activities the Agency must have documented arrangements with delivery organisations covering all aspects of the Head Agreement with AusAID. Agency must demonstrate that it maintains contact with local or national <i>in-country</i> organisations. Agreements have specific clauses detailing program funding budgets and proposed use of funds. Agreements have specific clauses stating that all funding offices contributing to program activities have access to detailed budgets and the proposed use of funds. Documented roles and responsibilities of country offices and international partners, alliances or affiliates.	Documented arrangements eg. MOUs, contract or formal partnership agreement with partners, international partners, alliances or affiliates, which include proposed budget and use of funds. Evidence of partners' understanding and acceptance of documented arrangements, ie. communication about content and application of agreement. Evidence on file acknowledging and addressing the strengths and weaknesses of each partner and setting out key roles and responsibilities and evidence that these roles and responsibilities have been fulfilled. Detailed program funding agreement proforma and/or guidelines. Procedural arrangements for maintaining the relationship. Record of discussions with delivery organisations, exchanges of letters or formal contracts. Minutes of meetings with international partners, alliances or affiliates.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
C2 Agency has assessed its own capacity and the capacity of its partner organisation to deliver and develop projects/programs appropriate for that capacity. NB: this criterion does not require agencies to limit their partnerships to agencies of any specified capacity. <i>This criterion seeks to establish that the Agency takes a systematic approach to assessing its own capacity and the capacity of its partners and that projects/programs are designed and implemented relative to this capacity, or that capacity is strengthened if needed.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID The Agency has system/systems for evaluating the capacity of its partners. Agency has system/systems to assess its own capacity on an ongoing basis. Agency can demonstrate that it bases its design/implementation on its own and its partner's capacity.	Guidelines/list of characteristics that Agency seeks in a partner. Completed checklist identifying capacity of Delivery Organisation for management and financial control. Policies or documented practice relating to partnership development. Evidence of an internal assessment such as annual review of own capacity, or minutes of own strategic planning. Evidence of occasion where decision was made <i>not</i> to pursue a particular activity with a particular partner as partner judged to have insufficient capacity (minutes, correspondence to and from field, appraisal reports, etc). Evidence of occasion where decision was made to fund a particular partner and provide additional capacity building to address areas of partner weakness. Details of institutional strengthening activities undertaken with partners. Development of an agreement which reflects results of assessments and allocates roles and responsibilities of Agency and their partner according to capabilities.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
C3 Agency's partnerships with organisations in countries where it works, and its partners' relationships with beneficiaries, are effective and consistent with good development practice. <i>This criterion seeks to understand the nature and tone of partnerships and relationships between the Australian Agency and partners and between partners and beneficiaries. It seeks evidence, that partnerships reflect good development practice ie. equality, mutual respect and learning, self reliance, transparency, etc.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Evidence of a relationship which reflects equality, mutual respect, mutual learning and capacity building, honesty, transparency, self reliance. Evidence that similar principles are reflected in the relationship between the partners and beneficiaries. Opportunities for mutual influence on programs.	Documentation showing the quality of the partnership between the Australian Agency and its in-country partner. Documented examples of communications between Agency and partner, eg. emails, letters reflecting the nature of the relationship and role played by the Agency. Documented evidence of the relationship between the partner and beneficiaries, or partners' policies on this, eg policy/guidelines, promotional material, copy of communication between partner and beneficiaries, copies of monitoring reports. Evidence of exchange of views and information regarding the project and other activities, which reflect the partnership, eg. exchange visits of key personnel, joint advocacy campaigns, volunteer placement, etc. International network policies describing the role/nature of involvement of National Offices, where Agency is part of an international network, alliance or affiliate.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
LINKAGES WITH THE AUSTRALIAN COMMUNITY		
D1 Agency is clearly identifiable as Australian and can demonstrate responsive interaction with an Australian community base. <i>This criterion seeks to understand: how the Agency approaches the issue of Australian identity in projects/programs and promotions; how the Agency recognises/acknowledges the source of contributions to the projects it supports; the nature and level of the Agency's community support; and how the Agency involves, and responds to, its Australian constituency.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Agency has procedures in place to achieve Australian identity in its activities. Delivery organisation, in-country staff and recipients are aware of the Australian source of funding. Australian identity sought in documented arrangements. Agency has procedures and practice which enable any supporter, upon request, to have free access to, and to make copies of, decisions of the Governing Body or any office holder of the Agency (subject to any legal constraints). Agency has mechanisms for the community base to raise issues and evidence that those mechanisms are known. Agency actively involves its constituency in its various activities. Agency is able to clearly communicate the respective roles and achievements of the Australian Agency and those of its international partners, alliances or affiliates in its communication material, such as publications and information published electronically. Agency has agreed guidelines with its international partners, alliances or affiliates as to appropriate reporting in organisational promotional materials, i.e. attribution.	'Australia' in title of organisation. Copies of communications with in-country staff and partners acknowledging Australian identity. Photos of promotion of Australian identity in the field, eg. signage. Evidence of access to copies of Board minutes, AGM minutes by supporters. (policy for gaining access; copies of requests from supporters) Evidence of Agency response to requests for information from supporters. Evidence that Agency encourages new supporters. Evidence of publications or electronic information that clearly communicates the respective roles and achievements of the Australia Agency and international partners, alliances or affiliates. Program approval documentation, either with bilateral partners or international partners, alliances or affiliates.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
D2 Agency and its partners provide accurate information about the organisation, its objectives and activities in its public presentations, in a manner that respects the dignity of recipient communities. NB: Promotional material clearly differentiates between activities of Australian Agency and that of overseas partners. <i>This criterion seeks to ensure that promotional material respects the dignity, values, history, religion and culture of people, consistent with principles of basic human rights and ACFID Code of Conduct. It also seeks to find consistency between project activity and promotional material, and a clear differentiation between the Australian Agency and its overseas partner.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Consistency between project activity and promotional material. Publicity material of both the Australian Agency and its partners shows due respect to the dignity, values, history, religion and culture of the people with whom it works, consistent with principles of basic human rights and ACFID Code of Conduct. Agreed guidelines with international partners, alliances or affiliates as to appropriate reporting in organisational promotional materials, i.e. attribution.	Annual Report. Comparison of project reports and promotional material. Examples of promotional and educational documentation of both the Australian Agency and its partners. Monitoring reports which comment on partners' development philosophy and practices. Program approval documentation, either with bilateral partners or international partners, alliances or affiliates.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
D3 Agency deploys and maintains Australian community support for its development projects/programs, through financial support and in-kind and/or voluntary contributions. <i>This criterion seeks to understand how the Agency utilises resources for development projects/programs and how it maintains its community support (funds, in-kind and volunteer) for development activities.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Staff/volunteer time and other resources spent on development activities. Fundraising and promotional initiatives. Strategic or planning process which includes ongoing fundraising and promotional initiatives.	Staff/volunteers engaged in and/or responsible for development activities. Agency Strategic Plan or other evidence of strategic thinking and its application. Examples of successful and planned fundraising initiatives. Promotional staff and/or use of consultants for fundraising. Promotional materials and media policies.

	Staff and/or volunteer time devoted to promotional, fundraising and development education activities. Policy covering utilisation of Volunteers.	Evidence of discussions at Board/staff meetings regarding ideas for promotional activities. Evidence of work-in-progress on promotional activities. Staff or volunteer diaries/logbooks relating to promotional, fundraising and development education activities. Documented record of volunteer involvement.
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
D4 Agency has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues. <i>This criterion seeks evidence of the Agency's plan and efforts to promote community awareness of development issues, in addition to the Agency's own promotion. It also seeks to understand the nature of the Agency's engagement with its constituency about development issues.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Evidence of promotion of constituency involvement, eg. organisational arrangements which provide opportunities for supporters to contribute to Agency discussion. Agency efforts to promote community awareness of development issues in addition to the Agency's own promotion. Evidence of awareness-raising initiatives and engagement with constituency on issues.	Formal documented strategy reviewed and approved by Governing Body. Copies of newsletters and brochures which include information on development issues and are focussed on awareness-raising. Evidence of involvement in multi-agency programs, eg. Children at War. Study tours; campaigns; public seminars; school visits; talks to church groups; use of media, eg. radio interview. Evidence of advice provided to supporters/donors through publications/correspondence/campaign materials, etc on taking further action on issues of concern, eg. letter writing campaigns.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E FINANCIAL SYSTEMS & RISK MANAGEMENT		
E1 Agency has effective management, administration and financial systems for accounting for funding. <i>This criterion seeks evidence of satisfactory application of policies, systems and processes for accounting for funding.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Documented policies, systems and processes for accounting for funding including for: • establishment of budgets, their basis and authorisation • project ledgers of accounting • procurement of goods and services • cash management and allocation of interest income • progress reporting • exchange rate gain and loss • acquittal consolidation and reporting • handling unspent funds • activity management • asset management • authorisation by agency and confirmation from partner for overseas transfers of funds Audited financial statements complying with the various accounting standards, Urgent Issues committee's pronouncements and ACFID requirements. Financial systems controlling general ledger and project ledgers: • audit trails in place • supporting documentation referenced • project status reports	Files showing evidence of satisfactory application of policies, systems and processes for accounting for funding. Contracts with partners. Balance sheet (assets, liabilities and equity) and profit and loss (revenue, expenditure and surplus) statements. Filing systems. Table of contents of Operations Manual and inspection of specific extracts. Examination of project files and discrete ledger accounts. Audit management letters and responses.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E2 Agency and its overseas partners and its international affiliates have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations. <i>This criterion seeks to understand how the Agency regularly assesses, monitors and strengthens the financial systems and capacity of itself, its partners and affiliates. It also wants to see what documented agreements are in place with delivery organisations and International Affiliates for the management and accountability of funds.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Documented agreements with delivery organisations for the management and accountability of funds. Evidence of regular assessment of financial systems and overall financial capacity of overseas partner agencies and international affiliates. Evidence of partners' and international affiliates' policies and procedures for accounting for funding. Receives audited financial statements from delivery organisations. Receives audited project acquittals from delivery organisations. Receives copies of independent audits by international partners, alliances or affiliates.	Documented arrangements such as contracts, MOUs, formal partnership agreements or other relevant documentation identifying capacities and roles of each overseas partner agency in financial operations. Documentation on assessment of the financial management capacity of the partners/implementing bodies for global programs. Correspondence regarding program implementation and risk issues Example of finance-related institutional strengthening of delivery organisation. Demonstrated compliance with financial procedures of international network, if appropriate. Method for calculating exchange rate variations and interest earned. Examination of a sample of audit reports, if available, from international partners, alliances or affiliates. Evidence that audit reports, financial statements, program reports and evaluations are passed to international partners, alliances or affiliates, if applicable. At least one full-time or 2 part-time equivalent staff member/s dedicated to development outcomes.

	<u>For Global Programs:</u> Evidence that the Australian Agency receives regular financial statements, program reports and evaluations, and is able to make 'course corrections' in consultation with its international partners, alliances or affiliates, as necessary. Evidence that the Australian Agency can request an independent audit of the implementing bodies for global programs, in association with its international partners, alliances or affiliates, and has the right to withhold funds from the global programs or parts of programs if warranted.	<u>For Global Programs:</u> Documentation on assessment of the financial management capacity of the partners/implementing bodies for global programs. Evidence that audit reports, financial statements, program reports and evaluations are passed to international partners, alliances or affiliates, if applicable.
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E3 Agency utilises systems to assess and manage financial risk which is appropriate to the level of expenditure. NB: This includes risk related to expenditure through partner organisations. <i>This criterion seeks evidence of application of a financial risk management strategy and/or financial risk management practices of Agency and partner.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Documented financial risk management strategy and practices. Documented financial monitoring of project expenditure by partner. Frequency of financial systems assessments. Evidence that Agency has implemented recommendations arising from audit reports. Evidence of financial systems improvement by Agency. Authorisation levels for senior personnel including cheque signatory. Foreign currency exchange policy for limiting rate movement exposure. Insurance policies, eg. public liability.	Evidence of application of financial risk management strategy and practices. Evidence of partner reporting requirements, and evidence of receipt of financial statements, reports and evaluations. Financial monitoring checklists prepared and completed by Agency. Agency status reports tracking key financial data and reporting schedules. Independently audited financial statements. Computer system access controls. Monitoring system to detect any fraudulent use of funds. Documented responsibility of officers and delegations.

	<u>For Global Programs:</u> The Australian Agency receives reports on its global programs, and has access to financial statements, audit reports, evaluations and performance data. The Australian Agency has access and influence within the agreed management structures that control these programs.	<u>For Global Programs:</u> Evidence of partner reporting requirements, and evidence of receipt of financial statements, reports and evaluations. Documented responsibility of officers and delegations.
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E4 Agency can raise contributions (a minimum \$75,000 RDE averaged over three years) from the Australian community in support of development activities. NB: RDE benchmarks relate to the previous financial year. <i>This criterion seeks to verify that the Agency: can raise its own funds from the community for development activities; differentiates funds for development, religious, welfare and partisan political activities in RDE calculations; and is not dependent on AusAID for staff salaries. One full time equivalent salary of a person (or two half time persons) fully engaged on overseas aid work should be paid for from the Agency's own funds.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Comparison of dollars raised from Australian community for overseas development activities, with dollars deployed for overseas development activities (including those for development education, but distinct from those raised for non-development activities and for welfare, evangelistic and partisan political activities). Value of services and goods in-kind donations, recorded within the Agency's financial statements. Amount of time donated by volunteers either in Australia or overseas, recorded in the Agency's financial statements. Compliance with the ACFID Code of Conduct Summary Financial Report template.	Examination of RDE calculations and audited financial statements to demonstrate application of appropriate differentiation between development activities and welfare, evangelism and partisan politics. Working papers for calculation of RDE, compliance with RDE worksheet and RDE returns over the last three years. Financial records of income and disbursement against specific projects/programs, and reconciliations with the general ledger. Method for documenting and recording value of services and in-kind donations, and volunteer time. Maintenance of timesheet records. Expenditure allocated as per ACFID definitions. Administration expenditure records.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E5 Agency complies with Australian legislation pertaining to fundraising and tax deductibility. <i>This criterion seeks to establish if the Agency is registered for fundraising purposes as a charitable/benevolent institution and has tax deductibility status if claimed publicly.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID It is registered for fund raising purposes as a charitable/benevolent institution, except where a legal exemption can be shown. Agency has tax deductibility status, if it claims it publicly, for an international project fund.	Letter with date of registration as charity/public benevolent institution. Letter or other legal document showing exemption. Letter or gazette notice from Taxation Department and/or AusAID list. Agency promotional material claiming tax deductibility. ABN database search.

For NGOs who intend to use Government funds in Family Planning/Reproductive Health activities		
ADDITIONAL CRITERIA	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
F1 Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.	Relevant written policies and procedures	Staff with relevant experience in Family Planning projects (eg CVs of staff involved).
F2 Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.	Documented evidence of application of relevant policies and procedures throughout the project cycle where applicable.	Successful completion of FP interim accreditation process ie through the successful completion of a short report to AusAID detailing how Family Planning Guiding Principles are applied in project design and implementation.
	<u>For Global Programs:</u> Agreed guidelines with international partners, alliances or affiliates consistent with Australian Government policy on Family Planning/Reproductive Health Issues.	<u>For Global Programs:</u> Documented guidelines on Family Planning/Reproductive Health Issues.
F3 Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirements.	Documented evidence that relevant issues have been addressed in the planning and implementation of family planning related activities. Interim reporting if needed (for problems experienced etc).	Documentation showing that relevant issues have been discussed with AusAID.

Base AusAID NGO Accreditation Criteria Table – May 2008

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
A ANGO IDENTITY AND STRUCTURE		
A1 ANGO is voluntary, not-for-profit and non-government. <i>This criterion seeks to establish that the ANGO's Governing Body and membership do not profit from the ANGO's assets, that members are not remunerated for their services on the Governing Body, and that the ANGO's Governing Body is independent of government. These operating principles are ideally documented in the ANGO's governing documents.</i>	VOLUNTARY: Governing Body is drawn from the organisation's constituency and members are not remunerated for their services on the Governing Body. NOT-FOR-PROFIT: Funds should be applied solely to the achievement of the Objects. Surplus funds cannot be distributed to members/shareholders. NON-GOVERNMENT: Not formally part of any Government funded institution or department. Its governance is independent from any Government institution with which it is affiliated. No Government institution or department can appoint the majority of the Board.	Clause in Constitution, Memorandum Articles of Association or Trust Deed. Clause in Constitution, or Memorandum and Articles which specifically indicates that surplus funds cannot be distributed to members/shareholders. Clause on winding up of organisation. Policy on election or appointment of members to the Governing Body.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
A2 ANGO is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters. NB. No specific number of members is required to meet this criterion. <i>This criterion seeks to understand the legal structure of the ANGO and the functions and accountability of its Governing Body. The process by which the Governing Body is elected or appointed should be transparent, and the ANGO should be governed in an accountable fashion. These operating imperatives should be documented in the ANGO's governing instrument. Where an ANGO is part of an international network, this criterion seeks to establish the level of the Australian ANGO's independence, and accountability to its Australian membership or constituency.</i>	Legal structure could vary from: an Incorporated Association to a Company Limited by Guarantee or it may operate under a Trust Deed from a legally recognised entity; or be constituted under an Act of Parliament etc. Record of responsibilities of the Governing Body and its members. There must be a clear separation of duties between Board, management and staff functions. The relationship between the Governing Body and Management could vary from: a total and formal separation; to a structure with some duplication of roles in very small agencies. At a minimum there should be documented decision making procedures and role descriptions with delineation of responsibilities between governance, management and staff or volunteers. Where multiple family members are involved there must be clear delineation of roles, role descriptions and decision making procedures. The Objectives outlined in the Constitution, Articles, Trust Deed or Strategic Plan approved by the Governing Body specifically includes reference to development/aid activities in developing countries. Evidence of accountability checks and balances.	Certificate of Incorporation, Constitution, Memorandum and Articles of Association, Trust Deed or Appropriate Act of Parliament, ACN, ABN, or IA number. List of Governing Body members and office holders with names, occupations, and length of service. Clauses in Constitution outlining election or appointment process of governing body and office holders. Clauses in Constitution outlining the roles of office holders. If multiple family members involved must have clear job descriptions and decision making procedures with examples of how this has been applied in a transparent and accountable manner. ie no two family members should be bank signatories or be solely responsible for decision making. Minutes of Governing Body meetings demonstrating decision making

	ANGO has procedures to reply to specific requests from its constituency regarding decisions of the Governing Body, and to manage Conflict of Interest consistent with the ACFID Code of Conduct. Mechanisms for members to raise issues at governing body level and evidence that ANGO has made those mechanisms known.	processes and member involvement. Minutes of AGM, copy of audited financial statements, Annual Report. Clause in Constitution or specific policy to deal with conflict of interest. Evidence such as meeting minutes that appropriate procedures have been followed if conflict of interest has arisen
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
A3 ANGO has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations. <i>This criterion seeks to establish that the ANGO is committed to and is operating within current, good practice, sector guidelines.</i>	Ratification of the Code by the Board. Staff and governing body members are familiar with the Code of Conduct.	Date of formal adoption/ ratification by the Board. Minutes of relevant governing body meeting. Discussions with governing body members and staff Notification from ACFID that ANGO is a compliant signatory to the ACFID Code of Conduct.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES		
B1 ANGO has a demonstrated record of undertaking aid projects consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development. <i>This criterion seeks to establish that the ANGO has implemented activities over at least the last two years which have achieved demonstrable development outcomes. The ANGO must demonstrate that it understands the objectives of the Australian Aid Program, in particular poverty alleviation and sustainable development, and demonstrate similar objectives in their projects.</i>	Understanding by staff of the objectives of the Australian aid program. Demonstrated track record over two years of successfully managing activities or projects, which have achieved demonstrable development outcomes. This may include experience in managing own funding or AusAID funds. Demonstrated understanding and application of the project cycle.	Discussion with staff demonstrating familiarity with AusAID, its objectives and its procedures. Examples of project proposals, designs and budgets. Analysis of project files such as progress reports, monitoring reports, project completion reports and evaluation reports. Discussions with staff and evidence in project files that project management has involved the various stages of the project cycle such as needs analysis, project design, monitoring and evaluation and that the ANGO contributes in some way to these processes.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B2 ANGO has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of: a) Development and Welfare b) Development and Evangelism c) Development and Partisan Politics. <i>This criterion seeks to understand the ANGO's development philosophies and practices. It seeks to establish that the ANGO understands AusAID's development principles and gives due consideration to cross-cutting issues such as gender, environment and human rights. It seeks to confirm that designated development funds, i.e. all funds included in RDE calculations, are used specifically for development outcomes and not for evangelical, welfare or partisan political purposes.</i>	ANGO's development philosophies and practices show an awareness of current development practice including cross cutting issues such as gender, environment and human rights. ANGO applies AusAID's Guiding Principles for the Environment and other AusAID policies as appropriate. Where an ANGO engages in welfare, evangelistic or partisan political activities, it is able to differentiate these from its development activities in a philosophical and operational sense. This must include the delineation of funds raised and expended.	Mission, Vision and Objectives of the ANGO and objectives of its projects. Discussions with staff demonstrating familiarity with current development practice, relevant tertiary study by staff, involvement with ACFID networks and trainings etc. Evidence of consideration of cross cutting issues such as gender, environment, human rights. Application of crosscutting policies in partner agreements, project documentation and publications. Discussion with staff. Policies or guidelines, approved by the Governing Body that indicate how the ANGO differentiates between development and welfare, evangelism partisan politics. Examples of communications between the ANGO and its constituency discussing or confirming its practices in relation to welfare, evangelism or partisan politics.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B3 The ANGO has the capacity to deliver its project objectives in a way that meets its contractual obligations to AusAID. <i>This criterion seeks to understand the role of the ANGO throughout the project cycle to establish that it exercises adequate influence and control with its organisations and implementing partners to:</i> i) <i>add value to the development process and</i> ii) <i>Manage risk.</i> NB: FINANCIAL MANAGEMENT IS COVERED IN CRITERION E.	Evidence that ANGO has the capacity to add value to the development process. ANGO appraises all activities against good development standards. ANGO has the capacity to assess and manage risk. Agency can influence/intervene at any stage of the project cycle. ANGO can demonstrate compliance with AusAID guidelines on terrorism and child protection.	Appropriate staffing level relative to the size of the ANGO's development program. Agreements/MOUs with partners outlining the ANGO's role in projects. Examples of ANGO involvement in projects as documented in emails, progress reports or monitoring reports. Evidence of regular information flow between implementing partner and ANGO. Project files demonstrating ongoing communication between the field and ANGO. Evidence of analysis and judgement by the ANGO in monitoring reports. Documented partnership arrangements with implementing partners reflective of ANGO's contractual obligations to AusAID ie the Head Agreement. ANGO policies or documented practice such as risk management framework. Minutes of meeting where decisions on project management are made.

		Written policies and clauses in partnership agreements covering counter-terrorism and child protection obligations, including immediate notification if required. Evidence that the strategies identified in the Counter Terrorism Policy are being followed. Evidence that the DFAT and Attorney-General's National Security websites are checked and considered regularly. Evidence of appropriate checks in relation to employment/contracting of individuals.
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B4 ANGO can monitor, report and rate effectiveness of activities. <i>This criterion seeks to understand the monitoring, reporting and evaluation systems used by the ANGO and its partners.</i>	Regular monitoring of activities is undertaken. Where the ANGO has delegated responsibility for field visits to another body, the ANGO can demonstrate its ability to assess the progress of the activities in the absence of such visits. The ANGO analyses project information to assess progress or constraints. A system is in place which produces informative and timely reports between the implementing partner, the ANGO and AusAID. Ability to distinguish between monitoring and evaluation ANGO is conducting evaluations of activities.	Monitoring and reporting guidelines in ANGO operating manual. These guidelines are reflected in project agreements with implementing partners. Evidence in project files of consistent application of monitoring guidelines, e.g. progress reports, field trip reports, monitoring reports, Documented evidence of other avenues of monitoring such as records of communication with implementing partners via email or phone. Analysis by ANGO of project progress including some assessment of activities at the outcome level. Review of monitoring reports on file. Discussion with staff. Evaluation guidelines in ANGO operations manual. Schedule for future evaluations of projects. Review of available evaluation reports.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
B5 ANGO has systems for continuous improvement of its management and operations. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES		

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
C. APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION		
C1 ANGO has documented arrangements with implementing partners in countries where it works and/or with global partner's networks or affiliates as appropriate. <i>This criterion focuses on the documented, contractual framework in place to manage partnerships and projects. It seeks to establish that the ANGO has formal arrangements with partners which cover all aspects of the Head Agreement contract with AusAID and that these arrangements are understood and accepted by partners.</i>	ANGO must have documented arrangements with implementing organisations covering all aspects of the Head Agreement contract with AusAID. ANGO must demonstrate that it maintains contact with local or national <i>in-country</i> organisations.	Documented arrangements e.g. MOUs, contract or formal partnership agreement with partners, international partners, alliances or affiliates, which include proposed budget and use of funds. Evidence of partners' understanding and acceptance of documented arrangements, i.e. communication about content and application of agreement. Procedural guidelines in ANGO's operations manual for managing the relationship. Minutes of meetings with international partners, alliances or affiliates.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
C2 ANGO has assessed its own capacity and the capacity of its partner organisation to develop and implement projects. <i>This criterion seeks to establish that the ANGO assesses its own capacity and the capacity of its partners and that projects/programs are designed and implemented relative to this capacity, or alternatively that capacity is strengthened if needed.</i> NB: this criterion does not require agencies to limit their partnerships to agencies of any specified capacity.	ANGO has a process to assess its own capacity on an ongoing basis. The ANGO has a process to assess the capacity of its implementing partners. ANGO can demonstrate that it bases its project design and implementation on its own and its partner's capacity.	Evidence of internal organisational assessment such as a report from an review of the ANGO's own capacity, minutes of planning meetings. Guidelines in operations manual to assess capacity of implementing partner such as a checklist or guiding principles. Completed checklist or another form of documentation such as a file note or minutes of meeting, describing the capacity of implementing partners. Evidence such as minutes of meetings, correspondence to and from field, appraisal reports, etc, where a decision was made <i>not</i> to pursue a particular activity with a particular partner as partner judged to have insufficient capacity or because the ANGO did not have the capacity. Evidence where decision was made to fund partner and provide capacity building to address areas of capacity weakness. Details of capacity building activities undertaken with partners.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
C3 ANGO's partnerships are consistent with good development practice. <i>This criterion seeks to understand the nature and tone of partnerships and relationships between the ANGO and partners and between partners and beneficiaries. It seeks evidence that partnerships reflect good development practice ie. equality, mutual respect and learning, self reliance, transparency, etc.</i>	Evidence of a relationship which is characterised by equality, mutual respect, mutual learning, capacity building, honesty, transparency and self reliance. Opportunities for mutual influence by the ANGO and the implementing partners on projects.	Discussions with staff. Documented examples of communications such as emails, letters, field trip reports and meeting minutes, showing the nature of the partnership and respective roles of the ANGO and the implementing partner.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
D. LINKAGES WITH THE AUSTRALIAN COMMUNITY		
D1 ANGO is clearly identifiable as Australian and can demonstrate interaction with an Australian community base. <i>This criterion seeks to understand: how the ANGO ensures Australian identity in its projects and promotions; how the ANGO acknowledges the source of contributions to the projects it supports and how the ANGO engages with its Australian constituency.</i>	ANGO has procedures in place to achieve an appropriate level of Australian identity in its activities in the field. Australian identity of the ANGO is clear to its supporters and donors. International parent organisations and/or implementing partners and recipients are aware of the Australian source of funding. Australian community base is well informed of ANGOS activities and able to communicate with the ANGO to raise issues or concerns.	'Australia' in title of organisation. Australian identity of the ANGO is made clear to supporters and donors in newsletters, appeal letters, etc. Copies of communications with implementing partners acknowledging Australian support and identity. Newsletters and other promotional material or communications with constituency. Evidence of access by supporters to copies of governing body decisions, AGM minutes etc. Evidence, such as emails or letters, of ANGO response to requests for information from supporters or discussion about their concerns. Evidence such as newsletters or promotional material that ANGO encourages new supporters.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
D2 ANGO provides accurate information about the organisation, its objectives and its activities in its public presentations, in a manner that respects the dignity of recipient communities. <i>This criterion seeks to ensure that promotional material respects the dignity, values, history, religion and culture of people, consistent with the ACFID Code of Conduct. It seeks to find consistency between projects and promotional material, and a clear differentiation between the ANGO and its implementing partners.</i>	Consistency between project activity and promotional material. Publicity materials of the ANGO show due respect to the dignity, values, history, religion and culture of the people with whom it works, consistent with the ACFID Code of Conduct.	Comparison of project reports and Annual Report and promotional material such as newsletters. Examples of promotional and educational documentation of the ANGO.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
D3 ANGO maintains Australian community support for its development projects through financial, in-kind and/or voluntary contributions. <i>This criterion seeks to understand how the ANGO maintains its community support (monetary, in-kind and volunteer) for development activities.</i>	Contribution of volunteers to ANGO's work. Staff and/or volunteer time devoted to promotional, fundraising and development education activities. Ongoing fundraising and promotional initiatives.	Diaries, logbooks or similar system for recording volunteer contributions. Policy covering utilisation of volunteers. Record of a planning process which includes ongoing fundraising and promotional initiatives. Examples of successful and planned fundraising initiatives. Promotional materials such as newsletters or events brochures.

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
D4 THIS CRITERION NOT APPLICABLE TO BASE AGENCIES ANGO has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues.		

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
FINANCIAL SYSTEMS & RISK MANAGEMENT		
E1 ANGO has effective management, administration and financial systems for accounting for funding, including systems to ensure the presence and implementation of adequate controls in partner organisations' accounting and management systems. <i>This criterion seeks evidence of satisfactory application of policies, systems and processes for accounting for funding by the ANGO in Australia and by its partners/implementing organisations in the field.</i>	Documented policies, systems and processes for accounting for funding including for: • establishment of budgets, their basis and authorisation • project ledgers of accounting • procurement of goods and services • cash management and allocation of interest income • progress reporting • exchange rate gain and loss • acquittal consolidation and reporting • handling unspent funds • activity management • asset management • authorisation by ANGO and confirmation from partner for overseas transfers of funds	Files showing evidence of satisfactory application of policies, systems and processes for accounting for funding. Balance sheet (assets, liabilities and equity) and profit and loss (revenue, expenditure and surplus) statements. Table of contents of Operations Manual and inspection of specific extracts. Examination of project files and discrete ledger accounts. Audit management letters and responses.

	Audited financial statements complying with the various accounting standards, Urgent Issues committee's pronouncements and ACFID requirements. Financial systems controlling general ledger and project ledgers: • audit trails in place • supporting documentation referenced • project status report • currency conversion rates for budget and actual expenditures Documented agreements with delivery organisations for the management and accountability of funds. Financial assessment undertaken during monitoring trips	Agreements/EOL with partners. Partners' policies and procedures for accounting for funding. Partnership agreement or other relevant documentation identifying capacities and roles of each overseas partner agency in financial operations. Project acquittals from partners/delivery organisations. Verify currency conversion practises of partners. Project files
CRITERION	EXAMPLES OF INDICATORS	EXAMPLES OF INDICATORS
E2 ANGO and its overseas partners and its international affiliates have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES		

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E3 ANGO utilises systems to assess and manage financial risk which is appropriate to the level of expenditure. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES		
CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E4 ANGO can raise contributions (a minimum \$50,000 RDE averaged over three years) from the Australian community in support of development activities. NB: RDE benchmarks relate to the previous financial year. <i>This criterion seeks to verify that the ANGO: can raise its own funds from the community for development activities; differentiates funds for development, religious, welfare and partisan political activities in RDE calculations; and is not dependent on AusAID for staff salaries. One full time equivalent salary of a person (or two half time persons) fully engaged on overseas aid work should</i>	Comparison of dollars raised from Australian community for overseas development activities, with dollars deployed for overseas development activities (including those for development education, but distinct from those raised for non-development activities and for welfare, evangelistic and partisan political activities). Value of services and goods in-kind donations, recorded within the ANGO's financial statements. Amount of time donated by volunteers either in Australia or overseas, recorded in the ANGO's financial statements. Compliance with the ACFID Code of Conduct Summary Financial Report template.	Working papers for calculation of RDE. Examination of RDE calculations and audited financial statements to demonstrate application of appropriate differentiation between development activities and welfare, evangelism and partisan politics. Compliance with RDE worksheet. RDE returns over the last three years. Financial records of income and disbursement against specific projects/programs, and reconciliations with the general ledger. Method for documenting and recording value of services and in-kind

be paid for from the ANGO's own funds.		donations, and volunteer time. Maintenance of timesheet records. Expenditure allocated as per ACFID definitions. Administration expenditure records.
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
E5 ANGO complies with Australian legislation pertaining to fundraising and tax deductibility. <i>This criterion seeks to establish if the ANGO is registered for fundraising purposes as a charitable/benevolent institution and has tax deductibility status if claimed publicly.</i>	It is registered for fund raising purposes as a charitable/benevolent institution, except where a legal exemption can be shown. ANGO has tax deductibility status, if it claims it publicly, for an international project fund.	Letter with date of registration as charity/public benevolent institution. Letter or other legal document showing exemption. Letter or gazette notice from Taxation Department and/or AusAID list. ANGO promotional material claiming tax deductibility. ABN database search.

For NGOs who intend to use Government funds in Family Planning/Reproductive Health activities		
ADDITIONAL CRITERIA	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
F1 Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.	Written policies and procedures which reflect AusAID's Guiding Principles	Policy ratified by the governing body, in ANGO's operations manual. Staff with relevant experience in Family Planning projects (eg CVs of staff involved). Copy of AusAID's Guiding Principles on file.
F2 Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.	Documented evidence of application of relevant policies and procedures throughout the project cycle where applicable.	Operational procedures outlined in ANGOs operations manual. Discussions with Australian staff. Evidence from documented appraisal processes, progress reports, field monitoring reports and general communications to demonstrate how AusAID's Family Planning Guiding Principles are applied in project design and implementation.
F3 Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirements.	Documented evidence that relevant issues have been addressed in the planning and implementation of family planning related activities. Interim reporting if needed (for problems experienced etc).	Documentation showing that relevant issues have been discussed with AusAID.

Agency Profile Full Accreditation

Agency Acronym

Agency Name in Full

prepared for the AusAID/NGO
Committee for Development Cooperation

AUSTRALIAN AGENCY FOR INTERNATIONAL DEVELOPMENT

Canberra

Month Year

Agency Profile Full Accreditation

AGENCY PROFILE GUIDELINES

How Profile is organised:

1. Overview of Agency
2. Background Data
3. Section A: Agency Identity and Structure
4. Section B: Development Philosophies and Management Practices
5. Section C: Approaches to Partnership and Development Collaboration
6. Section D: Linkages with the Australian Community
7. Section E: Financial Systems and Risk Management

This Agency Profile is designed to contain crucial information about any Agency applying for Accreditation. Accreditation through this system will enable agencies to be eligible for Australian government funding.

The Profile is organised into seven sections. Sections 3 to 7 correspond to the criteria for Accreditation. Each section progresses through the relevant criterion, explaining what is sought under each criterion and then asking for information relating to the criterion. The questions are a guide to the type of information on which an Agency's suitability for accreditation will be judged. Please write the answers succinctly in narrative form.

Guidelines for Completing the Agency Profile

Read through each section carefully before answering the questions. Supporting documents are requested through the body of the Profile: these are to be attached as Annexes to the Profile. Other supporting documents, not specifically requested, may be offered as further support of the application and these may be attached as addenda to the Profile. The Agency Profile format is available via email from Community Programs Section, AusAID or from the AusAID website.

Answer questions and provide information that best presents your Agency's position. There may be some overlap between questions/sections: in such cases please cross-reference your answers. It is important that as much relevant information as possible is provided in the Profile, as this will enable the Accreditation Reviewers to produce a more comprehensive Desk Assessment. Any discrepancies or anomalies found during the Desk Assessment can be addressed by the Agency prior to the ORA. For additional background about answering the questions refer to the Accreditation Criteria Table. It should be noted that in many cases examples of indicators and possible ways of verifying those indicators given in the Criteria Table and throughout the Profile are suggestions only. It is up to each Agency to best decide how it can fulfil the criteria given its own situation. Approached in the right way, the preparation of this Agency Profile can provide an Agency with a powerful tool for analysis and enhancement of its organisational development.

1. OVERVIEW OF THE AGENCY

1.1 Provide a brief overview of your Agency. (1 - 2 A4 pages) The Overview should include:

- current accreditation status of the Agency and the level of accreditation being sought
- brief description of the Agency detailing its creation or evolution, the type of Agency it is, and any unique or unusual aspects it may have
- size and complexity of the Agency, staffing and volunteer structure and the total amount of funds sourced from AusAID in the last three years.

2. BACKGROUND DATA

2.1 General Details:

2.1.1 Official name of Agency

2.1.2 Preferred name or acronym

2.1.3 Date when Agency established

2.1.4 Street address of head office

2.1.5 Postal address of head office (if different from above)

2.1.6 Telephone

2.1.7 Fax

2.1.8 Email

2.1.9 Details of other offices

2.2 Key Personnel:

2.2.1 Details of Agency's Chief Executive Officer. (include official title, name of incumbent and start date).

2.2.2 Details of main contact person between Agency and Accreditation Review team. (include official title, name, telephone, fax and email details).

2.2.3 Name and title of other contacts for liaison with the CDC and AusAID. (include title, name, telephone, fax and email).

3. SECTION A: AGENCY STRUCTURE CRITERIA

3.1 Criterion A1: Agency is voluntary, not-for-profit and non-government.

This criterion seeks to establish that the Agency's Governing Body and membership do not profit from the Agency's assets, that members are not remunerated for their services on the Governing Body, and that the Agency's Governing Body is independent of government. These operating principles are ideally documented in the Agency's governing documents.

3.1.1 Provide copy of governing documents showing incorporation status and clauses establishing voluntary and not-for-profit credentials of membership, and election/appointment process of Governing Body eg: Memorandum and Articles of Association or Constitution or Trust Deed or other appropriate documents. (Annex 1)

3.1.2 Provide minutes of your Agency's last two Annual General Meetings. (Annex 2)

Possible Verifiers:

- *Governing Instrument ie. Constitution, Memorandum and Articles of Association, or Trust Deed : clauses dealing with voluntary, not-for-profit status, election of governing body, responsibilities of governing body, conflict of interest.*

- Minutes of AGM where governing body office holders were elected / appointed.
- Minutes of Board meeting where conflict of interest issue was managed.

3.2 Criterion A2: Agency is a legal entity with identified office holders with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters.

This criterion seeks to understand the legal structure of the Agency and the functions and accountability of its Governing Body. The process by which the Governing Body is elected/appointed should be transparent, and the Agency should be governed in an accountable fashion. These operating imperatives are ideally documented in the Agency's governing instrument. Where an Agency is part of an international network, this criterion seeks to establish the level of the Australian Agency's independence, and accountability to its Australian membership.

Legal Status:

3.2.1 What date was your Agency incorporated as a legal entity?

3.2.2 Provide copy of documents showing incorporation status eg. certificate of incorporation. (Annex 3)

Agency Governance:

3.2.3 What does your Agency call its Governing Body? eg. Board of Directors, Executive Committee, National Council.

3.2.4 List Governing Body Office Bearers' names, board positions and occupations. (Annex 4)

3.2.5 How does your Agency define membership? List formal members by state.

3.2.6 How are members of this body elected/appointed?

3.2.7 Briefly describe the responsibilities (including decision-making roles) of your Agency's Governing Body.

3.2.8 Provide minutes for two recent meetings of your Governing Body. (Annex 5)

3.2.9 Do members have access to decisions of your Governing Body or office holders? If yes, describe the procedure.

3.2.10 How can members have a role in determining the policies and programs of your Agency?

3.2.11 How does your Agency respond to requests from supporters or the public for information regarding decisions taken by the Agency's Governing Body?

3.2.12 What are the links between the Governing Body and the staff and the Governing Body and the Agency's management.?

3.2.13 Does your Agency have a policy to deal with Conflict of Interest and explain how you implement it?

Advisory Committees:

3.2.14 Please list any advisory committees.

3.2.15 How are these committees formed and who sits on them?

3.2.16 What are their responsibilities and to whom do they report?

Agency Affiliations and International Funding Arrangements in relation to governance:

3.2.17 Does the Agency operate as part of an international network? If yes, what are the implications of this membership/affiliation on the way your Agency is governed? e.g. are there shared activities relating to: policy development and advocacy work; program

implementation and management; fundraising and marketing; or other activities to which your Agency contributes and by which it may be bound?

3.2.18 If your Agency shares in the costs of maintaining these activities, list amounts and purposes for the last three years.

3.2.19 If your Agency provides funds for administrative support for an international parent body or affiliate, list amounts and purposes for the last three years.

3.2.20 Provide copies of any formal agreement(s) related to these affiliations. (Annex 6)

Note: Implications of these arrangements for 'Program Management' are covered under B3, and for 'Partnerships' under C1.

Possible Verifiers:

- Certificate of Incorporation, CAN, ABN, or IA number.
- Governing Instrument i.e. Constitution, Memorandum and Articles of Association, Trust Deed, or Appropriate Act of Parliament: clauses dealing with voluntary, not-for-profit status, election and responsibilities of Governing Body, conflict of interest.
- Evidence that appropriate procedures have been followed if conflict of interest issues have arisen (eg. Board minutes).
- List of Governing Body members' names and occupations.
- Evidence of access to copies of minutes of AGM, Board meetings, audited financial statements etc by members.

3.3 Criterion A3: Agency has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations.

This criterion seeks to establish that the Agency is committed to and is operating within current, good practice, sector guidelines.

ACFID Code of Conduct:

3.3.1 When was the ACFID Code of Conduct formally adopted by your Governing Body? Give specific date.

3.3.2 Provide minutes of Governing Body meeting ratifying decision to adopt the Code of Conduct. (Annex 7)

Note: AusAID contacts ACFID to check adherence to the ACFID Code of Conduct prior to the ORA.

Note: Agencies newly applying for membership of the ACFID Code of Conduct should allow adequate time for approval process to take place.

Possible Verifiers:

- Minutes of Governing Body or evidence of ratification by the Board.
- ACFID advice that Agency is registered and compliant.

4. SECTION B: DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES

4.1 Criterion B1: Agency has a demonstrated record of undertaking aid projects/programs consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development.

This criterion seeks to establish that the Agency has implemented projects or programs over at least the last two years which have achieved demonstrable development outcomes. The Agency must demonstrate that it understands the objectives of the Australian Aid Program, in particular poverty alleviation and sustainable development, and demonstrate similar objectives in their projects/program. The Agency should demonstrate their consideration of geographic and sectoral focus in planning.

For Global Programs:

For programs that are implemented through a shared management arrangement with other international partners, alliances or affiliates ('global programs'), as opposed to a direct relationship between the agency and an implementing partner, the agency has approved the strategic framework and assessed the proposed use of funds within this framework as being consistent with its own strategic plan

Agency Experience and Track Record:

4.1.1 Outline the development objectives of your Agency.

4.1.2 If your Agency did not begin with an overseas aid focus, explain how overseas aid became part of the Agency's mandate.

4.1.3 List Development Projects/Programs supported over your Agency's last two completed financial years. Large agencies should provide a representative selection and, in addition, indicate the total number of programs/projects in last two years. Please specify your financial year, eg: April 1st - March 31st; July 1st - June 30th; January 1st - December 31st). Please use table format under the following headings, and preferably correlate with your Agency's audited annual financial statements.

Year	Country	Project/ Program	Expenditure	Donors	AusAID Window (If applicable)	Sectors

4.1.4 Provide a brief description, including objectives, partner, beneficiaries and expected outcomes, of three current projects/programs which you believe reflect your Agency's overall development approach.

Sources and expenditure for development assistance and/or development education.

4.1.5 List amounts and percentages of total income and expenditure on development assistance and/or development education for your last three accounting periods.

Source of Funding	Year		Year		Year	
	\$	%	\$	%	\$	%
AusAID						
ANCP						
Country Programs/Cooperation Agreements						
Small Grants Schemes						
Other						
Total Funds Distributed						

4.1.6 Give details of the outcomes of your Agency's funding applications to AusAID for the last three financial years.

Applications for period ending	Funded (yes/no)
ANCP	
Country Programs/Cooperation Agreements	
HES	
Small Grant Schemes	
Other (specify)	

Agency's main fields of operation:

4.1.7 What is the historical background to and current rationale for your Agency's sectoral focus?

4.1.8 Have there been changes in sectoral focus over time? If so, what factors have led to these changes?

4.1.9 What is the historical background to and current rationale for your Agency's geographic focus?

4.1.10 Have there been changes in geographic focus over time? If so, what factors have led to these changes?

Project/Program Sustainability:

4.1.11 What is your Agency's strategy for maximising sustainability in its projects/programs?

4.1.12 What guidelines or procedures does your Agency have for planning and design, with special regard to sustainability and the phase-out stage of projects/programs?

4.1.13 If possible, give examples of your Agency's work where management responsibility was eventually assumed by communities receiving assistance?

4.1.14 If your Agency has policies covering issues such as fee-for-service, or cost recovery from communities in its project designs, please summarise.

Global Programs:

4.1.15 How are global programs or projects governed within the international partners, alliances or affiliates and what is the Agency's role in strategic development of these programs or projects?

4.1.16 What documented arrangements are in place with international partners, alliances or affiliates relating to global programs? Include examples of agreements as per 3.2.20 above (Annex 6).

Note: Implications of these arrangements for 'Program Management' are covered under B3, and for 'Partnerships' under C1.

Possible Verifiers:

- Documented record of development activities undertaken by the Agency.
- Project/Program proposals/designs.
- Inspection of project files.
- Cross cutting and development related policies or evidence of practice.
- Strategic Plan or similar document which establishes a sectoral or geographical focus for Agency's projects/programs.
- Activities undertaken are in line with objectives outlined in Agency's Strategic Plan.
- The Australian Agency has documented its participation in the development of the strategic framework for Global Programs

4.2 Criterion B2: Agency has development philosophies not inconsistent with the objectives of the Australian Aid Program, and it is able to differentiate between objectives of:

- a) Development and Welfare
- b) Development and Evangelism
- c) Development and Partisan Politics

This criterion seeks to understand the Agency's development philosophies and practices. It seeks to establish that the Agency understands AusAID's development principles and gives due consideration to cross-cutting issues such as gender, environment and human rights. It seeks to confirm that designated development funds are used specifically for development outcomes and not for evangelical, welfare or partisan political purposes.

Agency's Development Philosophy:

4.2.1 Give a brief statement of your Agency's development philosophy, and the implications this has for its field implementation methodologies and approaches. *Note: this is not a repeat of B1, this point asks for development philosophy, not history.*

4.2.2 How is this philosophy derived (eg. religious, ideological, cultural commitment)?

4.2.3 Attach copy of mission statement and indicate the date of its adoption by your Agency's Governing Body. (Annex 8)

4.2.4 Who defined this mission?

4.2.5 What was the process that led to its articulation?

4.2.6 Identify and explain any major changes that have occurred in your Agency's development philosophy since the Agency's inception.

4.2.7 If your Agency undertakes evangelistic, partisan political or welfare activities, how does it differentiate these from development activities, especially for government funding purposes?

4.2.8 How does your Agency ensure its partners (including International Affiliates) differentiate between these same activities?

4.2.9 Provide copies of policies, ratified by your Agency's Governing Body, that relate to development, welfare, evangelism and politics. (Annex 9)

4.2.10 Provide copies of policies on crosscutting issues at the program level, ratified by your Agency's Governing Body. Issues could include gender, reproductive health/family planning, HIV/AIDS, environment, community participation, human rights. (Annex 10)

Global Programs:

4.2.11 How does your international partner, alliance or affiliate ensure compliance with Australian agency requirements on issues such as welfare, evangelism, partisan politics and counter terrorism?

Possible Verifiers:

- Documented policies ratified/approved by the Board or Governing body.
- Relevant Board minutes approving relevant policies.
- Examples of communications to the Australian Agency's donors that clearly explain the organisation's various areas of activity, evangelistic/ welfare/ political and developmental.
- Donation forms that enable donors to direct a donation to either a tax deductible relief or development activity or to other programs such as evangelistic/welfare/ partisan political activities.
- Examples of communications to implementing partners that makes clear the purpose of funds transferred from Australia.

- Acknowledgement or report from the implementing partner indicating that this is understood and accepted.
- Application of crosscutting policies and practices evidenced in project documentation/publications.
- Documented arrangements with international partners, alliances or affiliates, e.g. MOU, contract or formal partnership agreement.

4.3 Criterion B3: The Australian Agency has the capacity to deliver its project/program objectives in a way that meets its contractual obligations to AusAID.

NB: Key elements of this capacity are management systems that address all aspects of the project cycle, risk management and appropriate decision-making processes.

This criterion seeks to understand the role played by the Australian Agency throughout the project cycle, and to establish that it exercises appropriate influence and control to add value to the development process and manage risk. The Australian Agency must be able to demonstrate that it undertakes project appraisal for all Commonwealth supported activities and complies with AusAID guidelines on terrorism and child protection. The Australian Agency must have ongoing input to and influence on the project/program, and exercise decision-making power for project/program management where appropriate.

For Global Programs:

The Australian Agency can demonstrate its involvement in the program management cycle as part of the agreed framework for global programs.

The Australian Agency, while not needing to be an active participant at all points of the cycle, can demonstrate the capacity to intervene where its interests dictate, and can provide examples of where it has participated in the management of global programs.

Information Management Systems:

4.3.1 Describe the system used by your Agency for the collection, analysis and storage of project /program information. If this system is spelled out in a procedural guideline, Agency policy etc. please attach a copy. (Annex 11)

4.3.2 How does your Agency use the information generated by its information management system?

4.3.3 Describe briefly how the Agency reports to its various stakeholders on information obtained through the information management system?

Project/Program Design:

4.3.4 How are projects and programs identified? eg. by overseas parent NGO; by local partner; through requests from prospective beneficiaries; through project identification mission.

4.3.5 Who is usually responsible for project design?

4.3.6 Where Australian Agency staff members are not responsible for design, what input or involvement do they have in the process?

4.3.7 Where your Agency is responsible for project design, outline the mechanism and approach used.

4.3.8 Provide the standard format used for project/program design if applicable. (Annex 12)

4.3.9 Provide an example of a recent project design. (Annex 13)

Project/Program Appraisal:

4.3.10 How, and by whom, is the appraisal of a project proposal normally carried out?

4.3.11 Please include both the circumstances where the design has been undertaken elsewhere by another party/partner/implementing Agency, and where the design has been undertaken by your Agency itself.

4.3.12 What expertise does your Agency have to appraise project proposals? This may include expertise to analyse proposals from the perspective of economics, social impact, gender, environmental impact, human rights, and community participation.

4.3.13 Provide information on key personnel involved in this appraisal process, eg. CV, bio-data. (Annex 14)

4.3.14 What outside sources of expertise does your Agency draw on for this analysis?

4.3.15 Against what criteria or standards are project designs appraised? If there is a standard project appraisal report form or system for documenting appraisals, provide copy. (Annex 15)

4.3.16 Provide a copy of any appraisal documentation relevant to the example given in Annex 13/question 4.3.9. (Annex 16)

Project/Program Implementation:

4.3.17 Explain to what extent the management of project and program implementation is a function of your Agency's headquarters; your Agency's field office; an international Agency or affiliate; recipient country NGO; your Agency with a local partner NGO; or some other mechanism.

4.3.18 If your Agency collaborates with other Australian NGOs when implementing projects, give examples and describe the circumstances.

4.3.19 If your Agency calls on private consultants to assist in project implementation, give examples and describe the circumstances.

Risk Management: *Note: Financial risk management is covered in section E.*

4.3.20 Outline policies and procedures to minimise risk to staff health and security while overseas.

4.3.21 How does your Agency deal with political and economic instability in countries of operation?

4.3.22 Briefly describe systems your Agency uses to assess and manage risk of potential negative impacts of project activities on intended beneficiaries.

4.3.23 Briefly describe systems your Agency uses to assess and manage risk related to partner organisations.

4.3.24 Briefly describe systems your Agency uses to assess and manage risk related to terrorism.

4.3.25 Briefly describe systems your Agency uses to assess and manage risk related to child protection.

4.3.26 Provide copies of your Agency's policies, ratified by the Governing Body, which relate to any aspects of risk management. (Annex 17)

Global Affiliations in relation to project management:

4.3.27 In the instance of your Agency being a member or affiliate of an international network, what are the implications of this membership/affiliation for the way in which your Agency manages its work in the field?

4.3.28 What is your Agency's involvement in the program management cycle as part of the agreed framework for global programs? Please include examples of the Agency's approval process.

4.3.29 Provide examples of where the Agency has participated in the management of global programs and if relevant, where the Agency has had to intervene in the management of a project or program.

4.3.30 Provide copies of any formal agreement(s) related to these affiliations and their implications for project/program management. (refer to Annex 6).

Possible Verifiers:

- *Agency policies on risk management.*
- *Risk management strategy/plan including evidence that terrorism and child protection issues have been incorporated.*
- *Evidence that the two national security websites (DFAT and Attorney General's) are checked regularly.*
- *Minutes of meetings where decisions on project management are made.*
- *Evidence of regular information flow between Australian Agency and in-country partners.*
- *Examples of Agency intervening if need has arisen.*
- *Evidence of qualitative judgement on monitoring reports.*
- *Written arrangement with international partner/managing contractor outlining their contractual obligations to the Australian Agency (mirroring Australian Agency's contract with AusAID).*
- *Documented partnership agreements.*
- *Project files.*
- *Documentation showing that relevant issues have been discussed with AusAID.*
- *Evidence of information flow from international partners, alliances or affiliates about the global program activities*
- *Evidence of global management, which could include program strategic frameworks, policies, monitoring and evaluation plans, reporting requirements, processes and procedures*

4.4 Criterion B4: The Agency can monitor, report and rate effectiveness of activities.

This criterion seeks to understand the monitoring, reporting and evaluation systems used by the Australian Agency and its partners, and their capacity to assess the outcomes and impact of development activities.

For Global Programs:

The Australian Agency can demonstrate that it has contact, discussion and influence with the implementing bodies that have been charged collectively with the monitoring of global programs

Project/Program Monitoring:

4.4.1 How are projects/programs monitored and who is responsible for undertaking that monitoring?

4.4.2 How often do you receive interim reports from the field and what is done with them?

4.4.3 Where monitoring is undertaken by partners in country, how does your Agency ensure the quality of monitoring?

4.4.4 What procedures does your Agency have for making changes to a project after monitoring indicates that problems may be developing or that a change in direction may be needed?

4.4.5 How are these arrangements spelled out in agreements between your Agency and the implementing Agency?

4.4.6 If you have a standard monitoring report format, please attach. (Annex 18)

4.4.7 Provide a copy of any monitoring documentation relevant to the example given in Annex 13/question 4.3.9. (Annex 19)

Project/Program Evaluation:

4.4.8 How does your Agency conduct project/program evaluations?

4.4.9 If there is a forward program of evaluations, please summarise in no more than one page.

4.4.10 How are decisions made about which activities to evaluate?

4.4.11 How are evaluations conducted? eg self-evaluations by implementing partners; field visits by Australian staff; use of consultants.

4.4.12 What use is made of the findings of evaluations?

4.4.13 If your Agency does not have an evaluation program, how does it satisfy itself that the activities it supports achieve the original aims of the projects/programs?

4.4.14 If your Agency has a standard evaluation format, please attach. (Annex 20)

4.4.15 Provide a sample of a recent project/program evaluation. (Annex 21)

Global Programs:

4.4.16 How are global programs monitored and evaluated and who is responsible?

4.4.17 How often do you receive interim reports from the field and what is done with them?

4.4.18 Where monitoring and evaluation is undertaken by international affiliates, how does your Agency ensure the quality of monitoring?

4.4.19 What procedures does your Agency have for making changes to a project after monitoring indicates that problems may be developing or that a change in direction may be needed?

4.4.20 How are these arrangements spelled out in agreements between your Agency and the implementing Agency?

4.4.21 Provide copies of any formal agreement(s) related to these affiliations and their implications for monitoring and evaluation. (refer to Annex 6).

Possible Verifiers:

- *Quality of reporting to AusAID (as indicated by AusAID).*
- *Evidence in project documentation of application of system (eg. trip reports, monitoring reports).*
- *Evidence of assessment of activities, including global programs.*
- *Other forms of monitoring.*
- *Evidence of sufficient dialogue, communication or involvement in project to effectively analyse and monitor.*
- *Evidence of communication with partner about shared system for quality rating.*
- *Policy or guidelines demonstrating distinction between monitoring and evaluation.*
- *Evidence that analysis of projects/programs includes evaluation of outcomes and impacts, as well as activities and outputs.*
- *Global Programs: MOU's, partnership agreements*
- *Global management documentation – could include strategic program frameworks, policies, monitoring and evaluation criteria, reporting standards, processes and procedures.*

4.5 Criterion B5. Agency has systems for continuous improvement of its management and operations.

This criterion seeks to understand the Agency's commitment to continuous improvement and its capacity to reflect on its management and operations and incorporate lessons learned.

Forward Planning:

4.5.1 Please attach a copy of your Agency's Strategic Plan or other documents which outline the organisation's future directions, formally ratified by the Governing Body. (Annex 22)

4.5.2 Outline the process by which your Agency reviews its strategic plan or any other documents relating to future directions. Who is involved in this review process?

4.5.3 Does your Agency have a process by which partners are involved in forward planning?

4.5.4 If your Agency has any plans to change its sectoral or geographic approach in the next two years, provide details.

4.5.5 If not, list your Agency's principal goals for the next three-year period and explain how these were identified.

4.5.6 Outline how the findings of project/program evaluations are fed into future planning.

Human Resource Management:

4.5.7 If your Agency has formally adopted policies on staff recruitment, gender balance and identification of staff with the ideals of the Agency, please provide. (Annex 23) If not describe current operating practices.

4.5.8 If your Agency has formally adopted policies and systems for continuous improvement in management, including a program of staff development and training, please provide. (Annex 24) If not, please describe current practices.

4.5.9 What kind of outside technical expertise does your Agency use, and in what circumstances?

Issues of Agency Sustainability:

4.5.10 What plans does your Agency have for its own development?

4.5.11 Describe any longer-term program for diversifying the Agency's business/funding/resource development base?

Improvements since the last Accreditation Review:

4.5.12 Describe your Agency's response to recommendations made at the last Accreditation Review.

4.5.13 Describe any significant self-improvement changes your Agency has instituted since the last review and highlight how they have had an impact on your Agency's performance.

Possible Verifiers:

- *Strategic plan, action plan, minutes of review meetings.*
- *Evidence of discussion/review at all levels of the Agency.*
- *Evaluation reports and evidence that findings/recommendations have been incorporated.*
- *Staff/Employment policies.*
- *Outline of staff training activities.*
- *Minutes of Governing Body relating to decisions on staff and organisational issues.*
- *Interviews with representative staff.*

5. SECTION C: APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION CRITERIA

5.1 Criterion C1: Agency has documented partnerships with organisations in countries where it works.

This criterion focuses on the documented, contractual framework in place to manage partnerships and projects/programs. It seeks to establish that the Agency has formal arrangements with partners which cover all aspects of the Head Agreement with AusAID and that these arrangements are understood and accepted by partners.

Current Partners:

5.1.1 List current partners using the following table.

Country	Partner name	Type of Organisation	Years of Involvement

Documented arrangements:

5.1.2 Does your Agency have documented arrangements with its partners? If your Agency has a standard format please attach. (Annex 25)

5.1.3 Provide copies of current agreements/MOUs/contracts with your in-country partners. (Annex 26)

5.1.4 Describe the process of consultation and/or negotiation through which partnership agreements are developed by your Agency.

5.1.5 If the Agency does not have documented arrangements with partners, please explain how your Agency satisfies itself that roles and responsibilities will be met and your Agency's contractual obligations to AusAID maintained.

5.1.6 Do any of AusAID's NGO funding arrangements have requirements that create difficulties for your Agency's partner relations?

Agency Affiliations in relation to partnerships:

5.1.7 If your Agency is a member or affiliate of an international network, what are the implications of this membership/affiliation for the way in which your Agency develops partnerships at field level?

5.1.8 If your Agency is part of an international network, how does your Agency document arrangements between itself and any implementing partners regarding the effective management and financial accounting of projects?

5.1.9 Please provide copies of any formal agreement(s) related to these affiliations and their implications for partnerships. (refer to Annex 6)

Possible Verifiers:

- Documented arrangements eg Memorandum of Understanding, contract or formal partnership agreement.
- Evidence on file (eg note for file, letters, emails) acknowledging and addressing the strengths and weaknesses of each partner and setting out key roles and responsibilities.
- Evidence that these roles and responsibilities have been fulfilled.
- Organisation record of discussions with delivery organisations, exchanges of letters, or formal contracts.

- Documented arrangements eg. MOUs, contract or formal partnership agreement with partners, international partners, alliances or affiliates, which include proposed budget and use of funds
- Minutes of international partners, alliances or affiliates.

5.2 Criterion C2: Agency has assessed its own capacity and the capacity of its partner organisation to develop and deliver projects/programs appropriate for those capacities.

This criterion seeks to establish that the Agency takes a systematic approach to assessing its own capacity and the capacity of its partners and that projects/programs are designed and implemented relative to this capacity, or that capacity is strengthened if needed.

Partner Capacity:

5.2.1 Describe the process used within your Agency to assess the capacity of potential partners in the field.

5.2.2 If your Agency has guidelines or a checklist for the assessment of partner capacity, please provide a copy. (Annex 27)

5.2.3 How is the issue of partner capacity taken into account in project designs?

Agency Capacity:

5.2.4 Describe the process used within your Agency to assess its own capacity on an ongoing basis.

5.2.5 Provide examples, if available, of times when capacity has been increased or project load decreased relative to your Agency's capacity.

Note: Assessment of financial capacity is covered in section E.

Possible Verifiers:

- Guidelines, lists of characteristics that Agency seeks in a partner.
- Policies relating to partnership development.
- Evidence of an assessment process eg completed checklist, minutes of meetings.
- Evidence of internal assessment such as a review of Agency's own capacity.
- Evidence of occasion where decision was made not to pursue a particular activity with a particular partner as partner judged to have insufficient capacity eg Board minutes, correspondence to and from field, appraisal reports.
- Evidence of occasion where decision was made to fund a particular partner and to implement additional capacity building components to address those areas of weakness in partner organisation.
- Development of an agreement which reflects results of assessments and allocates roles and responsibilities of Agency and their partner according to capabilities.

5.3 Criterion C3: Agency's partnerships with organisations in countries where it works, and its partners' relationships with beneficiaries, are effective and consistent with good development practice.

This criterion seeks to understand the nature and tone of partnerships and relationships between the Australian Agency and partners and between partners and beneficiaries. It

seeks evidence, that partnerships reflect good development practice ie. equality, mutual respect and learning, self reliance, transparency, etc.

Approaches to Partnership:

5.3.1 Briefly describe your Agency's general approach to establishing and developing links with developing country partners.

5.3.2 How does the approach vary by partner/country/type of project?

5.3.3 What qualities/attributes does your Agency typically look for in partner agencies?

5.3.4 How does your Agency typically interact and coordinate activities with its partners? Is it mainly through project cooperation; collaboration on international advocacy efforts; sharing of information; etc?

5.3.5 At what levels in your Agency does consultation take place with partners in recipient countries?

5.3.6 Does your Agency support the program of a partner, or is support restricted to specific projects? Give the rationale for your approach.

5.3.7 To what extent if at all, does your Agency become involved with government agencies (national, provincial or local) in the countries where you have partners?

Roles in Partnership:

5.3.8 What do you consider to be the main contribution your Agency makes to its partnerships eg funding, technical assistance, information exchange?

5.3.9 How does this contribution differ with different partners?

5.3.10 If your Agency's relationship with any partner has changed as a result of lessons learned from project or program activity, how has it changed and why?

5.3.11 To what extent does your Agency support projects that involve only your Agency and your partner as against projects that are assisted by a number of international local donors?

5.3.12 Describe your Agency's policy about the frequency and nature of visits by your representatives to partners/projects, and of reciprocal visits, if any, by partners to Australia.

5.3.13 To what extent are there communication links between your Agency's Australian constituency and its overseas partners and/or beneficiaries?

5.3.14 If any of your Agency's partners have formal or informal relationships with their governments (national, provincial or local), what is the nature of these relationships and what are the implications, if any, for your Agency's work with these partners?

Other External Relations:

5.3.15 How does your Agency collaborate with other NGOs?

5.3.16 To what bodies does your Agency belong and what is its role in inter-Agency dialogue and cooperation?

5.3.17 Please outline any significant relationships your Agency has with other external organisations?

Possible Verifiers:

- *Documentation relating to the partnership between the Australian Agency and its in-country partner.*
- *Documented examples of communications between Agency and partners demonstrating the nature and quality of the relationship, including expression of differing views.*
- *Evidence of relationship between partners and beneficiaries or partners' policies on this eg extracts from Agency's trip reports and partners' monitoring reports, photos, emails, letters.*

- Evidence of exchange of views and information regarding other activities, which reflect the partnership eg Exchange visits of key personnel, joint advocacy campaigns, volunteer placement.
- International network policies describing the role/nature of involvement of national offices, where Agency is part of an international network, alliance or affiliate.

6. SECTION D: LINKAGES WITH THE AUSTRALIAN COMMUNITY

6.1 Criterion D1: Agency is clearly identifiable as Australian and can demonstrate a responsive interaction with an Australian community base.

This criterion seeks to understand:

- *How your Agency approaches the issue of Australian identity in projects/programs and promotions*
- *How your Agency recognises/acknowledges the source of contributions to the projects it supports*
- *The nature and level of your Agency's community support*
- *How your Agency involves, and responds to, its Australian constituency.*

Australian Identity:

6.1.1 Describe the procedures/practices your Agency has in place to achieve Australian identity in its activities.

6.1.2 Fill in the table below to indicate how the Australian constituency, implementing partners, in-country staff and project beneficiaries understand Australian assistance.

Statement	Australian Constituency	Implementing Partners	In-country Staff	Project Beneficiaries
The project is clearly identifiable as Australian				
There is some acknowledgment of Australian assistance				
The fact that a project has Australian support is not an important factor				
The Australian contribution is not identified on principle				

6.1.3 If this approach to Australian identity differs when AusAID funds are involved, please indicate how.

Responsive Interaction to a Community Base:

6.1.4 Detail your Agency's membership/volunteers/supporters/community base, by number and category.

6.1.5 Estimate the number of current financial supporters (excluding formal members).

6.1.6 How many names are on your Agency's direct mailing list?

6.1.7 How many subscribers and receivers are there of your Agency's publications.(for each publication, list number of regular subscribers and total print run).

6.1.8 Does your Agency have a broader Australian constituency than defined above? eg church affiliations; number of schools, clubs etc. addressed in one year; number of requests for information; visitors to/users of resource centres; number of trading outlets.

6.1.9 Give details of community support other than funding eg unpaid work, goods and services in kind.

6.1.10 How, if at all, do donors/supporters have any input to the process of setting program strategies?

6.1.11 How is your Agency accountable to its Australian support base?

Global Programs:

6.1.12 Does the Agency have agreed guidelines with its international partners, alliances or affiliates as to appropriate reporting in organisational promotional materials ie. attribution?

Possible Verifiers:

- 'Australia' in title of organisation.
- Photos of promotion of Australian identity in the field.
- Copies of communication with in-country staff and partners acknowledging Australian identity.
- Evidence that Agency encourages new membership/supporters.
- Evidence of Agency response to requests for information from members/supporters.
- Evidence of publications or electronic information that clearly communicates the respective roles and achievements of the Australia Agency and international partners, alliances or affiliates

6.2 Criterion D2: Agency and its partners provide accurate information about the organisation, its objectives and its activities in its public presentations, in a manner that respects the dignity of recipient communities.

This criterion seeks to ensure that promotional material respects the dignity, values, history, religion and culture of people, consistent with principles of basic human rights and ACFID Code of Conduct. It also seeks to find consistency between project activity and promotional material, and a clear differentiation between the Australian NGO and its overseas partner.

6.2.1 Attach examples of promotional and other materials which describe your Agency, its objectives and activities. (Annex 28).

6.2.2 Describe and/or attach policy/guidelines/practice concerning the use of life stories/photos of beneficiaries in promotional materials. (Annex 29).

Possible Verifiers:

- Annual Report.
- Promotional and educational materials of partners and Australian Agency.
- Comparison of project reports and promotional material.
- Monitoring reports which comment on partners' development philosophy and practices.
- Policy on informed consent to use stories and images of beneficiaries.

6.3 Criterion D3: Agency deploys and maintains Australian community support for its development projects/programs, through financial support, in-kind and/or voluntary contributions.

This criterion seeks to understand how the Agency utilises resources for development projects/programs and how it maintains its community support (funds, in-kind and volunteer) for development activities.

Staffing Details:

6.3.1 What proportion of your Agency's staff time/funds/other resources is spent on development assistance and/or development education?

Note: If your Agency is specifically a development assistance Agency, your answer will be 100 percent. If your Agency undertakes activities apart from development assistance/education, estimate the relevant percentage.

6.3.2 Give a brief description of the other activities in which your Agency is involved.

6.3.3 Using the following table, give details of the numbers of staff/volunteers involved in development assistance/education. For part-time and voluntary staff, describe in terms of days per week eg. 3@ 4 days per week; 2@ 2 days per week. Provide a breakdown of staff and volunteers by gender.

Staffing	Number of Staff/ Volunteers	Breakdown of Staff/ Volunteers by time per week	Staff/Volunteers Gender
Australian Head Office Full Time Part Time Regular Volunteers (excl. special fund- raising)			
Staffing :Other Australian Offices Full Time Part Time Regular Volunteers (excl. special fund- raising)			
Staffing :Overseas Full Time Part Time Regular Volunteers (excl. special fund- raising)			

6.3.4 What are the principal responsibilities of staff and/or volunteers involved in development assistance?

Fundraising/Promotional Activities:

6.3.5 What are the main fundraising/promotional activities of your Agency?

6.3.6 Describe any special fundraising/promotional programs, including number of people involved as organisers/volunteers; estimates of participant numbers in funding drives; ongoing fundraising activities.

6.3.7 Summarise funds raised from the Australian community for your last three financial years specifically for overseas development activities and cross-reference to E4.

6.3.8 What is your Agency's strategy for maintaining Australian community support for its development programs? Attach appropriate supporting documentation (Annex 30) and evidence of formal approval by the Governing Body of strategy, if any.

6.3.9 Describe any relationships with corporate bodies or other entities in the commercial sector.

6.3.10 Describe your Agency's policy/guidelines for and approaches to dealing with the media.

Possible Verifiers:

- Job descriptions.
- CVs of staff members demonstrating skills/competency.
- Strategic plan or planning process for fundraising/promotions.
- List of successful or planned fundraising initiatives. Evidence of discussion of ideas for fundraising/promotions.
- Evidence of work-in-progress on promotional activities.
- Documented record of volunteer involvement.
- Media policy.
- Specialised staff or use of consultants for fundraising/promotion.
- Promotional/fundraising materials.
- Staff/volunteer logbooks relating to promotions/fundraising.
- Annual Report clearly lists income and expenditure against projects/ programs.

6.4 Criterion D4: Agency has a plan for increasing constituency awareness of, and involvement in, contemporary development and/or relief issues.

This criterion seeks evidence of your plan and your efforts to promote community awareness of development issues, in addition to the Agency's own promotion. It also seeks to understand the nature of the Agency's engagement with its constituency about development issues.

6.4.1 How do you plan for Development Education and Advocacy?

6.4.2 How do you promote the development assistance activities of your Agency in Australia? eg media releases; publications, speaking engagements (give examples of type of audience); fundraising projects; networking with other agencies; etc.

(Annex 31)

6.4.3 If your Agency undertakes activities specifically designed to raise awareness about aid and development issues, which of these receives the most emphasis? Why?

6.4.4 If your Agency uses the services of public relations specialists (in-house, volunteer or consultant), explain their role.

6.4.5 How does your Agency determine the effectiveness of its development education and advocacy activities? eg goodwill; total funds raised; increase in membership; correspondence received; attitudes of the press; attendance at special functions; number involved in campaigns.

6.4.6 Rank the top three indicators in order of importance.

Possible Verifiers:

- Formal documented strategy, reviewed and approved by Governing Body.
- Issues-based promotional materials.
- Newsletters/publications containing articles on development issues, project activities.

- Educational materials (posters, games, brochures) available at Agency fundraising events.
- Evidence of involvement in multi-Agency programs.
- Study tours; campaigns; public seminars; school visits; talks to church groups, use of media eg radio interviews.
- Evidence of advice provided to members/donors through publications/ correspondence/campaign materials on taking further action on issues of concern eg letter writing campaigns.

7. SECTION E: FINANCIAL SYSTEMS & RISK MANAGEMENT

7.1 Criterion E1: Agency has effective management, administration and financial systems for accounting for funding.

This criterion seeks evidence of satisfactory application of policies, systems and processes for accounting for funding.

7.1.1 Detail the policies, systems and procedures your Agency has in place to ensure funds are used for the purposes for which they are intended.

7.1.2 Are these arrangements documented? If so please attach. (Annex 32).

Note: If document is too large please refer to document title for sighting at the ORA.

7.1.3 Attach a copy of your Agency's most recent Annual Report. (Annex 33).

7.1.4 Attach a copy of your Agency's most recent audited financial statements. (Annex 34).

7.1.5 What general problems, if any, have you encountered with regard to accountability or reporting requirements?

7.1.6 What audits have been undertaken of your Agency in the last five years?

7.1.7 What audits have been undertaken of your overseas projects in the last five years?

7.1.8 For each of the above, list type of audit and who undertook it, and briefly describe the relationship between the auditor and the Agency, and explain how the results of audits have been used by the Agency.

Possible Verifiers:

- Table of contents of Operations Manual and specific extracts.
- Evidence of application of policies, systems, and processes for accounting for funding.
- Audited financial statements comply with the various accounting standards, Urgent Issues committee's pronouncements and ACFID requirements.
- Exchange rate variations are monitored and effect calculated, interest earned on grant funds calculated.
- General ledger chart of accounts.
- Project files, audit trails, referencing of supporting documentation, project status reports.

7.2 Criterion E2: The Agency, its overseas partner agencies, and its international affiliates have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations.

This criterion seeks to understand how the Agency regularly assesses, monitors and strengthens the financial systems and capacity of itself, its partners and affiliates. It also wants to see what documented agreements are in place with delivery organisations and International Affiliates for the management and accountability of funds.

7.2.1 Please describe examples of finance-related institutional strengthening activities of your Agency, its partners or affiliates.

7.2.2 Give an example of your Agency checking the administrative and financial capacity of your partner or affiliate.

Possible Verifiers:

- *Partnership agreement or other relevant documentation identifying capacities and roles of each overseas partner Agency in management, administration, financial and technical operations.*
- *Documentation on assessment of the financial management capacity of the partners/implementing bodies for global programs.*
- *Audit reports on partners and projects. Audit issues addressed by Agency, partner and affiliate management letters and Agency responses.*
- *Evidence that audit reports, financial statements, program reports and evaluations are passed to international partners, alliances and affiliates, if applicable.*
- *Evidence of finance-related institutional strengthening activities of delivery organisation.*
- *Policies and protocols of relevant international networks for accounting for funding.*
- *Demonstrated compliance with procedures of international network, if appropriate.*
- *Guidelines for financial assessment of partner's capacity.*
- *Evidence of assessment of partners' systems over at least 12 months.*

7.3 Criterion E3: Agency utilises systems to assess and manage financial risk which are appropriate to the level of expenditure. This includes risk related to expenditure through partner organisations.

This criterion seeks evidence of application of a financial risk management strategy and/or financial risk management practices of Agency and partner.

7.3.1 Detail the policies, systems and procedures to manage financial risks, under the following headings:

- 7.3.1.1** Responsibilities of officers and their delegations
- 7.3.1.2** Purchasing/contracting policies and procedures
- 7.3.1.3** Accounts payment systems
- 7.3.1.4** Certification of accounts and acquittals
- 7.3.1.5** Assets management
- 7.3.1.6** Staff records
- 7.3.1.7** Travel approval
- 7.3.1.8** Filing system
- 7.3.1.9** Calculation and use of interest
- 7.3.1.10** Management of exchange rate gains/losses
- 7.3.1.11** Staff health and Security

7.3.2 Briefly describe systems your Agency uses to assess and manage risk related to expenditure through partner organisations.

7.3.3. What additional systems and procedures does your Agency have to control funds sent overseas? Are there any differences in your procedures when handling AusAID funds?

Possible Verifiers:

- Evidence of application of documented policies, systems and procedures.
- Verification of application of financial risk strategy and practices.
- Evidence of partner reporting requirements, and evidence of receipt of financial statements, reports and evaluations
- Financial monitoring checklists prepared and completed by Agency.
- Existence of computer systems access controls.
- Agency status reports tracking key financial data and reporting schedules.
- Monitoring system to detect any fraudulent use of funds.
- Independently audited financial statements.
- Inspection of a random sample of audit reports from major partners.

7.4 Criterion E4: Agency can raise contributions (a minimum \$60,000 RDE) from the Australian community in support of development activities.

This criterion seeks to verify that the Agency

- *Can raise its own funds from the community for development activities*
- *Differentiates funds for development, religious, welfare and partisan political activities in RDE calculations*
- *Is not dependent on AusAID for staff salaries. One full time equivalent salary of a person (or two half time persons) fully engaged on overseas aid work should be paid for from the Agency's own funds.*

7.4.1 Attach your most recent RDE worksheet submitted to AusAID. (Annex 35)

Note: If your Agency is new or newly applying for accreditation, please complete and submit a copy of the RDE worksheet with your Organisational Profile and application.

Possible Verifiers:

- Working papers for calculation of RDE, and compliance with RDE worksheet requirements.
- Financial records of income and disbursement against specific projects/programs, and reconciliation with general ledger.
- Expenditure is allocated as per ACFID definitions.
- Procedures to differentiate funds for development, religious, welfare and partisan political activities in RDE calculations.
- Documentation to determine value of services and goods in-kind contributions.
- Documentation to record volunteer time.
- RDE worksheets for last three years.

7.5 Criterion E5: Agency complies with Australian legislation pertaining to fundraising and tax deductibility.

This criterion seeks to establish if the Agency is registered for fundraising purposes as a charitable/benevolent institution and has tax deductibility status if claimed publicly.

7.5.1 Attach documents verifying charitable institution, tax deductibility status for all jurisdictions. (Annex 36).

Possible Verifiers:

- Letter from State body registering Agency as charitable institution, or letter or other legal document showing exemption.
- Letter or gazette notice from Taxation Department and/or AusAID list.

8. SECTION F: FAMILY PLANNING AND REPRODUCTIVE HEALTH ACTIVITIES

Note: This criterion is for agencies using Government funds for family planning/reproductive health activities.

8.1 Criterion F1: Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.

This criterion seeks to establish if the Agency has documented policies that demonstrate an understanding of Government policies related to Family Planning/Reproductive Health issues.

8.1.1 Does the agency involve itself in projects and or programs that have elements that are related to family planning or reproductive health, or that supply materials and resources that might be used in family planning and reproductive health? Note: The following three questions are only to be answered if the answer to the first question has been yes.

8.1.2 If these activities are undertaken as part of your Agency's work, provide copies of your Agency's policies, ratified by the Governing Body, which relate to family planning and reproductive health. (Annex 37)

8.2 Criterion F2: Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.

This criterion seeks to establish that there is documented evidence of application of relevant policies and procedures throughout the project cycle where applicable.

For Global Programs:

Agreed guidelines with international partners, alliances or affiliates consistent with Australian Government policy on Family Planning/Reproductive Health Issues

8.2.1 If Family Planning/Reproductive Health activities are undertaken as part of your Agency's work, please provide details of staff, their experience and qualifications, either in its head office or in the field, who have experience and training in this field. (Annex 38)

8.3 Criterion F3: Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirement.

This criterion seeks to establish that there is documented evidence that relevant issues have been addressed in the planning and implementation of family planning related activities.

8.3.1 Have the issues involved, and the Australian government's policies been discussed with AusAID, especially in relation to any planned projects and programs?

Possible Verifiers:

- *Staff with relevant experience in family planning projects (eg CVs of staff involved).*
- *Successful completion of FP interim accreditation process ie short report to AusAID detailing how Family Planning Guiding Principles are applied in project design and implementation.*
- *Documentation showing that relevant issues have been discussed with AusAID.*
- *For Global Programs: Documented guidelines on Family Planning/Reproductive Health Issues*

CHECKLIST OF SUPPORTIVE DOCUMENTATION REQUIRED:

- Annex 1. Copy of governing documents showing incorporation status and clauses establishing voluntary and not-for-profit credentials of membership, and election/appointment process of Governing Body eg: Memorandum and Articles of Association or Constitution or Trust Deed or other appropriate documents
- Annex 2. Minutes of last two Annual General Meetings
- Annex 3. Copy of documents showing incorporation status
- Annex 4. List Governing Body Office Bearers' names, board positions and occupations
- Annex 5. Minutes of two recent meetings of the Governing Body
- Annex 6. Copy of any formal agreement/s related to agency affiliations (international or national) with respect to implications for governance
- Annex 7. Copy of minutes of Governing Body meeting ratifying decision to adopt the Code of Conduct
- Annex 8. Agencies Mission Statement and date of its adoption by Governing Body.
- Annex 9. Copies of policies, ratified by your Agency's Governing Body, that relate to development, welfare, evangelism and politics
- Annex 10. Copies of policies on crosscutting issues at the program level, ratified by your Agency's Governing Body
- Annex 11. Procedural guidelines, policies or other formally adopted approaches to gathering, analysing and storing information from the agency's program of work
- Annex 12. Agency standard formats used for program/project design.
- Annex 13. Example of a recent project design
- Annex 14. Information on key personnel involved in the appraisal process, provide CV, bio data
- Annex 15. A copy of a standard project appraisal report form or system for documenting appraisals
- Annex 16. Copy of any appraisal documentation relevant to the example given in Annex 13/question 4.3.9
- Annex 17. Copies of your Agency's policies, ratified by the Governing Body, which relate to any aspects of risk management
- Annex 18. Copy of standard monitoring report format
- Annex 19. Copy of any monitoring documentation relevant to the example given in Annex 13/question 4.3.9
- Annex 20. Copy of standard evaluation format
- Annex 21. Provide a sample of a recent project/program evaluation
- Annex 22. Copy of your Agency's Strategic Plan or other documents which outline the organisation's future directions, formally ratified by the Governing Body
- Annex 23. A copy of your agencies formally adopted policies on staff recruitment, gender balance and identification of staff with the ideals of the Agency
- Annex 24. A copy of your Agencies formally adopted policies and systems for continuous improvement in management, including a program of staff development and training
- Annex 25. Copy of documented arrangements with partners
- Annex 26. Copies of current agreements/MOUs/contracts with your in-country partners
- Annex 27. Copy of guidelines or a checklist for the assessment of partner capacity
- Annex 28. Examples of promotional and other materials which describe your Agency, its objectives and activities
- Annex 29. Attach policy/guidelines/practice concerning the use of life stories/photos of beneficiaries in promotional materials

- Annex 30. Supporting documentation of strategies for continuing support by the Australian public, and provide evidence of formal approval by the Governing Body of strategy
- Annex 31. Provide examples of promotion of the development assistance activities of your agency in Australia eg media releases, publications, speaking engagements, fundraising projects and networking with other agencies
- Annex 32. Copy of policies, systems and procedures your Agency has in place to ensure funds are used for the purposes for which they are intended, evidence that these arrangements are documented. Note: If document is too large please refer to document title for sighting at the OR
- Annex 33. Agency's most recent Annual Report
- Annex 34. Agency's most recent audited financial statements
- Annex 35. Most recent RDE worksheet submitted to AusAID
- Annex 36. Copy of documents verifying charitable institution, tax deductibility status for all jurisdictions
- Annex 37. Copies of your Agency's policies, ratified by the Governing Body, which relate to family planning and reproductive health
- Annex 38. Provide details of staff, their experience and qualifications, either in its head office or in the field, who have experience and training in family planning and reproductive health

Agency Profile Base Accreditation

Agency Acronym

Agency Name in Full

prepared for the AusAID/NGO
Committee for Development Cooperation

AUSTRALIAN AGENCY FOR INTERNATIONAL DEVELOPMENT

Canberra

Month Year

Agency Profile

AGENCY PROFILE GUIDELINES

How Profile is organised:

1. Overview of Agency
2. Background Data
3. Section A: Agency Identity and Structure
4. Section B: Development Philosophies and Management Practices
5. Section C: Approaches to Partnership and Development Collaboration
6. Section D: Linkages with the Australian Community
7. Section E: Financial Systems and Risk Management

This Agency Profile is designed to contain crucial information about any Agency applying for Accreditation. Accreditation through this system will enable agencies to be eligible for Australian government funding.

The Profile is organised into seven sections. Sections 3 to 7 correspond to the criteria for Accreditation. Each section progresses through the relevant criterion, explaining what is sought under each criterion and then asking for information relating to the criterion. The questions are a guide to the type of information on which an Agency's suitability for accreditation will be judged. Please write the answers succinctly in narrative form.

Guidelines for Completing the Agency Profile

Read through each section carefully before answering the questions. Supporting documents are requested through the body of the Profile: these are to be attached as Annexes to the Profile. Other supporting documents, not specifically requested, may be offered as further support of the application and these may be attached as addenda to the Profile. The Agency Profile format is available via email from Community Partnerships Section, AusAID or from the AusAID website.

Answer questions and provide information that best presents your Agency's position. There may be some overlap between questions/sections: in such cases please cross-reference your answers. It is important that as much relevant information as possible is provided in the Profile, as this will enable the Accreditation Reviewers to produce a more comprehensive Desk Assessment. Any discrepancies or anomalies found during the Desk Assessment can be addressed by the Agency prior to the Organisation Review (OR). For additional background about answering the questions refer to the Accreditation Criteria Table. It should be noted that in many cases examples of indicators and possible ways of verifying those indicators given in the Criteria Table and throughout the Profile are suggestions only. It is up to each Agency to best decide how it can fulfil the criteria given its own situation. Approached in the right way, the preparation of this Agency Profile can provide an Agency with a powerful tool for analysis and enhancement of its organisational development.

1. OVERVIEW OF THE AGENCY

1.1 Provide a brief overview of your Agency. (1 - 2 A4 pages) The Overview should include:

- current accreditation status of the Agency and the level of accreditation being sought
- brief description of the Agency detailing its creation or evolution, the type of Agency it is, and any unique or unusual aspects it may have
- size and complexity of the Agency, staffing and volunteer structure and the total amount of funds sourced from AusAID in the last three years.

2. BACKGROUND DATA

2.1 General Details:

2.1.1 Official name of Agency

2.1.2 Preferred name or acronym

2.1.3 Date when Agency established

2.1.4 Street address of head office

2.1.5 Postal address of head office (if different from above)

2.1.6 Telephone

2.1.7 Fax

2.1.8 Email

2.1.9 Details of other offices

2.2 Key Personnel:

2.2.1 Details of Agency's Chief Executive Officer. (include official title, name of incumbent and start date).

2.2.2 Details of main contact person between Agency and Accreditation Review team. (include official title, name, telephone, fax and email details).

2.2.3 Name and title of other contacts for liaison with the CDC and AusAID. (include title, name, telephone, fax and email).

3. SECTION A: AGENCY STRUCTURE CRITERIA

3.1 Criterion A1: ANGO is voluntary, not-for-profit and non-government.

This criterion seeks to establish that the ANGO's Governing Body and membership do not profit from the ANGO's assets, that members are not remunerated for their services on the Governing Body, and that the ANGO's Governing Body is independent of government. These operating principles are ideally documented in the ANGO's governing documents.

3.1.1 Provide copy of governing documents showing incorporation status and clauses establishing voluntary and not-for-profit credentials of membership, and election/appointment process of Governing Body eg: Memorandum and Articles of Association or Constitution or Trust Deed or other appropriate documents. (Annex 1)

3.1.2 Provide minutes of your Agency's last two Annual General Meetings. (Annex 2)

Possible Verifiers:

- *Governing Instrument ie. Constitution, Memorandum Articles of Association, or Trust Deed : clauses dealing with voluntary, not-for-profit status, election of governing body, responsibilities of governing body, conflict of interest.*
- *Policy on election or appointment of members to the Governing Body.*
- *Minutes of AGM where governing body office holders were elected / appointed.*

3.2 Criterion A2: ANGO is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters.

This criterion seeks to understand the legal structure of the ANGO and the functions and accountability of its Governing Body. The process by which the Governing Body is elected or appointed should be transparent, and the ANGO should be governed in an accountable fashion. These operating imperatives should be documented in the ANGO's governing instrument. Where an ANGO is part of an international network, this criterion seeks to establish the level of the Australian ANGO's independence, and accountability to its Australian membership or constituency.

Legal Status:

3.2.1 What date was your Agency incorporated as a legal entity?

3.2.2 Provide copy of documents showing incorporation status eg. certificate of incorporation. (Annex 3)

Agency Governance:

3.2.3 What does your Agency call its Governing Body? eg. Board of Directors, Executive Committee, National Council.

3.2.4 List Governing Body Office Bearers' names, board positions and occupations. (Annex 4)

3.2.5 How does your Agency define membership? List formal members by state.

3.2.6 How are members of this body elected/appointed?

3.2.7 Briefly describe the responsibilities (including decision-making roles) of your Agency's Governing Body.

3.2.8 Provide minutes for two recent meetings of your Governing Body. (Annex 5)

3.2.9 Do members have access to decisions of your Governing Body or office holders? If yes, describe the procedure.

3.2.10 How can members have a role in determining the policies and programs of your Agency?

3.2.11 How does your Agency respond to requests from supporters or the public for information regarding decisions taken by the Agency's Governing Body?

3.2.12 What are the links between the Governing Body and the staff and the Governing Body and the Agency's management.?

3.2.13 Does your Agency have a policy to deal with Conflict of Interest and explain how you implement it?

Advisory Committees:

3.2.14 Please list any advisory committees.

3.2.15 How are these committees formed and who sits on them?

3.2.16 What are their responsibilities and to whom do they report?

Agency Affiliations and International Funding Arrangements in relation to governance:

3.2.17 Does the Agency operate as part of an international network? If yes, what are the implications of this membership/affiliation on the way your Agency is governed? e.g. are there shared activities relating to: policy development and advocacy work; program implementation and management; fundraising and marketing; or other activities to which your Agency contributes and by which it may be bound?

3.2.18 If your Agency shares in the costs of maintaining these activities, list amounts and purposes for the last three years.

3.2.19 If your Agency provides funds for administrative support for an international parent body or affiliate, list amounts and purposes for the last three years.

3.2.20 Provide copies of any formal agreement(s) related to these affiliations. (Annex 6)

Note: Implications of these arrangements for 'Program Management' are covered under B3, and for 'Partnerships' under C1.

Possible Verifiers:

- *Governing Instrument i.e. Certificate of Incorporation, Constitution, Memorandum and Articles of Association, Trust Deed, or Appropriate Act of Parliament, ACN, ABN or IA number.*
- *List of Governing Body members and office holders with names, occupations and length of service.*
- *Clauses in Constitution outlining election or appointment process of governing body and office holders.*
- *Evidence that appropriate procedures have been followed if conflict of interest issues have arisen (eg. Board minutes).*
- *Evidence of access to copies of minutes of AGM, Board meetings, audited financial statements etc by members.*

3.3 Criterion A3: ANGO has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations.

This criterion seeks to establish that the ANGO is committed to and is operating within current, good practice, sector guidelines.

ACFID Code of Conduct:

3.3.1 When was the ACFID Code of Conduct formally adopted by your Governing Body? Give specific date.

3.3.2 Provide minutes of Governing Body meeting ratifying decision to adopt the Code of Conduct. (Annex 7)

Note: AusAID contacts ACFID to check adherence to the ACFID Code of Conduct prior to the Organisation Review.

Note: Agencies newly applying for membership of the ACFID Code of Conduct should allow adequate time for approval process to take place.

Possible Verifiers:

- *Date of formal adoption/ ratification by the Board.*
- *Minutes of relevant governing body meeting or evidence of ratification by the Board.*
- *ACFID advice that ANGO is a compliant signatory to the ACFID Code of Conduct.*

4. SECTION B: DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES

4.1 Criterion B1: ANGO has a demonstrated record of undertaking aid projects consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development.

This criterion seeks to establish that the ANGO has implemented activities over at least the last two years which have achieved demonstrable development outcomes. The ANGO must demonstrate that it understands the objectives of the Australian Aid Program, in particular poverty alleviation and sustainable development, and demonstrate similar objectives in their projects.

Agency Experience and Track Record:

4.1.1 Outline the development objectives of your Agency.

4.1.2 If your Agency did not begin with an overseas aid focus, explain how overseas aid became part of the Agency's mandate.

4.1.3 List Development Projects/Programs supported over your Agency's last two completed financial years. Large agencies should provide a representative selection and, in addition, indicate the total number of programs/projects in last two years. Please specify your financial year, eg: April 1st - March 31st; July 1st - June 30th; January 1st - December 31st). Please use table format under the following headings, and preferably correlate with your Agency's audited annual financial statements.

Year	Country	Project/ Program	Expenditure	Donors	AusAID Window (If applicable)	Sectors

4.1.4 Provide a brief description, including objectives, partner, beneficiaries and expected outcomes, of three current projects/programs which you believe reflect your Agency's overall development approach.

Sources and expenditure for development assistance and/or development education.

4.1.5 List amounts and percentages of total income and expenditure on development assistance and/or development education for your last three accounting periods.

Source of Funding	Year		Year		Year	
	\$	%	\$	%	\$	%
AusAID						
ANCP						
Country Programs/Cooperation Agreements						
Small Grants Schemes						
Other						
Total Funds Distributed						

4.1.6 Give details of the outcomes of your Agency's funding applications to AusAID for the last three financial years.

Applications for period ending	Funded (yes/no)
ANCP	
Country Programs/Cooperation Agreements	

HES/Periodic Funding Agreements (PFA's)	
Small Grant Schemes	
Other (specify)	

Agency's main fields of operation:

4.1.7 What is the historical background to and current rationale for your Agency's sectoral focus?

4.1.8 Have there been changes in sectoral focus over time? If so, what factors have led to these changes?

4.1.9 What is the historical background to and current rationale for your Agency's geographic focus?

4.1.10 Have there been changes in geographic focus over time? If so, what factors have led to these changes?

Project/Program Sustainability:

4.1.11 What is your Agency's strategy for maximising sustainability in its projects/programs?

4.1.12 What guidelines or procedures does your Agency have for planning and design, with special regard to sustainability and the phase-out stage of projects/programs?

4.1.13 If possible, give examples of your Agency's work where management responsibility was eventually assumed by communities receiving assistance?

4.1.14 If your Agency has policies covering issues such as fee-for-service, or cost recovery from communities in its project designs, please summarise.

Possible Verifiers:

- Documented record of development activities undertaken by the Agency.
- Discussion with staff demonstrating familiarity with AusAID, its objectives and its procedures.
- Examples of project proposals, designs and budgets.
- Analysis of project files such as progress reports, monitoring reports, project completion reports and evaluation reports.
- Discussions with staff and evidence in project files that project management has involved the various stages of the project cycle such as needs analysis, project design, monitoring and evaluation and that the ANGO contributes in some way to these processes.

4.2 Criterion B2: ANGO has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of:

- a) Development and Welfare
- b) Development and Evangelism
- c) Development and Partisan Politics

This criterion seeks to understand the ANGO's development philosophies and practices. It seeks to establish that the ANGO understands AusAID's development principles and gives due consideration to cross-cutting issues such as gender, environment and human rights. It seeks to confirm that designated development funds, i.e. all funds included in RDE calculations, are used specifically for development outcomes and not for evangelical, welfare or partisan political purposes.

Agency's Development Philosophy:

4.2.1 Give a brief statement of your Agency's development philosophy, and the implications this has for its field implementation methodologies and approaches. *Note: this is not a repeat of B1, this point asks for development philosophy, not history.*

4.2.2 How is this philosophy derived e.g. religious, ideological, cultural commitment?

4.2.3 Attach copy of mission statement and indicate the date of its adoption by your Agency's Governing Body. (Annex 8)

4.2.4 Who defined this mission?

4.2.5 What was the process that led to its articulation?

4.2.6 Identify and explain any major changes that have occurred in your Agency's development philosophy since the Agency's inception.

4.2.7 If your Agency undertakes evangelistic, partisan political or welfare activities, how does it differentiate these from development activities, especially for government funding purposes?

4.2.8 How does your Agency ensure its partners differentiate between these same activities?

4.2.9 Provide copies of policies or guidelines ratified by your Agency's Governing Body, that relate to development, welfare, evangelism and politics. (Annex 9)

4.2.10 Provide copies of policies on crosscutting issues at the project/program level, ratified by your Agency's Governing Body. Issues could include gender, reproductive health/family planning, HIV/AIDS, environment, community participation, human rights.

(Annex 10)

Possible Verifiers:

- *Mission, Vision and Objectives of the ANGO and objectives of its projects.*
- *Discussions with staff demonstrating familiarity with current development practice, relevant tertiary study by staff, involvement with ACFID networks and trainings etc*
- *Evidence of consideration of cross cutting issues such as gender, environment, human rights.*
- *Application of crosscutting policies and practices evidenced in partner agreements, project documentation and publications.*
- *Documented policies or guidelines ratified/approved by the Board or Governing body that indicate how the ANGO differentiates between development and welfare, evangelism, partisan politics.*
- *Relevant Board minutes approving relevant policies.*
- *Examples of communications between the ANGO and its constituency discussing or confirming its practices in relation to welfare, evangelism or partisan politics.*
- *Donation forms that enable donors to direct a donation to either a tax deductible relief or development activity or to other programs such as evangelistic/welfare/partisan political activities.*
- *Examples of communications to implementing partners that makes clear the purpose of funds transferred from Australia and acknowledgement or report from the implementing partner indicating that this is understood and accepted.*

4.3 Criterion B3: The ANGO has the capacity to deliver its project objectives in a way that meets its contractual obligations to AusAID.

This criterion seeks to understand the role of the ANGO throughout the project cycle to establish that it exercises adequate influence and control with its organisations and implementing partners to:

- i) add value to the development process and
- ii) Manage risk.

NB: FINANCIAL MANAGEMENT IS COVERED IN CRITERION E.

Information Management Systems:

4.3.1 Describe the system used by your Agency for the collection, analysis and storage of project /program information. If this system is spelled out in a procedural guideline, Agency policy etc. please attach a copy. (Annex 11)

4.3.2 How does your Agency use the information generated by its information management system?

4.3.3 Describe briefly how the Agency reports to its various stakeholders on information obtained through the information management system?

Project/Program Design:

4.3.4 How are projects and programs identified? e.g. by overseas parent NGO; by local partner; through requests from prospective beneficiaries; through project identification mission.

4.3.5 Who is usually responsible for project design?

4.3.6 Where Australian Agency staff members are not responsible for design, what input or involvement do they have in the process?

4.3.7 Where your Agency is responsible for project design, outline the mechanism and approach used.

4.3.8 Provide the standard format used for project/program design if applicable. (Annex 12)

4.3.9 Provide an example of a recent project design. (Annex 13)

Project/Program Appraisal:

4.3.10 How, and by whom, is the appraisal of a project proposal normally carried out?

4.3.11 Please include both the circumstances where the design has been undertaken elsewhere by another party/partner/implementing Agency, and where the design has been undertaken by your Agency itself.

4.3.12 What expertise does your Agency have to appraise project proposals? This may include expertise to analyse proposals from the perspective of economics, social impact, gender, environmental impact, human rights, and community participation.

4.3.13 Provide information on key personnel involved in this appraisal process, eg. CV. (Annex 14)

4.3.14 What outside sources of expertise does your Agency draw on for this analysis?

4.3.15 Against what criteria or standards are project designs appraised? If there is a standard project appraisal report form or system for documenting appraisals, provide copy. (Annex 15)

4.3.16 Provide a copy of any appraisal documentation relevant to the example given in Annex 13/question 4.3.9. (Annex 16)

Project/Program Implementation:

4.3.17 Explain to what extent the management of project and program implementation is a function of your Agency's headquarters; your Agency's field office; an international Agency or affiliate; recipient country NGO; your Agency with a local partner NGO; or some other mechanism.

4.3.18 If your Agency collaborates with other Australian NGOs when implementing projects, give examples and describe the circumstances.

4.3.19 If your Agency calls on private consultants to assist in project implementation, give examples and describe the circumstances.

Risk Management: *Note: Financial risk management is covered in section E.*

4.3.20 Outline policies and procedures to minimise risk to staff health and security while overseas.

4.3.21 How does your Agency deal with political and economic instability in countries of operation?

4.3.22 Briefly describe systems your Agency uses to assess and manage risk of potential negative impacts of project activities on intended beneficiaries.

4.3.23 Briefly describe systems your Agency uses to assess and manage risk related to partner organisations.

4.3.24 Briefly describe systems your Agency uses to assess and manage risk related to terrorism.

4.3.25 Briefly describe systems your Agency uses to assess and manage risk related to child protection.

4.3.26 Provide copies of your Agency's policies, ratified by the Governing Body, which relate to any aspects of risk management. (Annex 17)

Agency Affiliations in relation to project management: (complete only if your Agency is a member or affiliate of an international network)

4.3.27 In the instance of your Agency being a member or affiliate of an international network, what are the implications of this membership/affiliation for the way in which your Agency manages its work in the field?

4.3.28 Provide copies of any formal agreement(s) related to these affiliations and their implications for project/program management. (refer to Annex 6).

Possible Verifiers:

- *Appropriate staffing levels relative to the size of the ANGO's development program.*
- *Agreements/MOUs with partners outlining the ANGO's role in projects. Examples of ANGO involvement in projects as documented in emails, progress reports or monitoring reports.*
- *Evidence of regular information flow between implementing partner and ANGO. Project files demonstrating ongoing communication between the field and ANGO.*
- *Evidence of analysis and judgment by the ANGO in monitoring reports.*
- *Documented partnership arrangements with implementing partners reflective of ANGO's contractual obligations to AusAID ie the Head Agreement.*
- *ANGO policies or documented practice such as risk management framework.*
- *Written policies and clauses in partnership agreements covering counter-terrorism and child protection obligations, including immediate notification if required.*
- *Evidence that the DFAT and Attorney-General's National Security websites are checked and considered regularly.*
- *Evidence of appropriate checks in relation to employment/contracting of individuals.*

4.4 Criterion B4: ANGO can monitor, report and rate effectiveness of activities.

This criterion seeks to understand the monitoring, reporting and evaluation systems used by the ANGO and its partners.

Project/Program Monitoring:

4.4.1 How are projects/programs monitored and who is responsible for undertaking that monitoring?

4.4.2 How often do you receive interim reports from the field and what is done with them?

4.4.3 Where monitoring is undertaken by partners in country, how does your Agency ensure the quality of monitoring?

4.4.4 What procedures does your Agency have for making changes to a project after monitoring indicates that problems may be developing or that a change in direction may be needed?

4.4.5 How are these arrangements spelled out in agreements between your Agency and the implementing Agency?

4.4.6 If you have a standard monitoring report format, please attach. (Annex 18)

4.4.7 Provide a copy of any monitoring documentation relevant to the example given in Annex 13/question 4.3.9. (Annex 19)

Project/Program Evaluation:

4.4.8 How does your Agency conduct project/program evaluations?

4.4.9 If there is a forward program of evaluations, please summarise in no more than one page.

4.4.10 How are decisions made about which activities to evaluate?

4.4.11 How are evaluations conducted? eg self-evaluations by implementing partners; field visits by Australian staff; use of consultants.

4.4.12 What use is made of the findings of evaluations?

4.4.13 If your Agency does not have an evaluation program, how does it satisfy itself that the activities it supports achieve the original aims of the projects/programs?

4.4.14 If your Agency has a standard evaluation format, please attach. (Annex 20)

4.4.15 Provide a sample of a recent project/program evaluation. (Annex 21)

Possible Verifiers:

- *Monitoring and reporting guidelines in ANGO operating manual. These guidelines are reflected in project agreements with implementing partners*
- *Evidence in project files of consistent application of monitoring guidelines, eg. progress reports, field trip reports, monitoring reports.*
- *Documented evidence of other avenues of monitoring such as records of communication with implementing partners via email or phone*
- *Analysis by ANGO of project progress including some assessment of activities at the outcome level.*
- *Review of monitoring reports on file*
- *Discussion with staff.*
- *Evaluation guidelines in ANGO operations manual.*
- *Schedule for future evaluations of projects. Review of available evaluation reports*

4.5 Criterion B5. Agency has systems for continuous improvement of its management and operations.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.

5. SECTION C: APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION

5.1 Criterion C1: ANGO has documented arrangements with implementing partners in countries where it works and/or with global partner's networks or affiliates as appropriate.

This criterion focuses on the documented, contractual framework in place to manage partnerships and projects. It seeks to establish that the ANGO has formal arrangements with partners which cover all aspects of the Head Agreement contract with AusAID and that these arrangements are understood and accepted by partners

Current Partners:

5.1.1 List current partners using the following table.

Country	Partner name	Type of Organisation	Years of Involvement

Documented arrangements:

5.1.2 Does your Agency have documented arrangements with its partners? If your Agency has a standard format please attach. (Annex 22)

5.1.3 Provide copies of current agreements/MOUs/contracts with your in-country partners. (Annex 23)

5.1.4 Describe the process of consultation and/or negotiation through which partnership agreements are developed by your Agency.

5.1.5 If the Agency does not have documented arrangements with partners, please explain how your Agency satisfies itself that roles and responsibilities will be met and your Agency's contractual obligations to AusAID maintained.

5.1.6 Do any of AusAID's NGO funding arrangements have requirements that create difficulties for your Agency's partner relations?

Agency Affiliations in relation to partnerships: (complete only if your Agency is a member or affiliate of an international network)

5.1.7 If your Agency is a member or affiliate of an international network, what are the implications of this membership/affiliation for the way in which your Agency develops partnerships at field level?

5.1.8 If your Agency is part of an international network, how does your Agency document arrangements between itself and any implementing partners regarding the effective management and financial accounting of projects?

5.1.9 Please provide copies of any formal agreement(s) related to these affiliations and their implications for partnerships. (refer to Annex 6)

Possible Verifiers:

- Documented arrangements eg MOUs, contract or formal partnership agreement with partners, international partners, alliances or affiliates, which include proposed budget and use of funds.
- Evidence of partners' understanding and acceptance of documented arrangements, i.e. communication about content and application of agreement.
- Procedural guidelines in ANGO's operations manual for managing the relationship.
- Minutes of meetings with international partners, alliances or affiliates.

5.2 Criterion C2: ANGO has assessed its own capacity and the capacity of its partner organisation to develop and implement projects.

This criterion seeks to establish that the ANGO assesses its own capacity and the capacity of its partners and that projects/programs are designed and implemented relative to this capacity, or alternatively that capacity is strengthened if needed.

NB: This criterion does not require agencies to limit their partnerships to agencies of any specified capacity.

Partner Capacity:

5.2.1 Describe the process used within your Agency to assess the capacity of potential partners in the field.

5.2.2 If your Agency has guidelines or a checklist for the assessment of partner capacity, please provide a copy. (Annex 24)

5.2.3 How is the issue of partner capacity taken into account in project designs?

Agency Capacity:

5.2.4 Describe the process used within your Agency to assess its own capacity on an ongoing basis.

5.2.5 Provide examples, if available, of times when capacity has been increased or project load decreased relative to your Agency's capacity.

Note: Assessment of financial capacity is covered in section E.

Possible Verifiers:

- Evidence of internal organisational assessment such as a report from an review of the ANGO's own capacity, minutes of planning meetings.
- Guidelines in operations manual to assess capacity of implementing partner such as a checklist or guiding principles.
- Completed checklist or another form of documentation such as a file note or minutes of meeting, describing the capacity of implementing partners.
- Evidence such as minutes of meetings, correspondence to and from field, appraisal reports, etc, where a decision was made not to pursue a particular activity with a particular partner as partner judged to have insufficient capacity or because the ANGO did not have the capacity.
- Evidence where decision was made to fund partner and provide capacity building to address areas of capacity weakness. Details of capacity building activities undertaken with partners.

5.3 Criterion C3: ANGO's partnerships are consistent with good development practice.

This criterion seeks to understand the nature and tone of partnerships and relationships between the ANGO and partners and between partners and beneficiaries. It seeks evidence that partnerships reflect good development practice ie. equality, mutual respect and learning, self reliance, transparency, etc.

Approaches to Partnership:

5.3.1 Briefly describe your Agency's general approach to establishing and developing links with developing country partners.

5.3.2 How does the approach vary by partner/country/type of project?

5.3.3 What qualities/attributes does your Agency typically look for in partner agencies?

5.3.4 How does your Agency typically interact and coordinate activities with its partners? Is it mainly through project cooperation; collaboration on international advocacy efforts; sharing of information; etc?

5.3.5 At what levels in your Agency does consultation take place with partners in recipient countries?

5.3.6 Does your Agency support the program of a partner, or is support restricted to specific projects? Give the rationale for your approach.

5.3.7 To what extent if at all, does your Agency become involved with government agencies (national, provincial or local) in the countries where you have partners?

Roles in Partnership:

5.3.8 What do you consider to be the main contribution your Agency makes to its partnerships eg funding, technical assistance, information exchange?

5.3.9 How does this contribution differ with different partners?

5.3.10 If your Agency's relationship with any partner has changed as a result of lessons learned from project or program activity, how has it changed and why?

5.3.11 To what extent does your Agency support projects that involve only your Agency and your partner as against projects that are assisted by a number of international local donors?

5.3.12 Describe your Agency's policy about the frequency and nature of visits by your representatives to partners/projects, and of reciprocal visits, if any, by partners to Australia.

5.3.13 To what extent are there communication links between your Agency's Australian constituency and its overseas partners and/or beneficiaries?

5.3.14 If any of your Agency's partners have formal or informal relationships with their governments (national, provincial or local), what is the nature of these relationships and what are the implications, if any, for your Agency's work with these partners?

Other External Relations:

5.3.15 How does your Agency collaborate with other NGOs?

5.3.16 To what bodies does your Agency belong and what is its role in inter-Agency dialogue and cooperation?

5.3.17 Please outline any significant relationships your Agency has with other external organisations?

Possible Verifiers:

- *Discussions with staff.*
- *Documented examples of communications such as emails, letters, field trip reports and meeting minutes, showing the nature of the partnership and respective roles of the ANGO and the implementing partner.*

6. SECTION D: LINKAGES WITH THE AUSTRALIAN COMMUNITY**6.1 Criterion D1: ANGO is clearly identifiable as Australian and can demonstrate interaction with an Australian community base.**

This criterion seeks to understand: how the ANGO ensures Australian identity in its projects and promotions; how the ANGO acknowledges the source of contributions to the projects it supports and how the ANGO engages with its Australian constituency.

Australian Identity:

6.1.1 Describe the procedures/practices your Agency has in place to achieve Australian identity in its activities.

6.1.2 Fill in the table below to indicate how the Australian constituency, implementing partners, in-country staff and project beneficiaries understand Australian assistance.

Statement	Australian Constituency	Implementing Partners	In-country Staff	Project Beneficiaries
The project is clearly identifiable as Australian				
There is some acknowledgment of Australian assistance				
The fact that a project has Australian support is not an important factor				
The Australian contribution is not identified on principle				

6.1.3 If this approach to Australian identity differs when AusAID funds are involved, please indicate how.

Responsive Interaction to a Community Base:

6.1.4 Detail your Agency's membership/volunteers/supporters/community base, by number and category.

6.1.5 Estimate the number of current financial supporters (excluding formal members).

6.1.6 How many names are on your Agency's direct mailing list?

6.1.7 How many subscribers and receivers are there of your Agency's publications.(for each publication, list number of regular subscribers and total print run).

6.1.8 Does your Agency have a broader Australian constituency than defined above? eg church affiliations; number of schools, clubs etc. addressed in one year; number of requests for information; visitors to/users of resource centres; number of trading outlets.

6.1.9 Give details of community support other than funding eg unpaid work, goods and services in kind.

6.1.10 How, if at all, do donors/supporters have any input to the process of setting program strategies?

6.1.11 How is your Agency accountable to its Australian support base?

Possible Verifiers:

- 'Australia' in title of organisation.
- Australian identity of the ANGO is made clear to supporters and donors in newsletters, appeal letters, etc
- Copies of communications with implementing partners acknowledging Australian support and identity.
- Newsletters and other promotional material or communications with constituency.
- Evidence of access by supporters to copies of governing body decisions, AGM minutes etc.
- Evidence, such as emails or letters, of ANGO response to requests for information from supporters or discussion about their concerns.
- Evidence such as newsletters or promotional material that ANGO encourages new supporters.

6.2 Criterion D2: ANGO provides accurate information about the organisation, its objectives and its activities in its public presentations, in a manner that respects the dignity of recipient communities.

This criterion seeks to ensure that promotional material respects the dignity, values, history, religion and culture of people, consistent with the ACFID Code of Conduct. It seeks to find consistency between projects and promotional material, and a clear differentiation between the ANGO and its implementing partners

6.2.1 Attach examples of promotional and other materials which describe your Agency, its objectives and activities. (Annex 25).

6.2.2 Describe and/or attach policy/guidelines/practice concerning the use of life stories/photos of beneficiaries in promotional materials. (Annex 26).

Possible Verifiers:

- Comparison of project reports and Annual Report and promotional material such as newsletters.
- Examples of promotional and educational documentation of the ANGO.

6.3 Criterion D3: ANGO maintains Australian community support for its development projects through financial, in-kind and/or voluntary contributions.

This criterion seeks to understand how the ANGO maintains its community support (monetary, in-kind and volunteer) for development activities.

Staffing Details:

6.3.1 What proportion of your Agency's staff time/funds/other resources is spent on development assistance and/or development education?

Note: If your Agency is specifically a development assistance Agency, your answer will be 100 percent. If your Agency undertakes activities apart from development assistance/education, estimate the relevant percentage.

6.3.2 Give a brief description of the other activities in which your Agency is involved.

6.3.3 Using the following table, give details of the numbers of staff/volunteers involved in development assistance/education. For part-time and voluntary staff, describe in terms of days per week eg. 3@ 4 days per week; 2@ 2 days per week. Provide a breakdown of staff and volunteers by gender.

Staffing	Number of Staff/ Volunteers	Breakdown of Staff/ Volunteers by time per week	Staff/Volunteers Gender
Australian Head Office Full Time Part Time Regular Volunteers (excl. special fund- raising)			
Staffing :Other Australian Offices Full Time Part Time Regular Volunteers (excl. special fund- raising)			
Staffing :Overseas Full Time Part Time Regular Volunteers (excl. special fund- raising)			

6.3.4 What are the principal responsibilities of staff and/or volunteers involved in development assistance?

Fundraising/Promotional Activities:

6.3.5 What are the main fundraising/promotional activities of your Agency?

6.3.6 Describe any special fundraising/promotional programs, including number of people involved as organisers/volunteers; estimates of participant numbers in funding drives; ongoing fundraising activities.

6.3.7 Summarise funds raised from the Australian community for your last three financial years specifically for overseas development activities and cross-reference to E4.

6.3.8 What is your Agency's plan for maintaining Australian community support for its development programs? If available, attach appropriate supporting documentation (Annex 27) and evidence of formal approval by the Governing Body of strategy, if any.

6.3.9 Describe any relationships with corporate bodies or other entities in the commercial sector.

6.3.10 If applicable describe your Agency's policy/guidelines for and approaches to dealing with the media.

Possible Verifiers:

- Diaries, logbooks or similar system for recording volunteer contributions.
- Policy covering utilisation of volunteers
- Record of a planning process which includes ongoing fundraising and promotional initiatives.
- Examples of successful and planned fundraising initiatives
- Examples of promotional materials such as newsletters or events brochures.

6.4 Criterion D4: Agency has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.

7. SECTION E: FINANCIAL SYSTEMS & RISK MANAGEMENT

7.1 Criterion E1: ANGO has effective management, administration and financial systems for accounting for funding, including systems to ensure the presence and implementation of adequate controls in partner organisations' accounting and management systems.

This criterion seeks evidence of satisfactory application of policies, systems and processes for accounting for funding by the ANGO in Australia and by its partners/implementing organisations in the field.

7.1.1 Detail the policies, systems and procedures your Agency has in place to ensure funds are used for the purposes for which they are intended.

7.1.2 Are these arrangements documented? If so please attach. (Annex 28).

Note: If document is too large please refer to document title for sighting at the ORA.

7.1.3 Attach a copy of your Agency's most recent Annual Report. (Annex 29).

7.1.4 Attach a copy of your Agency's most recent audited financial statements. (Annex 30).

7.1.5 What general problems, if any, have you encountered with regard to accountability or reporting requirements?

7.1.6 What audits have been undertaken of your Agency in the last five years?

7.1.7 What audits have been undertaken of your overseas projects in the last five years?

7.1.8 For each of the above, list type of audit and who undertook it, and briefly describe the relationship between the auditor and the Agency, and explain how the results of audits have been used by the Agency.

7.1.9 Give an example of your Agency checking the administrative and financial capacity of your partner or affiliate.

7.1.10 Do financial acquittals provided by your partner, record currency conversion rates?

Possible Verifiers:

- Files showing evidence of satisfactory application of policies, systems and processes for accounting for funding.
- Balance sheet (assets, liabilities and equity) and profit and loss (revenue, expenditure and surplus) statements.
- Table of contents of Operations Manual and inspection of specific extracts.
- Examination of project files and discrete ledger accounts.

- Agreements/EOL with partners.
- Partners' policies and procedures for accounting for funding.
- Partnership agreement or other relevant documentation identifying capacities and roles of each overseas partner agency in financial operations
- Project acquittals from partners/ delivery organisations.
- Verify currency conversion practises of partners

7.2 Criterion E2: The Agency, its overseas partner agencies, and its international affiliates have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.

7.3 Criterion E3: Agency utilises systems to assess and manage financial risk which are appropriate to the level of expenditure.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.

7.4 Criterion E4: ANGO can raise contributions (a minimum \$50,000 RDE averaged over three years) from the Australian community in support of development activities.

NB: RDE benchmarks relate to the previous financial year.

This criterion seeks to verify that the ANGO: can raise its own funds from the community for development activities; differentiates funds for development, religious, welfare and partisan political activities in RDE calculations; and is not dependent on AusAID for staff salaries. One full time equivalent salary of a person (or two half time persons) fully engaged on overseas aid work should be paid for from the ANGO's own funds

7.4.1 Attach your most recent RDE worksheet submitted to AusAID. (Annex 31)

Note: If your Agency is new or newly applying for accreditation, please complete and submit a copy of the RDE worksheet with your Agency Profile and application.

Possible Verifiers:

- Working papers for calculation of RDE.
- Examination of RDE calculations and audited financial statements to demonstrate application of appropriate differentiation between development activities and welfare, evangelism and partisan politics.
- Compliance with RDE worksheet.
- RDE returns over the last three years
- Financial records of income and disbursement against specific projects/programs, and reconciliations with the general ledger.
- Method for documenting and recording value of services and in-kind donations and volunteer time.
- Maintenance of timesheet records.
- Expenditure allocated as per ACFID definitions
- Administration expenditure records.

7.5 Criterion E5: ANGO complies with Australian legislation pertaining to fundraising and tax deductibility.

This criterion seeks to establish if the ANGO is registered for fundraising purposes as a charitable/benevolent institution and has tax deductibility status if claimed publicly.

7.5.1 Attach documents verifying charitable institution, tax deductibility status for all jurisdictions. (Annex 32).

Possible Verifiers:

- Letter with date of registration as charity/public benevolent institution.
- Letter or other legal document showing exemption.
- Letter or gazette notice from Taxation Department and/or AusAID list.
- ANGO promotional material claiming tax deductibility.
- ABN Database search..

8. SECTION F: FAMILY PLANNING/REPRODUCTIVE HEALTH ACTIVITIES

Note: This criteria is for agencies using Government funds for family planning/reproductive health activities.

8.1 Criterion F1: Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.

This criterion seeks to establish if the Agency has written policies that reflect an understanding of Government policies related to Family Planning/Reproductive Health issues.

8.1.1 Does the agency involve itself in projects and or programs that have elements that are related to family planning or reproductive health, or that supply materials and resources that might be used in family planning and reproductive health? Note: The following three questions are only to be answered if the answer to the first question has been yes.

8.1.2 If these activities are undertaken as part of your Agency's work, provide copies of your Agency's policies, ratified by the Governing Body, which relate to family planning and reproductive health. (Annex 33)

8.2 Criterion F2: Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.

This criterion seeks to establish that there is documented evidence of application of relevant policies and procedures throughout the project cycle where applicable.

8.2.1 If Family Planning/Reproductive Health activities are undertaken as part of your Agency's work, please provide details of staff, their experience and qualifications, either in its head office or in the field, who have experience and training in this field. (Annex 34)

8.3 Criterion F3: Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirements.

This criterion seeks to establish that there is documented evidence that relevant issues have been addressed in the planning and implementation of family planning related activities. Interim reporting if needed (for problems experienced etc).

8.3.1 Have the issues involved, and the Australian government's policies been discussed with AusAID, especially in relation to any planned projects and programs?

Possible Verifiers:

- *Policy ratified by the governing body, in ANGO's operations manual and operational procedures outlined in ANGOs operations manual.*
- *Staff with relevant experience in Family Planning projects (eg CVs of staff involved)*
- *Copy of AusAID's Guiding Principles on file.*
- *Discussions with Australian staff*
- *Evidence from documented appraisal processes, progress reports, field monitoring reports and general communications to demonstrate how AusAID's Planning Guiding Principles are applied in project design and implementation*
- *Documentation showing that relevant issues have been discussed with AusAID*

CHECKLIST OF SUPPORTIVE DOCUMENTATION REQUIRED:

- Annex 1. Copy of governing documents showing incorporation status and clauses establishing voluntary and not-for-profit credentials of membership, and election/appointment process of Governing Body eg: Memorandum and Articles of Association or Constitution or Trust Deed or other appropriate documents
- Annex 2. Minutes of last two Annual General Meetings
- Annex 3. Copy of documents showing incorporation status
- Annex 4. List Governing Body Office Bearers' names, board positions and occupations
- Annex 5. Minutes of two recent meetings of the Governing Body
- Annex 6. Copy of any formal agreement/s related to agency affiliations (international or national) with respect to implications for governance
- Annex 7. Copy of minutes of Governing Body meeting ratifying decision to adopt the Code of Conduct
- Annex 8. Agency's Mission Statement and date of its adoption by Governing Body.
- Annex 9. Copies of policies, ratified by your Agency's Governing Body, that relate to development, welfare, evangelism and politics
- Annex 10. Copies of policies on crosscutting issues at the project/program level, ratified by your Agency's Governing Body
- Annex 11. Procedural guidelines, policies or other formally adopted approaches to gathering, analysing and storing of the Agency's project/program information
- Annex 12. Agency standard formats used for program/project design.
- Annex 13. Example of a recent project design
- Annex 14. Information on key personnel involved in the appraisal process, provide CV
- Annex 15. A copy of a standard project appraisal report form or system for documenting appraisals
- Annex 16. Copy of any appraisal documentation relevant to the example given in Annex 13/question 4.3.9
- Annex 17. Copies of your Agency's policies, ratified by the Governing Body, which relate to any aspects of risk management
- Annex 18. Copy of standard monitoring report format
- Annex 19. Copy of any monitoring documentation relevant to the example given in Annex 13/question 4.3.9
- Annex 20. Copy of standard evaluation format
- Annex 21. Provide a sample of a recent project/program evaluation
- Annex 22. Copy of documented arrangements with partners
- Annex 23. Copies of current agreements/MOUs/contracts with your in-country partners
- Annex 24. Copy of guidelines or a checklist for the assessment of partner capacity
- Annex 25. Examples of promotional and other materials which describe your Agency, its objectives and activities
- Annex 26. Attach policy/guidelines/practice concerning the use of life stories/photos of beneficiaries in promotional materials
- Annex 27. Supporting documentation of strategies for continuing support by the Australian public, and provide evidence of formal approval by the Governing Body of strategy

- Annex 28. Copy of policies, systems and procedures your Agency has in place to ensure funds are used for the purposes, for which they are intended, evidence that these arrangements are documented. Note: If document is too large please refer to document title for sighting at the OR
- Annex 29. Agency's most recent Annual Report
- Annex 30. Agency's most recent audited financial statements
- Annex 31. Most recent RDE worksheet submitted to AusAID
- Annex 32. Copy of documents verifying charitable institution, tax deductibility status for all jurisdictions
- Annex 33. Copy of your Agency's policies, ratified by the Governing Body, which relate to family planning and reproductive health
- Annex 34. Provide details of staff, their experience and qualifications, either in its head office or in the field, who have experience and training in family planning and reproductive health

**DESK ASSESSMENT [DA]
ORGANISATION REVIEW [OR]
FINAL FULL ACCREDITATION REPORT**

Agency Acronym

Agency Name in Full

**Report prepared for the AusAID/NGO
Committee for Development Cooperation**

AUSTRALIAN AGENCY FOR INTERNATIONAL DEVELOPMENT

Canberra

Month Year

PART A - Narrative Report**INTRODUCTION****Overview of the Accreditation process**

XXXX (hereafter referred to as XXX) currently holds Base/Full Accreditation status with AusAID. This Accreditation was granted in the year XXX. Agency XXX has applied to be reaccredited. To fulfill the requirements of Accreditation, the Agency XXX submits an Agency Profile and undergoes a Desk Assessment review (DA) and an Organisation Review (OR).

This report, commissioned by the Committee for Development Cooperation (CDC), is a summary of the Desk Assessment review (DA)/Organisational Review (OR) in consideration of the Agency's application to AusAID for Accreditation. The report is prepared by a three member Accreditation Review Team comprising two independent development consultants and a financial assessor contracted by AusAID. The report is based on the Desk Assessment of information contained in the Agency Profile and information analysed during the Organisational Review in Australia. The information is assessed against the agreed criteria for Accreditation outlined in the AusAID document *AusAID/NGO Accreditation Criteria Table - Full* (2005 edition).

Accreditation status is recommended by the Review Team. It is subject to the view and recommendation of the CDC. The final decision rests with the AusAID Delegate.

Summary Statement with rationale for Accreditation Recommendation

Please be mindful that NGOs vary in size and complexity. Small agencies receiving limited funding from AusAID are not expected to have as complex or sophisticated structures and systems, as NGOs receiving extensive AusAID funding. Accreditation Criteria Indicators are applied commensurate with the size of the risk to AusAID.

Accreditation Recommendation:**OVERVIEW OF THE AGENCY**

Please include a statement about the Agency's size and complexity and the total value of funds received from AusAID in last three years. Your judgement about whether the Agency meets each criterion must be based on - *and indicate in the text* - your clear appreciation of the size and scale of the particular Agency.

A. AGENCY IDENTITY AND STRUCTURE

Criterion A1: Agency is voluntary, not-for-profit and non-government.

Issues / Recommendation:

Criterion A2: Agency is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters.

Issues / Recommendation:

Criterion A3: Agency has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations.

Issues / Recommendation:

B. DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES

Criterion B1: Agency has a demonstrated record of undertaking aid projects/programs consistent with the objectives of the Australian Aid Program of *poverty alleviation and sustainable development*.

Issues / Recommendation:

Criterion B2: Agency has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of:

- a) Development and Welfare
- b) Development and Evangelism
- c) Development and Partisan Politics.

Issues / Recommendation:

Criterion B3: Australian Agency has the capacity to deliver its project/program objectives in a way that meets its contractual obligations to AusAID.

NB Key elements of this capacity are *management systems* that address all aspects of the project cycle, *risk management* and appropriate *decision-making* processes.

Please include comments on the appraisal of Commonwealth supported activities, management of risk related to project/program processes and outcomes, ability to influence project/program management, compliance with AusAID guidelines on family planning, terrorism, child sex tourism, child protection and environment.

Issues / Recommendation:

Criterion B4: Agency can monitor, report and rate effectiveness of activities.

Issues / Recommendation:

Criterion B5: Agency has systems for continuous improvement of its management and operations.

Issues / Recommendation:

C. APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION

Criterion C1: Agency has documented partnerships with organisations in countries where it works.

Issues / Recommendation:

Criterion C2: Agency has assessed its own capacity and the capacity of its partner organisation to deliver and develop projects/programs appropriate for that capacity.

Issues / Recommendation:

Criterion C3: Agency's partnerships with organisations in countries where it works, and its partners' relationships with beneficiaries, are effective and consistent with good development practice.

Issues / Recommendation:

D. LINKAGES WITH THE AUSTRALIAN COMMUNITY

Criterion D1: Agency is clearly identifiable as Australian and can demonstrate responsive interaction with an Australian community base.

Issues / Recommendation:

Criterion D2: Agency, and its partners, provide accurate information about the organisation, its objectives and activities in its public presentations, in a manner that respects the dignity of recipient communities.

Issues / Recommendation:

Criterion D3: Agency deploys and maintains Australian community support for its development projects/programs, through financial support, and in-kind and/or voluntary contributions.

Issues / Recommendation:

Criterion D4: Agency has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues.

Issues / Recommendation:

E. FINANCIAL SYSTEMS AND RISK MANAGEMENT

Criterion E1: Agency has effective management, administration and financial systems for accounting for funding.

Issues / Recommendation:

Criterion E2: Agency, its overseas partners and its international affiliates, have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations.

Issues / Recommendation:

Criterion E3: Agency utilises systems to assess and manage financial risk which is appropriate to the level of expenditure.

Please note that this includes risk related to expenditure through partner organisations.

Issues / Recommendation:

Criterion E4: Agency can raise contributions (a minimum \$75,000 RDE) from the Australian community in support of development activities.

Issues / Recommendation:

Criterion E5: Agency complies with Australian legislation pertaining to fundraising and tax deductibility.

Issues / Recommendation:

F: FAMILY PLANNING/REPRODUCTIVE HEALTH ACTIVITIES

Criterion F1: Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.

Issues / Recommendation:

Criterion F2: Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.

Issues / Recommendation:

Criterion F3: Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirement.

Issues / Recommendation:

Suggestions for Improvements to Agency Systems

Note: These suggestions are based on the professional judgement of the Accreditation Review Team. It is not compulsory to implement these recommendations.

**DESK ASSESSMENT [DA]
ORGANISATION REVIEW [OR]
FINAL BASE ACCREDITATION REPORT**

Agency Acronym

Agency Name in Full

**Report prepared for the AusAID/NGO
Committee for Development Cooperation**

AUSTRALIAN AGENCY FOR INTERNATIONAL DEVELOPMENT

Canberra

Month Year

PART A - Narrative Report

INTRODUCTION

Overview of the Accreditation process

XXXX (hereafter referred to as XXX) currently holds Base/Full Accreditation status with AusAID. This Accreditation was granted in the year XXX. Agency XXX has applied to be reaccredited at the Base level. To fulfill the requirements of Accreditation, the Agency XXX submits an Agency Profile and undergoes a Desk Assessment review (DA) and an Organisation Review (OR).

This report, commissioned by the Committee for Development Cooperation (CDC), is a summary of the Desk Assessment review (DA) and Organisational Review (OR) in consideration of the Agency's application to AusAID for accreditation. The report is prepared by a three member Accreditation Review Team comprising two independent development consultants and a financial assessor contracted by AusAID. The report is based on the Desk Assessment of information contained in the Agency Profile and information analysed during the Organisational Review in Australia. The information is assessed against the agreed criteria for Accreditation outlined in the AusAID document *AusAID/NGO Accreditation Criteria Table – Base* (latest version)

Accreditation status is recommended by the Review Team. It is subject to the view and recommendation of the CDC. The final decision rests with the AusAID Delegate.

Summary Statement with rationale for Accreditation Recommendation

Please be mindful that NGOs vary in size and complexity. Small agencies receiving limited funding from AusAID are not expected to have as complex or sophisticated structures and systems, as NGOs receiving extensive AusAID funding. Accreditation Criteria Indicators are applied commensurate with the size of the risk to AusAID.

Accreditation Recommendation:

OVERVIEW OF THE AGENCY

Please include a statement about the Agency's size and complexity and the total value of funds received from AusAID in last three years. Your judgement about whether the Agency meets each criterion must be based on - *and indicate in the text* - your clear appreciation of the size and scale of the particular Agency.

A. AGENCY IDENTITY AND STRUCTURE

Criterion A1: Agency is voluntary, not-for-profit and non-government.

Issues / Recommendation:

Criterion A2: Agency is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters.

Issues / Recommendation:

Criterion A3: Agency has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations.

Issues / Recommendation:

B. DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES

Criterion B1: Agency has a demonstrated record of undertaking aid projects/programs consistent with the objectives of the Australian Aid Program of *poverty alleviation and sustainable development*.

Issues / Recommendation:

Criterion B2: Agency has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of:

- a) Development and Welfare
- b) Development and Evangelism
- c) Development and Partisan Politics.

Issues / Recommendation:

Criterion B3: Australian Agency has the capacity to deliver its project objectives in a way that meets its contractual obligations to AusAID.

Key to this capacity are management systems that address all aspects of the project cycle, risk management and appropriate decision-making processes.

Please include comments on the appraisal of Commonwealth supported activities, management of risk related to project/program processes and outcomes, ability to influence project/program management, compliance with AusAID guidelines on family planning, terrorism, child sex tourism, child protection and environment.

Issues / Recommendation:

Criterion B4: Agency can monitor, report and rate effectiveness of activities.

Issues / Recommendation:

Criterion B5: Agency has systems for continuous improvement of its management and operations.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES

C. APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION

Criterion C1: Agency has documented arrangements with implementing partners in countries where it works and/or with global partner's networks or affiliates as appropriate.

Issues / Recommendation:

Criterion C2: Agency has assessed its own capacity and the capacity of its partner organisation to develop and implement projects.

Issues / Recommendation:

Criterion C3: ANGO's partnerships are consistent with good development practice.

Issues / Recommendation:

D. LINKAGES WITH THE AUSTRALIAN COMMUNITY

Criterion D1: Agency is clearly identifiable as Australian and can demonstrate interaction with an Australian community base.

Issues / Recommendation:

Criterion D2: Agency provides accurate information about the organisation, its objectives and its activities in its public presentations, in a manner that respects the dignity of recipient communities.

Issues / Recommendation:

Criterion D3: Agency maintains Australian community support for its development projects through financial, in-kind and/or voluntary contributions.

Issues / Recommendation:

Criterion D4: Agency has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES

E. FINANCIAL SYSTEMS AND RISK MANAGEMENT

Criterion E1: Agency has effective management, administration and financial systems for accounting for funding including systems to ensure the presence and implementation of adequate controls in partner organisations' accounting and management systems.

Issues / Recommendation:

Criterion E2: Agency and its overseas partners and its international affiliates, have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.

Criterion E3: Agency utilises systems to assess and manage financial risk which is appropriate to the level of expenditure.

THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.

Criterion E4: Agency can raise contributions (a minimum \$50,000 RDE averaged over three years) from the Australian community in support of development activities.

Issues / Recommendation:

Criterion E5: Agency complies with Australian legislation pertaining to fundraising and tax deductibility.

Issues / Recommendation:

F: FAMILY PLANNING/REPRODUCTIVE HEALTH ACTIVITIES

Criterion F1: Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.

Issues / Recommendation:

Criterion F2: Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.

Issues / Recommendation:

Criterion F3: Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirement.

Issues / Recommendation:

Suggestions for Improvements to Agency Systems

Note: These suggestions are based on the professional judgement of the Accreditation Review Team. It is not compulsory to implement these recommendations.

AusAID NGO Accreditation Criteria Worksheet – Full

Name of agency	
Current accreditation status	
Status requested	
Nature of this assessment	
Date of assessment	
Review team members	
Worksheet compiled by	

A AGENCY IDENTITY AND STRUCTURE

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
A1 Agency is voluntary, not-for-profit and non-government. <i>This criterion seeks to establish that the Agency's Governing Body and membership do not profit from the Agency's assets, that members are not remunerated for their services on the Governing Body, and that the Agency's Governing Body is independent of government. These operating principles are ideally documented in the Agency's governing documents.</i>	VOLUNTARY: Governing Body is drawn from the organisation's constituency and members are not remunerated for their services on the Governing Body. NOT-FOR-PROFIT: Funds should be applied solely to the achievement of the Objects. Surplus funds cannot be distributed to members/shareholders. NON-GOVERNMENT: Not formally part of any Government funded institution or department. Its governance is independent from any Government institution with which it is affiliated. No Government institution or department can appoint the majority of the Board.	Constitution, Memorandum Articles of Association or Trust Deed. Clause in Constitution, or Memorandum and Articles which specifically indicates that surplus funds cannot be distributed to members/shareholders. Clause on winding up of organisation. Policy on election/appointment of members to the Governing Body.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
A2 Agency is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters. NB. No specific number of members is required to meet this criterion. <i>This criterion seeks to understand the legal structure of the Agency and the functions and accountability of its Governing Body. The process by which the Governing Body is elected/appointed should be transparent, and the Agency should be governed in an accountable fashion. These operating imperatives are ideally documented in the Agency's governing instrument. Where an Agency is part of an international network, this criterion seeks to establish the level of the Australian Agency's independence, and accountability to its Australian membership.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Company Limited by guarantee, and without shareholders; or Company Limited by shares; or operates under a Trust Deed from a legally recognised entity; or constituted under an Act of Parliament or incorporated associations. Responsibilities of the Governing Body and its members are outlined in its Constitution or Articles of Association. The Objectives outlined in the Constitution, Articles, Trust Deed or Strategic Plan approved by the Governing Body specifically includes development/aid activities in developing countries. Sufficient evidence of accountability checks and balances. Agency has procedures to reply to specific requests regarding decisions of the Governing Body, consistent with the ACFID Code of Conduct. Transparent policies to identify and address any conflict of interest. A clear separation of duties between Board, management and staff functions. Mechanisms for members to raise issues at governing body level and evidence that Agency has made those mechanisms known.	Certificate of Incorporation, Constitution, Memorandum and Articles of Association, Trust Deed or Appropriate Act of Parliament, CAN, ABRN, or IA number. List of Governing Body members and office holders with names, occupations, and length of service. Clauses in Constitution dealing with responsibilities of office holders. Clauses in Constitution dealing with election/appointment of office holders. Minutes of Governing Body meetings demonstrating member involvement. Minutes of AGM, copy of audited financial statements, Annual Report. Clause in Constitution or specific policy to deal with conflict of interest. Evidence that appropriate procedures have been followed if conflict of interest has arisen (eg. Board minutes). Adherence/Signatory to the ACFID Code of Conduct.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
A3 Agency has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations. <i>This criterion seeks to establish that the Agency is committed to and is operating within current, good practice, sector guidelines.</i>	Ratification of the Code by the Board. Accepted by ACFID as a signatory to the Code. Evidence of any non-compliance to the ACFID Code of Conduct.	Date of formal adoption/ ratification by the Board. Minutes of Governing Body. ACFID advice that agency is registered and compliant.	

B DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B1 Agency has a demonstrated record of undertaking aid projects/programs consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development. <i>This criterion seeks to establish that the Agency has implemented projects or programs over at least the last two years which have achieved demonstrable development outcomes. The Agency must demonstrate that it understands</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Demonstrated track record over two years of successfully managing a program or series of projects, which have achieved demonstrable development outputs. This may include experience in managing own funding or AusAID funds. Aims/Goal of poverty alleviation and sustainable development should be reflected at all levels of the organisation (from the mission statement through to project objectives).	Documented record of development activities undertaken by the Agency. Project/Program proposal/design and budget, including any amendments. Analysis of project files. Strategic Plan which establishes a clear rationale for the Agency's program or projects and may include a sector or geographic focus and if applicable global programs.	

<i>the objectives of the Australian Aid Program, in particular poverty alleviation and sustainable development, and demonstrate similar objectives in their projects/program. The Agency should demonstrate their consideration of geographic and sectoral focus in planning.</i>	Evidence of a strategic approach to programming with consideration of geographic or sectoral focus appropriate to Agency's resources. Agreed country/program strategies or proposals including proposed outputs and outcomes clearly specified and in line with Strategic Plan. ¹<u>Program</u> (NGOPI definition) 'Complex development assistance schemes which encompass a number of individual activities with a key sectoral or defined geographic focus in a multi-year timeframe, and which contribute to a common goal. This goal is linked to the agency's strategic plan'. ² <u>Project</u> (NGOPI definition): 'Defined sets of activities which have identifiable objectives, a timeframe and an implementation plan'.	Mission Statement and project objectives. Activities undertaken are in line with objectives outlined in Agency's Strategic Plan.	
<u><i>For Global Programs:</i></u> <i>For programs that are implemented through a shared management arrangement with other international partners, alliances or affiliates ('global programs'), as opposed to a direct relationship between the agency and an implementing partner, the agency has approved the strategic framework and assessed the proposed use of funds within this framework as being consistent with its own strategic plan.</i>	<u><i>For Global Programs:</i></u> Australian Agency has documented the proposed use of funds through an agreed strategic framework of programs. Evidence of the agreed strategic framework for global programs and evidence that it has been developed through a documented program planning process.	<u><i>For Global Programs:</i></u> Documented record of global programs supported by the Agency and documented arrangements (e.g. MOU, contract or formal partnership agreement) with international partners, alliances or affiliates relating to these programs. Minutes of meetings with international partners, alliances or affiliates. The Australian Agency has documented its participation in the development of the strategic framework for global programs.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B2 Agency has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of: a) Development and Welfare b) Development and Evangelism c) Development and Partisan Politics. <i>This criterion seeks to understand the Agency's development philosophies and practices. It seeks to establish that the Agency understands AusAID's development principles and gives due consideration to cross-cutting issues such as gender, environment and human rights. It seeks to confirm that designated development funds (i.e. all funds included in RDE calculation) are used specifically for development outcomes and not for evangelical, welfare or partisan political purposes.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Agency can demonstrate it understands the objectives of the Australian Aid Program. Agency's development philosophies are reflective of current good practice. Agency policies show an understanding of development principles and include cross cutting issues including gender, environment, human rights, child protection etc. Agency has a policy or guidelines, approved by the Governing Body, and documented practice, that indicates how evangelistic and developmental objectives are differentiated; how welfare and developmental objectives are differentiated; and how partisan political and developmental objectives are differentiated.	Objectives of projects. Strategic plan. Organisation Profile. Application of crosscutting policies in project documentation/publications. Documented policies approved by the Board or Governing Body. Minutes approving relevant policies. Examples of communications to the Australian NGO's donors that clearly explain the Agency's various areas of activity - evangelistic/ welfare/ political and developmental. Donation forms that enable donors to direct a donation to either a tax deductible relief or development activity or to other programs such as partisan political/ evangelistic/welfare activities. Examples of communications to implementing organisations that make clear the purpose of funds transferred from Australia, eg agreements with partners include Agency's policies on evangelism, welfare and development. Acknowledgement or report from	

		the implementing organisation indicating that this is understood and accepted.	
	<i>For Global Programs:</i> Evidence that global programs comply with the Australian Agency's requirements on issues such as welfare, evangelism, partisan politics and counter terrorism.	<i>For Global Programs:</i> Documented arrangements with international partners, alliances or affiliates, e.g. MOU, contract or formal partnership agreement.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B3 The Australian Agency has the capacity to deliver its project/program objectives in a way that meets its contractual obligations to AusAID. A key element of this capacity is management systems that address all aspects of the project cycle. <i>Risk management:</i> Agency must manage risk throughout the project cycle. This includes (i) project/ program appraisal for all Commonwealth supported activities and (ii) compliance with AusAID guidelines on terrorism and child protection and environment. <i>Decision making processes:</i> Agency must have decision-making power in project/	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Evidence that Agency has the capacity and adds value to the development program/process. Evidence that the agreed programs have been developed according to a clear strategic methodology and in keeping with the principles and policies that guide the Australian Agency's development approach. Mechanisms for ensuring continuity of institutional knowledge. Appropriate management of, and staffing level for Agency's development program. Agency can appraise projects/program against AusAID requirements, the Agency's strategic plan and good development standards.	Documented partnership agreements/arrangements reflective of Agency's contractual obligations to AusAID. Agreed programming procedures, standards or guidelines for the Australian Agency outlining its development approach and approach to project management, including financial management. Agreements/MOUs outlining the provisions for Australian Agency involvement, governance and intervention. Examples of Agency intervening if need has arisen. Evidence of regular information flow between implementing partner and Australian Agency. Project files demonstrating ongoing communication between the field and Australian Agency and the involvement of all	

program management and have ongoing input to and influence on project/program, where appropriate. NB: THE FINANCIAL MANAGEMENT ASPECTS OF THIS CRITERION ARE COVERED IN CRITERION E. <i>This criterion seeks to understand the role played by the Australian Agency throughout the project cycle, and to establish that it exercises appropriate influence and control to add value to the development process and manage risk. The Australian Agency must be able to demonstrate that it undertakes project appraisal for all Commonwealth supported activities and complies with AusAID guidelines on terrorism and child protection. The Australian Agency must have ongoing input to and influence on the project/program, and exercise decision-making power for project/program management where appropriate.</i>	Agency can influence/intervene at any stage of the project cycle. Documented risk management strategy for overseas operations including staff health and safety in areas of political and economic instability/insecurity. Documented risk management strategies for potential negative impacts of project activities on beneficiaries. Procedures to prevent funds going directly or indirectly to individuals or organisations associated with terrorism; and to ensure that no support is given to any individual with any conviction under the Crimes (Child Sex Tourism) Amendment Act.	partners. Evidence of qualitative judgement on monitoring reports. Agency policies on risk management. Minutes of meeting where decisions on project management are made. Evidence that the strategies identified in the Counter Terrorism Policy are being followed, and specifically incorporated in a risk management strategy. Evidence that the DFAT and Attorney-General's National Security websites are checked and considered regularly. Written agreements with implementing partners covering counter-terrorism and child sex tourism obligations, including immediate notification if required. Evidence of appropriate checks in relation to employment/contracting of individuals. Evidence of application of AusAID's Guiding Principles for the environment.	
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<u>For Global Programs:</u> The Australian Agency can demonstrate its involvement in the program management cycle as part of the agreed framework for global programs. The Australian Agency, while not needing to be an active participant at all points of the cycle, can demonstrate the capacity to intervene where its interests dictate, and can provide examples of where it has participated in the management of global programs.	<u>For Global Programs:</u> The Australian Agency can demonstrate engagement in some or all of: setting the strategic direction of the programs, participating in program design, corresponding with the implementing bodies, reviewing and approving annual budgets/reports, receiving monitoring and evaluation reports and participating in overall program reviews. The Australian Agency can demonstrate its role in the decision to annually approve global programs and their budget, at least as it relates to its own participation in the programs. The Australian Agency can demonstrate access and power in the decisions that set the context for the programs (e.g. strategy, methodology, policies, frameworks) at governance and management levels. The Australian Agency's ability to influence global programs that it supports is outlined and documented in the agreements with international partners, alliances or affiliates.	<u>For Global Programs:</u> Minutes of meetings demonstrating engagement with international partners, alliances or affiliates. Program strategies or proposals including budgets, including evidence of annual approval of these proposals. Evidence of information flow from international partners, alliances or affiliates about the global program activities. Global management documentation, which could include program strategic frameworks, policies, monitoring and evaluation plans, reporting requirements, processes and procedures.	
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B4 Agency can monitor, report and rate effectiveness of activities.	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID A transparent and verifiable system is used by the Australian NGO to assess the	Quality of reporting (refer to AusAID data check sheet) Evidence in project documentation of application of system (eg trip reports,	

<i>This criterion seeks to understand the monitoring, reporting and evaluation systems used by the Australian Agency and its partners, and their capacity to assess the outcomes and impact of development activities.</i>	impact of the Agency's development activities. Evidence of qualitative judgement in monitoring reports Common understanding in Australian Agency and partners of the Quality Rating System (grades 1-5). Ability to distinguish between monitoring, review and evaluation.	monitoring reports etc). Evidence of project monitoring and evaluation reports for the assessment of activities, including global programs. Evidence of dialogue/communication with implementing partner about shared system for quality rating. Documented evidence of other forms of monitoring. Evidence of sufficient dialogue, communication or involvement in project, to effectively monitor and evaluate. eg minutes of meetings Policy, guidelines or documented practice which demonstrates a clear distinction between monitoring and evaluation. Analysis of programs includes evaluation of outcomes and impacts, as well as activities and outputs.	
	<i>For Global Programs:</i> The Australian Agency can demonstrate that it has contact, discussion and influence with the implementing bodies that have been charged collectively with the monitoring of global programs. Where the Australian Agency does not directly monitor program/project implementation, the delegation of this responsibility is clearly articulated in	<i>For Global Programs:</i> Documented arrangements for monitoring, reporting and evaluating in the form of MOUs, contracts or partnership agreements. Global management documentation – could include	

	agreements between the Australian Agency and its international partners, alliances or affiliates. The Australian Agency must demonstrate that it has sufficient information to enable it to make informed decisions about the allocation and appropriate use of funds by the implementing bodies of global programs that it supports.	strategic program frameworks, policies, monitoring and evaluation criteria, reporting standards, processes and procedures.	
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B5 Agency has systems for continuous improvement of its management and operations. <i>This criterion seeks to understand the Agency's commitment to continuous improvement and its capacity to reflect on its management and operations and incorporate lessons learned.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Existence of strategic plan or planning process, its application and its regular review. Existence of a system to review and apply lessons learned including in staff development and training, project management, partnerships, fundraising, HR etc. Agency conducts evaluations of project/program, operations and management systems. Agency has responded to recommendations in last Accreditation Review. Articulation of how Agency identifies and records development outcomes. Evidence of incremental changes over the five years since last Accreditation.	Strategic plan, action plans, review meeting minutes. Evidence of discussions at all levels of Agency. Documented communication with partners regarding evaluations and incorporation of lessons learned. Outline of staff training activities over previous years. Evaluation reports and evidence that findings/recommendations have been addressed.	

C. APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
C1 Agency has documented partnerships with organisations in countries where it works. NB: Affiliation with international agencies alone does not fulfill this criterion. Australian Agency must be able to undertake its own monitoring, receive reports direct from the field and be able to influence project outcomes, if necessary. Partnerships with Government departments or international organisations are not necessarily excluded. <i>This criterion focuses on the documented, contractual framework in place to manage partnerships and projects/programs. It seeks to establish that the Agency has formal arrangements with partners which cover all aspects of the Head Agreement with AusAID and that these arrangements are understood and accepted by partners.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID For AusAID funded activities the Agency must have documented arrangements with delivery organisations covering all aspects of the Head Agreement with AusAID. Agency must demonstrate that it maintains contact with local or national <i>in-country</i> organisations. Agreements have specific clauses detailing program funding budgets and proposed use of funds. Agreements have specific clauses stating that all funding offices contributing to program activities have access to detailed budgets and the proposed use of funds. Documented roles and responsibilities of country offices and international partners, alliances or affiliates.	Documented arrangements eg. MOUs, contract or formal partnership agreement with partners, international partners, alliances or affiliates, which include proposed budget and use of funds. Evidence of partners' understanding and acceptance of documented arrangements, ie. communication about content and application of agreement. Evidence on file acknowledging and addressing the strengths and weaknesses of each partner and setting out key roles and responsibilities and evidence that these roles and responsibilities have been fulfilled. Detailed program funding agreement proforma and/or guidelines. Procedural arrangements for maintaining the relationship. Record of discussions with delivery organisations, exchanges of letters or formal contracts. Minutes of meetings with international partners, alliances or affiliates.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
C2 Agency has assessed its own capacity and the capacity of its partner organisation to deliver and develop projects/programs appropriate for that capacity. NB: this criterion does not require agencies to limit their partnerships to agencies of any specified capacity. <i>This criterion seeks to establish that the Agency takes a systematic approach to assessing its own capacity and the capacity of its partners and that projects/programs are designed and implemented relative to this capacity, or that capacity is strengthened if needed.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID The Agency has system/systems for evaluating the capacity of its partners. Agency has system/systems to assess its own capacity on an ongoing basis. Agency can demonstrate that it bases its design/ implementation on its own and its partner's capacity.	Guidelines/list of characteristics that Agency seeks in a partner. Completed checklist identifying capacity of Delivery Organisation for management and financial control. Policies or documented practice relating to partnership development. Evidence of an internal assessment such as annual review of own capacity, or minutes of own strategic planning. Evidence of occasion where decision was made <i>not</i> to pursue a particular activity with a particular partner as partner judged to have insufficient capacity (minutes, correspondence to and from field, appraisal reports, etc). Evidence of occasion where decision was made to fund a particular partner and provide additional capacity building to address areas of partner weakness. Details of institutional strengthening activities undertaken with partners. Development of an agreement which reflects results of	

		assessments and allocates roles and responsibilities of Agency and their partner according to capabilities.	
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
C3 Agency's partnerships with organisations in countries where it works, and its partners' relationships with beneficiaries, are effective and consistent with good development practice. <i>This criterion seeks to understand the nature and tone of partnerships and relationships between the Australian Agency and partners and between partners and beneficiaries. It seeks evidence, that partnerships reflect good development practice ie. equality, mutual respect and learning, self reliance, transparency, etc.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Evidence of a relationship which reflects equality, mutual respect, mutual learning and capacity building, honesty, transparency, self reliance. Evidence that similar principles are reflected in the relationship between the partners and beneficiaries. Opportunities for mutual influence on programs.	Documentation showing the quality of the partnership between the Australian Agency and its in-country partner. Documented examples of communications between Agency and partner, eg. emails, letters reflecting the nature of the relationship and role played by the Agency. Documented evidence of the relationship between the partner and beneficiaries, or partners' policies on this, eg policy/guidelines, promotional material, copy of communication between partner and beneficiaries, copies of monitoring reports. Evidence of exchange of views and information regarding the project and other activities, which reflect the partnership, eg. exchange visits of key personnel, joint advocacy campaigns, volunteer placement, etc. International network policies describing the role/nature of	

		involvement of National Offices, where Agency is part of an international network, alliance or affiliate.	
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D. LINKAGES WITH THE AUSTRALIAN COMMUNITY

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
D1 Agency is clearly identifiable as Australian and can demonstrate responsive interaction with an Australian community base. <i>This criterion seeks to understand: how the Agency approaches the issue of Australian identity in projects/programs and promotions; how the Agency recognises/acknowledges the source of contributions to the projects it supports; the nature and level of the Agency's community support; and how the Agency involves, and responds to, its Australian constituency.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Agency has procedures in place to achieve Australian identity in its activities. Delivery organisation, in-country staff and recipients are aware of the Australian source of funding. Australian identity sought in documented arrangements. Agency has procedures and practice which enable any supporter, upon request, to have free access to, and to make copies of, decisions of the Governing Body or any office holder of the Agency (subject to any legal constraints). Agency has mechanisms for the community base to raise issues and evidence that those mechanisms are known. Agency actively involves its constituency in its various activities. Agency is able to clearly communicate the	'Australia' in title of organisation. Copies of communications with in-country staff and partners acknowledging Australian identity. Photos of promotion of Australian identity in the field, eg. signage. Evidence of access to copies of Board minutes, AGM minutes by supporters. (policy for gaining access; copies of requests from supporters) Evidence of Agency response to requests for information from supporters. Evidence that Agency encourages new supporters. Evidence of publications or electronic information that clearly communicates the respective roles and achievements of the Australia Agency and international partners, alliances or affiliates.	

	respective roles and achievements of the Australian Agency and those of its international partners, alliances or affiliates in its communication material, such as publications and information published electronically. Agency has agreed guidelines with its international partners, alliances or affiliates as to appropriate reporting in organisational promotional materials, i.e. attribution.	Program approval documentation, either with bilateral partners or international partners, alliances or affiliates.	
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
D2 Agency and its partners provide accurate information about the organisation, its objectives and activities in its public presentations, in a manner that respects the dignity of recipient communities. NB: Promotional material clearly differentiates between activities of Australian Agency and that of overseas partners. <i>This criterion seeks to ensure that promotional material respects the dignity, values, history, religion and culture of people, consistent with principles of basic human rights and ACFID Code of Conduct. It also seeks to find consistency between project</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Consistency between project activity and promotional material. Publicity material of both the Australian Agency and its partners shows due respect to the dignity, values, history, religion and culture of the people with whom it works, consistent with principles of basic human rights and ACFID Code of Conduct. Agreed guidelines with international partners, alliances or affiliates as to appropriate reporting in organisational promotional materials, i.e. attribution.	Annual Report. Comparison of project reports and promotional material. Examples of promotional and educational documentation of both the Australian Agency and its partners. Monitoring reports which comment on partners' development philosophy and practices. Program approval documentation, either with bilateral partners or international partners, alliances or affiliates.	

activity and promotional material, and a clear differentiation between the Australian Agency and its overseas partner.			
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
D3 Agency deploys and maintains Australian community support for its development projects/programs, through financial support and in-kind and/or voluntary contributions. <i>This criterion seeks to understand how the Agency utilises resources for development projects/programs and how it maintains its community support (funds, in-kind and volunteer) for development activities.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Staff/volunteer time and other resources spent on development activities. Fundraising and promotional initiatives. Strategic or planning process which includes ongoing fundraising and promotional initiatives. Staff and/or volunteer time devoted to promotional, fundraising and development education activities. Policy covering utilisation of Volunteers.	Staff/volunteers engaged in and/or responsible for development activities. Agency Strategic Plan or other evidence of strategic thinking and its application. Examples of successful and planned fundraising initiatives. Promotional staff and/or use of consultants for fundraising. Promotional materials and media policies. Evidence of discussions at Board/staff meetings regarding ideas for promotional activities. Evidence of work-in-progress on promotional activities. Staff or volunteer diaries/logbooks relating to promotional, fundraising and development education activities. Documented record of volunteer involvement.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
D4 Agency has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues. <i>This criterion seeks evidence of the Agency's plan and efforts to promote community awareness of development issues, in addition to the Agency's own promotion. It also seeks to understand the nature of the Agency's engagement with its constituency about development issues.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Evidence of promotion of constituency involvement, eg. organisational arrangements which provide opportunities for supporters to contribute to Agency discussion. Agency efforts to promote community awareness of development issues in addition to the Agency's own promotion. Evidence of awareness-raising initiatives and engagement with constituency on issues.	Formal documented strategy reviewed and approved by Governing Body. Copies of newsletters and brochures which include information on development issues and are focussed on awareness-raising. Evidence of involvement in multi-agency programs, eg. Children at War. Study tours; campaigns; public seminars; school visits; talks to church groups; use of media, eg. radio interview. Evidence of advice provided to supporters/donors through publications/correspondence/campaign materials, etc on taking further action on issues of concern, eg. letter writing campaigns.	

E FINANCIAL SYSTEMS & RISK MANAGEMENT

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E1 Agency has effective management, administration and financial systems for accounting for funding. <i>This criterion seeks evidence of satisfactory application of policies, systems and processes for accounting for funding.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Documented policies, systems and processes for accounting for funding including for: • establishment of budgets, their basis and authorisation • project ledgers of accounting • procurement of goods and services • cash management and allocation of interest income • progress reporting • exchange rate gain and loss • acquittal consolidation and reporting • handling unspent funds • activity management • asset management • authorisation by agency and confirmation from partner for overseas transfers of funds Audited financial statements complying with the various accounting standards, Urgent Issues committee's pronouncements and ACFID requirements. Financial systems controlling general ledger and project ledgers: • audit trails in place	Files showing evidence of satisfactory application of policies, systems and processes for accounting for funding. Contracts with partners. Balance sheet (assets, liabilities and equity) and profit and loss (revenue, expenditure and surplus) statements. Filing systems. Table of contents of Operations Manual and inspection of specific extracts. Examination of project files and discrete ledger accounts. Audit management letters and responses.	

	• supporting documentation referenced • project status reports		
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E2 Agency and its overseas partners and its international affiliates have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations. <i>This criterion seeks to understand how the Agency regularly assesses, monitors and strengthens the financial systems and capacity of itself, its partners and affiliates. It also wants to see what documented agreements are in place with delivery organisations and International Affiliates for the management and accountability of funds.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Documented agreements with delivery organisations for the management and accountability of funds. Evidence of regular assessment of financial systems and overall financial capacity of overseas partner agencies and international affiliates. Evidence of partners' and international affiliates' policies and procedures for accounting for funding. Receives audited financial statements from delivery organisations. Receives audited project acquittals from delivery organisations. Receives copies of independent audits by international partners, alliances or affiliates.	Documented arrangements such as contracts, MOUs, formal partnership agreements or other relevant documentation identifying capacities and roles of each overseas partner agency in financial operations. Documentation on assessment of the financial management capacity of the partners/implementing bodies for global programs. Correspondence regarding program implementation and risk issues Example of finance-related institutional strengthening of delivery organisation. Demonstrated compliance with financial procedures of international network, if appropriate. Method for calculating exchange rate variations and interest earned. Examination of a sample of audit reports, if available, from	

		international partners, alliances or affiliates. Evidence that audit reports, financial statements, program reports and evaluations are passed to international partners, alliances or affiliates, if applicable. At least one full-time or 2 part-time equivalent staff member/s dedicated to development outcomes.	
	<i>For Global Programs:</i> Evidence that the Australian Agency receives regular financial statements, program reports and evaluations, and is able to make 'course corrections' in consultation with its international partners, alliances or affiliates, as necessary. Evidence that the Australian Agency can request an independent audit of the implementing bodies for global programs, in association with its international partners, alliances or affiliates, and has the right to withhold funds from the global programs or parts of programs if warranted.	<i>For Global Programs:</i> Documentation on assessment of the financial management capacity of the partners/implementing bodies for global programs. Evidence that audit reports, financial statements, program reports and evaluations are passed to international partners, alliances or affiliates, if applicable.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E3 Agency utilises systems to assess and manage financial risk which is appropriate to the level of expenditure. NB: This includes risk related to expenditure through partner organisations. <i>This criterion seeks evidence of application of a financial risk management strategy and/or financial risk management practices of Agency and partner.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Documented financial risk management strategy and practices. Documented financial monitoring of project expenditure by partner. Frequency of financial systems assessments. Evidence that Agency has implemented recommendations arising from audit reports. Evidence of financial systems improvement by Agency. Authorisation levels for senior personnel including cheque signatory. Foreign currency exchange policy for limiting rate movement exposure. Insurance policies, eg. public liability.	Evidence of application of financial risk management strategy and practices. Evidence of partner reporting requirements, and evidence of receipt of financial statements, reports and evaluations. Financial monitoring checklists prepared and completed by Agency. Agency status reports tracking key financial data and reporting schedules. Independently audited financial statements. Computer system access controls. Monitoring system to detect any fraudulent use of funds. Documented responsibility of officers and delegations.	
	<u>For Global Programs:</u> The Australian Agency receives reports on its global programs, and has access to financial statements, audit reports, evaluations and performance data. The Australian Agency has access and influence within the agreed management	<u>For Global Programs:</u> Evidence of partner reporting requirements, and evidence of receipt of financial statements, reports and evaluations. Documented responsibility of officers and delegations.	

	structures that control these programs.		
CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E4 Agency can raise contributions (a minimum \$75,000 RDE averaged over three years) from the Australian community in support of development activities. NB: RDE benchmarks relate to the previous financial year. <i>This criterion seeks to verify that the Agency: can raise its own funds from the community for development activities; differentiates funds for development, religious, welfare and partisan political activities in RDE calculations; and is not dependent on AusAID for staff salaries. One full time equivalent salary of a person (or two half time persons) fully engaged on overseas aid work should be paid for from the Agency's own funds.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID Comparison of dollars raised from Australian community for overseas development activities, with dollars deployed for overseas development activities (including those for development education, but distinct from those raised for non-development activities and for welfare, evangelistic and partisan political activities). Value of services and goods in-kind donations, recorded within the Agency's financial statements. Amount of time donated by volunteers either in Australia or overseas, recorded in the Agency's financial statements. Compliance with the ACFID Code of Conduct Summary Financial Report template.	Examination of RDE calculations and audited financial statements to demonstrate application of appropriate differentiation between development activities and welfare, evangelism and partisan politics. Working papers for calculation of RDE, compliance with RDE worksheet and RDE returns over the last three years. Financial records of income and disbursement against specific projects/programs, and reconciliations with the general ledger. Method for documenting and recording value of services and in-kind donations, and volunteer time. Maintenance of timesheet records. Expenditure allocated as per ACFID definitions. Administration expenditure records.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E5 Agency complies with Australian legislation pertaining to fundraising and tax deductibility. <i>This criterion seeks to establish if the Agency is registered for fundraising purposes as a charitable/benevolent institution and has tax deductibility status if claimed publicly.</i>	NB. INDICATORS ARE APPLIED COMMENSURATE WITH THE SIZE OF THE RISK TO AUSAID It is registered for fund raising purposes as a charitable/benevolent institution, except where a legal exemption can be shown. Agency has tax deductibility status, if it claims it publicly, for an international project fund.	Letter with date of registration as charity/public benevolent institution. Letter or other legal document showing exemption. Letter or gazette notice from Taxation Department and/or AusAID list. Agency promotional material claiming tax deductibility. ABN database search.	

For NGOs who intend to use Government funds in Family Planning/Reproductive Health activities

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
F1 Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.	Relevant written policies and procedures	Staff with relevant experience in Family Planning projects (eg CVs of staff involved).	
F2 Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.	Documented evidence of application of relevant policies and procedures throughout the project cycle where applicable.	Successful completion of FP interim accreditation process ie through the successful completion of a short report to AusAID detailing how Family Planning Guiding Principles are applied in project design and implementation.	
	<u>For Global Programs:</u> Agreed guidelines with international partners, alliances or affiliates consistent with Australian Government policy on Family Planning/Reproductive Health Issues.	<u>For Global Programs:</u> Documented guidelines on Family Planning/Reproductive Health Issues.	
F3 Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirements.	Documented evidence that relevant issues have been addressed in the planning and implementation of family planning related activities. Interim reporting if needed (for problems experienced etc).	Documentation showing that relevant issues have been discussed with AusAID.	

AusAID NGO Accreditation Criteria Worksheet – Base

Name of agency	
Current accreditation status	
Status requested	
Nature of this assessment	
Date of assessment	
Review team members	
Worksheet compiled by	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
A AGENCY IDENTITY AND STRUCTURE			
A1 ANGO is voluntary, not-for-profit and non-government. <i>This criterion seeks to establish that the ANGO's Governing Body and membership do not profit from the ANGO's assets, that members are not remunerated for their services on the Governing Body, and that the ANGO's Governing Body is independent of government. These operating principles are ideally documented in the ANGO's governing documents.</i>	VOLUNTARY: Governing Body is drawn from the organisation's constituency and members are not remunerated for their services on the Governing Body. NOT-FOR-PROFIT: Funds should be applied solely to the achievement of the Objects. Surplus funds cannot be distributed to members/shareholders. NON-GOVERNMENT: Not formally part of any Government funded institution or department. Its governance is independent from any Government institution with which it is affiliated. No Government institution or department can appoint the majority of the Board.	Clause in Constitution, Memorandum Articles of Association or Trust Deed. Clause in Constitution, or Memorandum and Articles which specifically indicates that surplus funds cannot be distributed to members/shareholders. Clause on winding up of organisation. Policy on election or appointment of members to the Governing Body.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
A2 ANGO is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters. NB. No specific number of members is required to meet this criterion. <i>This criterion seeks to understand the legal structure of the ANGO and the functions and accountability of its Governing Body. The process by which the Governing Body is elected or appointed should be transparent, and the ANGO should be governed in an accountable fashion. These operating imperatives should be documented in the ANGO's governing instrument. Where an ANGO is part of an international network, this criterion seeks to establish the level of the Australian ANGO's independence, and accountability to its Australian membership or constituency.</i>	Legal structure could vary from: an Incorporated Association to a Company Limited by Guarantee or it may operate under a Trust Deed from a legally recognised entity; or be constituted under an Act of Parliament etc. Record of responsibilities of the Governing Body and its members. There must be a clear separation of duties between Board, management and staff functions. The relationship between the Governing Body and Management could vary from: a total and formal separation; to a structure with some duplication of roles in very small agencies. At a minimum there should be documented decision making procedures and role descriptions with delineation of responsibilities between governance, management and staff or volunteers. Where multiple family members are involved there must be clear delineation of roles, role descriptions and decision making procedures. The Objectives outlined in the Constitution, Articles, Trust Deed or Strategic Plan approved by the Governing Body specifically includes reference to development/aid activities in developing countries. Evidence of accountability checks and balances.	Certificate of Incorporation, Constitution, Memorandum and Articles of Association, Trust Deed or Appropriate Act of Parliament, ACN, ABN, or IA number. List of Governing Body members and office holders with names, occupations, and length of service. Clauses in Constitution outlining election or appointment process of governing body and office holders. Clauses in Constitution outlining the roles of office holders. If multiple family members involved must have clear job descriptions and decision making procedures with examples of how this has been applied in a transparent and accountable manner. ie no two family members should be bank signatories or be solely responsible for decision making. Minutes of Governing Body meetings demonstrating decision making processes and member involvement.	

	ANGO has procedures to reply to specific requests from its constituency regarding decisions of the Governing Body, and to manage Conflict of Interest consistent with the ACFID Code of Conduct. Mechanisms for members to raise issues at governing body level and evidence that ANGO has made those mechanisms known.	Minutes of AGM, copy of audited financial statements, Annual Report. Clause in Constitution or specific policy to deal with conflict of interest. Evidence such as meeting minutes that appropriate procedures have been followed if conflict of interest has arisen	
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
A3 ANGO has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations. <i>This criterion seeks to establish that the ANGO is committed to and is operating within current, good practice, sector guidelines.</i>	Ratification of the Code by the Board. Staff and governing body members are familiar with the Code of Conduct.	Date of formal adoption/ ratification by the Board. Minutes of relevant governing body meeting. Discussions with governing body members and staff Notification from ACFID that ANGO is a compliant signatory to the ACFID Code of Conduct.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES			
B1 ANGO has a demonstrated record of undertaking aid projects consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development. <i>This criterion seeks to establish that the ANGO has implemented activities over at least the last two years which have achieved demonstrable development outcomes. The ANGO must demonstrate that it understands the objectives of the Australian Aid Program, in particular poverty alleviation and sustainable development, and demonstrate similar objectives in their projects.</i>	Understanding by staff of the objectives of the Australian aid program. Demonstrated track record over two years of successfully managing activities or projects, which have achieved demonstrable development outcomes. This may include experience in managing own funding or AusAID funds. Demonstrated understanding and application of the project cycle.	Discussion with staff demonstrating familiarity with AusAID, its objectives and its procedures. Examples of project proposals, designs and budgets. Analysis of project files such as progress reports, monitoring reports, project completion reports and evaluation reports. Discussions with staff and evidence in project files that project management has involved the various stages of the project cycle such as needs analysis, project design, monitoring and evaluation and that the ANGO contributes in some way to these processes.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B2 ANGO has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of: a) Development and Welfare b) Development and Evangelism c) Development and Partisan Politics. <i>This criterion seeks to understand the ANGO's development philosophies and practices. It seeks to establish that the ANGO understands AusAID's development principles and gives due consideration to cross-cutting issues such as gender, environment and human rights. It seeks to confirm that designated development funds, i.e. all funds included in RDE calculations, are used specifically for development outcomes and not for evangelical, welfare or partisan political purposes.</i>	ANGO's development philosophies and practices show an awareness of current development practice including cross cutting issues such as gender, environment and human rights. ANGO applies AusAID's Guiding Principles for the Environment and other AusAID policies as appropriate. Where an ANGO engages in welfare, evangelistic or partisan political activities, it is able to differentiate these from its development activities in a philosophical and operational sense. This must include the delineation of funds raised and expended.	Mission, Vision and Objectives of the ANGO and objectives of its projects. Discussions with staff demonstrating familiarity with current development practice, relevant tertiary study by staff, involvement with ACFID networks and trainings etc. Evidence of consideration of cross cutting issues such as gender, environment, human rights. Application of crosscutting policies in partner agreements, project documentation and publications. Discussion with staff. Policies or guidelines, approved by the Governing Body that indicate how the ANGO differentiates between development and welfare, evangelism partisan politics. Examples of communications between the ANGO and its constituency discussing or confirming its practices in relation to welfare, evangelism or partisan politics.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B3 The ANGO has the capacity to deliver its project objectives in a way that meets its contractual obligations to AusAID. <i>This criterion seeks to understand the role of the ANGO throughout the project cycle to establish that it exercises adequate influence and control with its organisations and implementing partners to:</i> i) <i>add value to the development process and</i> ii) <i>Manage risk.</i> NB: FINANCIAL MANAGEMENT IS COVERED IN CRITERION E.	Evidence that ANGO has the capacity to add value to the development process. ANGO appraises all activities against good development standards. ANGO has the capacity to assess and manage risk. Agency can influence/intervene at any stage of the project cycle. ANGO can demonstrate compliance with AusAID guidelines on terrorism and child protection.	Appropriate staffing level relative to the size of the ANGO's development program. Agreements/MOUs with partners outlining the ANGO's role in projects. Examples of ANGO involvement in projects as documented in emails, progress reports or monitoring reports. Evidence of regular information flow between implementing partner and ANGO. Project files demonstrating ongoing communication between the field and ANGO. Evidence of analysis and judgement by the ANGO in monitoring reports. Documented partnership arrangements with implementing partners reflective of ANGO's contractual obligations to AusAID ie the Head Agreement. ANGO policies or documented practice such as risk management framework. Minutes of meeting where decisions on project	

		management are made. Written policies and clauses in partnership agreements covering counter-terrorism and child protection obligations, including immediate notification if required. Evidence that the strategies identified in the Counter Terrorism Policy are being followed. Evidence that the DFAT and Attorney-General's National Security websites are checked and considered regularly. Evidence of appropriate checks in relation to employment/contracting of individuals.	
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B4 ANGO can monitor, report and rate effectiveness of activities. <i>This criterion seeks to understand the monitoring, reporting and evaluation systems used by the ANGO and its partners.</i>	Regular monitoring of activities is undertaken. Where the ANGO has delegated responsibility for field visits to another body, the ANGO can demonstrate its ability to assess the progress of the activities in the absence of such visits. The ANGO analyses project information to assess progress or constraints. A system is in place which produces informative and timely reports between the implementing partner, the ANGO and AusAID. Ability to distinguish between monitoring and evaluation ANGO is conducting evaluations of activities.	Monitoring and reporting guidelines in ANGO operating manual. These guidelines are reflected in project agreements with implementing partners. Evidence in project files of consistent application of monitoring guidelines, e.g. progress reports, field trip reports, monitoring reports, Documented evidence of other avenues of monitoring such as records of communication with implementing partners via email or phone. Analysis by ANGO of project progress including some assessment of activities at the outcome level. Review of monitoring reports on file. Discussion with staff. Evaluation guidelines in ANGO operations manual. Schedule for future evaluations of projects. Review of available evaluation reports.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
B5 ANGO has systems for continuous improvement of its management and operations. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES			

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
C. APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION			
C1 ANGO has documented arrangements with implementing partners in countries where it works and/or with global partner's networks or affiliates as appropriate. <i>This criterion focuses on the documented, contractual framework in place to manage partnerships and projects. It seeks to establish that the ANGO has formal arrangements with partners which cover all aspects of the Head Agreement contract with AusAID and that these arrangements are understood and accepted by partners.</i>	ANGO must have documented arrangements with implementing organisations covering all aspects of the Head Agreement contract with AusAID. ANGO must demonstrate that it maintains contact with local or national <i>in-country</i> organisations.	Documented arrangements e.g. MOUs, contract or formal partnership agreement with partners, international partners, alliances or affiliates, which include proposed budget and use of funds. Evidence of partners' understanding and acceptance of documented arrangements, i.e. communication about content and application of agreement. Procedural guidelines in ANGO's operations manual for managing the relationship. Minutes of meetings with international partners, alliances or affiliates.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
C2 ANGO has assessed its own capacity and the capacity of its partner organisation to develop and implement projects. <i>This criterion seeks to establish that the ANGO assesses its own capacity and the capacity of its partners and that projects/programs are designed and implemented relative to this capacity, or alternatively that capacity is strengthened if needed.</i> NB: this criterion does not require agencies to limit their partnerships to agencies of any specified capacity.	ANGO has a process to assess its own capacity on an ongoing basis. The ANGO has a process to assess the capacity of its implementing partners. ANGO can demonstrate that it bases its project design and implementation on its own and its partner's capacity.	Evidence of internal organisational assessment such as a report from an review of the ANGO's own capacity, minutes of planning meetings. Guidelines in operations manual to assess capacity of implementing partner such as a checklist or guiding principles. Completed checklist or another form of documentation such as a file note or minutes of meeting, describing the capacity of implementing partners. Evidence such as minutes of meetings, correspondence to and from field, appraisal reports,etc, where a decision was made <i>not</i> to pursue a particular activity with a particular partner as partner judged to have insufficient capacity or because the ANGO did not have the capacity. Evidence where decision was made to fund partner and provide capacity building to address areas of capacity weakness. Details of capacity building activities undertaken with partners.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
C3 ANGO's partnerships are consistent with good development practice. <i>This criterion seeks to understand the nature and tone of partnerships and relationships between the ANGO and partners and between partners and beneficiaries. It seeks evidence that partnerships reflect good development practice ie. equality, mutual respect and learning, self reliance, transparency, etc.</i>	Evidence of a relationship which is characterised by equality, mutual respect, mutual learning, capacity building, honesty, transparency and self reliance. Opportunities for mutual influence by the ANGO and the implementing partners on projects.	Discussions with staff. Documented examples of communications such as emails, letters, field trip reports and meeting minutes, showing the nature of the partnership and respective roles of the ANGO and the implementing partner.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
LINKAGES WITH THE AUSTRALIAN COMMUNITY			
D1 ANGO is clearly identifiable as Australian and can demonstrate interaction with an Australian community base. <i>This criterion seeks to understand: how the ANGO ensures Australian identity in its projects and promotions; how the ANGO acknowledges the source of contributions to the projects it supports and how the ANGO</i>	ANGO has procedures in place to achieve an appropriate level of Australian identity in its activities in the field. Australian identity of the ANGO is clear to its supporters and donors. International parent organisations and/or implementing partners and recipients are aware of the Australian source of funding. Australian community base is well informed of ANGOS activities and able to communicate with the ANGO to raise	'Australia' in title of organisation. Australian identity of the ANGO is made clear to supporters and donors in newsletters, appeal letters, etc. Copies of communications with implementing partners acknowledging Australian support and identity. Newsletters and other promotional material or	

<i>engages with its Australian constituency.</i>	issues or concerns.	communications with constituency. Evidence of access by supporters to copies of governing body decisions, AGM minutes etc. Evidence, such as emails or letters, of ANGO response to requests for information from supporters or discussion about their concerns. Evidence such as newsletters or promotional material that ANGO encourages new supporters.	
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CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
D2 ANGO provides accurate information about the organisation, its objectives and its activities in its public presentations, in a manner that respects the dignity of recipient communities. <i>This criterion seeks to ensure that promotional material respects the dignity, values, history, religion and culture of people, consistent with the ACFID Code of Conduct. It seeks to find consistency between projects and promotional material, and a clear differentiation between the ANGO and its implementing partners.</i>	Consistency between project activity and promotional material. Publicity materials of the ANGO show due respect to the dignity, values, history, religion and culture of the people with whom it works, consistent with the ACFID Code of Conduct.	Comparison of project reports and Annual Report and promotional material such as newsletters. Examples of promotional and educational documentation of the ANGO.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
D3 ANGO maintains Australian community support for its development projects through financial, in-kind and/or voluntary contributions. <i>This criterion seeks to understand how the ANGO maintains its community support (monetary, in-kind and volunteer) for development activities.</i>	Contribution of volunteers to ANGO's work. Staff and/or volunteer time devoted to promotional, fundraising and development education activities. Ongoing fundraising and promotional initiatives.	Diaries, logbooks or similar system for recording volunteer contributions. Policy covering utilisation of volunteers. Record of a planning process which includes ongoing fundraising and promotional initiatives. Examples of successful and planned fundraising initiatives. Promotional materials such as newsletters or events brochures.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
D4 ANGO has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues THIS CRITERION NOT APPLICABLE TO BASE AGENCIES			

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
FINANCIAL SYSTEMS AND RISK MANAGEMENT			
E1 ANGO has effective management, administration and financial systems for accounting for funding, including systems to ensure the presence and implementation of adequate controls in partner organisations' accounting and management systems. <i>This criterion seeks evidence of satisfactory application of policies, systems and processes for accounting for funding by the ANGO in Australia and by its partners/implementing organisations in the field.</i>	Documented policies, systems and processes for accounting for funding including for: • establishment of budgets, their basis and authorisation • project ledgers of accounting • procurement of goods and services • cash management and allocation of interest income • progress reporting • exchange rate gain and loss • acquittal consolidation and reporting • handling unspent funds • activity management • asset management • authorisation by ANGO and confirmation from partner for overseas transfers of funds Audited financial statements complying with the various accounting standards, Urgent Issues committee's pronouncements and ACFID requirements. Financial systems controlling general ledger and project ledgers: • audit trails in place • supporting documentation referenced • project status report	Files showing evidence of satisfactory application of policies, systems and processes for accounting for funding. Balance sheet (assets, liabilities and equity) and profit and loss (revenue, expenditure and surplus) statements. Table of contents of Operations Manual and inspection of specific extracts. Examination of project files and discrete ledger accounts. Audit management letters and responses. Agreements/EOL with partners. Partners' policies and procedures for accounting for funding. Partnership agreement or other relevant documentation identifying capacities and roles of each overseas partner agency in financial operations. Project acquittals from partners/delivery organisations. Verify currency conversion	

	currency conversion rates for budget and actual expenditures Documented agreements with delivery organisations for the management and accountability of funds. Financial assessment undertaken during monitoring trips	practises of partners. Project files	
CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E2 ANGO and its overseas partners and its international affiliates have a capacity and commitment to undertake activities in a professionally competent manner, especially with regard to financial operations. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.			
E3 ANGO utilises systems to assess and manage financial risk which is appropriate to the level of expenditure. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.			

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E4 ANGO can raise contributions (a minimum \$50,000 RDE averaged over three years) from the Australian community in support of development activities. NB: RDE benchmarks relate to the previous financial year. <i>This criterion seeks to verify that the ANGO: can raise its own funds from the community for development activities; differentiates funds for development, religious, welfare and partisan political activities in RDE calculations; and is not dependent on AusAID for staff salaries. One full time equivalent salary of a person (or two half time persons) fully engaged on overseas aid work should be paid for from the ANGO's own funds.</i>	Comparison of dollars raised from Australian community for overseas development activities, with dollars deployed for overseas development activities (including those for development education, but distinct from those raised for non-development activities and for welfare, evangelistic and partisan political activities). Value of services and goods in-kind donations, recorded within the ANGO's financial statements. Amount of time donated by volunteers either in Australia or overseas, recorded in the ANGO's financial statements. Compliance with the ACFID Code of Conduct Summary Financial Report template.	Working papers for calculation of RDE. Examination of RDE calculations and audited financial statements to demonstrate application of appropriate differentiation between development activities and welfare, evangelism and partisan politics. Compliance with RDE worksheet. RDE returns over the last three years. Financial records of income and disbursement against specific projects/programs, and reconciliations with the general ledger. Method for documenting and recording value of services and in-kind donations, and volunteer time. Maintenance of timesheet records. Expenditure allocated as per ACFID definitions. Administration expenditure records.	

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
E5 ANGO complies with Australian legislation pertaining to fundraising and tax deductibility. <i>This criterion seeks to establish if the ANGO is registered for fundraising purposes as a charitable/benevolent institution and has tax deductibility status if claimed publicly.</i>	It is registered for fund raising purposes as a charitable/benevolent institution, except where a legal exemption can be shown. ANGO has tax deductibility status, if it claims it publicly, for an international project fund.	Letter with date of registration as charity/public benevolent institution. Letter or other legal document showing exemption. Letter or gazette notice from Taxation Department and/or AusAID list. ANGO promotional material claiming tax deductibility. ABN database search.	

For NGOs who intend to use Government funds in Family Planning/Reproductive Health activities

ADDITIONAL CRITERIA	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS	EVIDENCE OF HOW THE AGENCY ADDRESSES THE CRITERION
F1 Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.	Written policies and procedures which reflect AusAID's Guiding Principles	Policy ratified by the governing body, in ANGO's operations manual. Staff with relevant experience in Family Planning projects (eg CVs of staff involved). Copy of AusAID's Guiding Principles on file.	
F2 Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.	Documented evidence of application of relevant policies and procedures throughout the project cycle where applicable.	Operational procedures outlined in ANGOs operations manual. Discussions with Australian staff. Evidence from documented appraisal processes, progress reports, field monitoring reports and general communications to demonstrate how AusAID's Family Planning Guiding Principles are applied in project design and implementation.	
F3 Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirements.	Documented evidence that relevant issues have been addressed in the planning and implementation of family planning related activities. Interim reporting if needed (for problems experienced etc).	Documentation showing that relevant issues have been discussed with AusAID.	

ACCREDITATION REVIEW REPORT

Bingo Aid Projects

BINGO

**Report prepared for the AusAID/NGO
Committee for Development Cooperation**

AUSTRALIAN AGENCY FOR INTERNATIONAL DEVELOPMENT

Canberra

April 2004

PART A - Narrative Report

INTRODUCTION

Overview of accreditation process

BINGO Aid Projects hereafter referred to as (BINGO), currently holds Base Accreditation status with AusAID. This accreditation was granted in 1998 and BINGO is now applying for reaccreditation with AusAID at Base Level. To fulfil the requirements of Accreditation, BINGO has submitted an Agency Profile and undergone a Desk Assessment review (DA) and an Organisation Review (OR).

This report, commissioned by the Committee for Development Cooperation (CDC), is a summary of the Desk Assessment review (DA) and Organisational Review (OR) in consideration of the BINGO's application to AusAID for accreditation. The report is prepared by a three member Accreditation Review Team comprising two independent development consultants and a financial assessor contracted by AusAID. The report is based on the Desk Assessment of information contained in the Agency Profile and information analysed during the Organisational Review. The information is assessed against the agreed criteria for Accreditation outlined in the AusAID document AusAID/NGO Accreditation Criteria Table – Base (latest version)

Accreditation status is recommended by the Review Team. It is subject to the view and recommendation of the CDC. The final decision rests with the AusAID Delegate.

Accreditation Recommendation: BINGO be accredited as a Base Agency

OVERVIEW OF THE AGENCY

BINGO is a small organisation first established in 1987 with a specific focus on assisting a partner NGO in Mongolia to assist poor communities with a major focus on women and children. They currently work in four remote areas of Mongolia and have more than 23,000 women in self help groups and 135 well trained voluntary animators. It has a well-established track record and carries out quality work with a growing profile of appropriate and well conceived community based activities. It presents policies and philosophies not inconsistent with the Accreditation Criteria and is clearly an Australian organisation with a high degree of professional voluntary engagement.

A. AGENCY IDENTITY AND STRUCTURE

Criterion A1: Agency is voluntary, not-for-profit and non-government.

The constitution of BINGO clearly identifies that the society is not-for-profit, with no possibility of distribution of income to its members and proper disbursement of Association assets in the event of dissolution to a not for profit organisation with a similar mandate and objects to that of BINGO. There are no links to government, apart from those relationships entered into for the purposes of receiving government funding.

The documentation identifies high levels of volunteerism in the activities of the association. The committee of management is entirely voluntary, supported by one part time salaried administrator.

Recommendation: BINGO meets this Criterion

Criterion A2: Agency is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters.

BINGO was first established in 1987 and incorporated as the “Australian Aid organisation for BINGO Projects”. The current organisation underwent a new Incorporation (under the Associations Incorporation Act 1981) on 13th September 1995 as BINGO Aid Projects (Registration No: A00012345). It has endorsement as an income tax exempt charitable entity (ABN: 12 34 56 78 – July 31st 2002) and endorsement as a Deductible Gift Recipient 9.1.1 overseas aid fund, entity. It is registered for fundraising activities in Victoria (Registration # 1234) and registration is reviewed annually. BINGO’s fundraising activity is limited to their support groups in Victoria but they do receive the occasional unsolicited donations from other states.

The membership of BINGO consists of anyone who on an annual basis has:

1. made a donation in excess of five dollars, or
2. sponsors a children’s group or village under BINGO’s sponsorship program, or
3. paid the annual membership fee.

Life membership is granted to those who have donated at least \$1,000. Those wishing to support BINGO but not become a member may do so as a ‘subscriber’ but are not able to vote or serve on the Committee of Management (CoM). Current subscribers total 123 members.

BINGO’s constitution establishes a Committee of Management (CoM) which serves to control and manage all affairs of the association save for those reserved for the membership at the Annual General Meeting. The CoM membership is elected from within the Formal Membership of BINGO at each Annual General Meeting. CoM officers and members are elected, based on nomination by two members and a willingness to serve with due consideration to representation from at least five ‘regional groups’. The current CoM has sixteen members. The regional groups are informal networks of supporters living in various geographical areas of the state. They have been formed following visits to Australia by representatives from the Mongolia Program. They each have a regional representative elected by the members at the AGM. The election and roles of the officers (President, two Vice Presidents, Secretary and Treasurer) are defined in the constitution.

The CoM is responsible for:

- ✓ the formulation and approval of all development and management policies and oversees their implementation.
- ✓ the overall fundraising of the association
- ✓ recruitment, hiring and firing of staff
- ✓ budgeting and auditing
- ✓ regulatory compliance
- ✓ Annual reports
- ✓ ACFID Code of Conduct compliance.

In addition to the AGM, BINGO holds at least three CoM’s per annum. The constitution calls for the Secretary to keep minuted records of all proceedings and resolutions of each meeting. Documentation sighted at the OR confirms that the CoM actions are well

documented and presented. Even though the Constitution allows for emergency meetings of available members to take decisions between sessions of the CoM there has not yet been occasion to call an emergency meeting.

BINGO has an open policy towards its membership and the general public. All questions regarding CoM decisions are recorded and filed. Previously, the BINGO administrator (paid staff) had voting privileges on the CoM but has now had those privileges withdrawn to strengthen the governance process and minimise potential conflict of interest.

CoM members may be removed at an AGM where there is a majority vote to do so. No documentation was sighted with regard to how the Council monitors potential conflict of interest scenarios.

Members and supporters have clear access to question the CoM and/or influence their actions. A complaint file is kept and all such complaints are handled by the CoM Chair and/or the Administrator. The Manual of Operations has a conflict of interest policy and CoM members are well aware of and practise proper duty of care in declaring potential conflicting interests although such situations are rare.

Recommendation: BINGO meets this Criterion

Criterion A3: Agency has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations.

The minutes indicate that the Committee of Management formally adopted support for ACFID's Code of Conduct on March 22nd 1996. BINGO is listed as an ACFID member and a signatory to the code on ACFID's official website. ACFID has confirmed that BINGO is currently compliant with the Code of Conduct.

The agency's strategic plan for 2001- 5 states that the ACFID Code of Conduct forms one benchmark for the basis of their operations.

Recommendation: BINGO meets this Criterion

B. DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES

Criterion B1: Agency has a demonstrated record of undertaking aid projects consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development.

BINGO maintains its geographic focus in Mongolia with a single partner agency, the BINGO Farm and Training Centre (BF&TC). BINGO supports BF&TC's work in four project sites targeting vulnerable and marginalised groups (eg women and other populations). Past and present project activities have explicitly targeted poverty alleviation and have demonstrated sustained results. Over the last three years, BINGO has supported the BF&TC community development program to the amount of \$473,000, with approximately 30% of these funds provided by AusAID.

BINGO has a community-based approach where the emphasis is upon improving the quality of life of the rural poor and emphasises community-owned development with full consultation between the community and BINGO's partner. BINGO's philosophy is to

develop the capacity of its partner to deliver programmes which in turn works to empower vulnerable groups through self help groups and community-based initiatives. More than 23,000 women and 135 animators are now engaged in this process across four project sites. There is clear evidence that the nature of the partnership has changed over time with stronger and more integrated development initiatives such as micro-enterprise being developed and implemented and the emphasis shifting from service delivery support to community owned, managed and financed self-help groups.

There was good evidence of sustainability with self help groups and village development committees formed through project activities in the AusAID funded Working Together (1998-1999) continuing to operate and being self-sustaining financially. Self help groups from this project no longer have any need for external financial support with community activities financing payments to animators and SHGs securing low interest bank loans to a value of approx. A\$250,000. Revolving loans operating within credit coops currently have a value of more than A\$300,000 with appropriate pay back rates. The activities undertaken by BINGO fall clearly within AusAID's strategy of poverty reduction and sustainable development.

BINGO is currently supporting two AusAID funded projects, the Working and Growing Together project, and Plant Nurseries for Income and Health project. The current development model supported by BINGO builds on earlier work and emphasises the selection and training of women (and to a lesser extent, men) to operate self help groups which aim to increase self-sufficiency, reduce indebtedness and improve health and educational standards. Included in their program profile of activities are:

- Credit co-operatives and small-scale income generation activities
- Community based Health promotion and prevention
- Community based Basic Education
- Food security
- Adult literacy
- Herbal medicine alternatives as adjunct therapy

The articles of BINGO's constitution do not describe any philosophy of developmental assistance however the agency profile, annexes and project documentation clearly demonstrate that BINGO is in fact engaged in poverty alleviation and sustainable development activities. The principle object of the Association according to the Constitution is "to raise funds for Assistance to the BINGO projects conducted by Ms Silver, (of the BINGO Farming and Training Centre) her associates and successors in Mongolia". BINGO recognise that their constitution needs updating in order to reflect their current program mission and strategy and the board is in process to make a decision about the most appropriate way in which to do this. BINGO have sought advice on this matter of constitutional revision from AusAID and ACFOA . Despite the brevity of the existing constitutional objects the reviewers are well satisfied that BINGO does in fact conduct quality community development work that is increasing in its scope and spread substantially

Although BINGO has had a long term partnership with BF&TC in Mongolia, the review team is satisfied that the initial project has grown and changed over time in a manner that does not suggest undue dependence on BINGO/AusAID support.

Areas of change over time include such things as:

- Supporting partner agency in identifying new potential sources of funds and assisting in preparation of funding submissions (e.g. CIDA in 2004)

- Identification of new community groups from among other religious groups;
- Piloting men's self help groups.
- Introduction of strong self help groups with built-in sustainability provisions
- Growth of one project site to four project sites
- Successful integration of former SHGs into national banking scheme with bank loans now exceeding A\$250,000
- Successful integration of effective cost recovery / supplementation (e.g. bamboo seedling propagation) with more modest herbal gardening
- Mainstreaming of HIV/AIDS awareness and prevention (currently under way)

Recommendation: BINGO meets this criterion

Criterion B2: The Agency has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of:

a) Development and Welfare

b) Development and Evangelism

c) Development and Partisan Politics

In developing their operational philosophy, the founding members of BINGO were guided by Christian values. Not the least of which were and remain that all people are 'created in the image of God' and therefore are worthy of dignity and that they all are created equal, therefore should be accessible to a full range of human rights and social justice. While BINGO's philosophy is developed from within Christian beliefs and values, BINGO clearly and adequately demonstrates a commitment to practice that makes clear distinctions between rendering humanitarian assistance and evangelistic activity, and beneficiaries are clearly multi-denominational. The Mission Statement approved by both the CoM on January 18th 2004 and the BF&TC Board of management includes the following statement. *"BINGO will not fund projects that have any objectives relating to evangelism or party political activities. Beneficiaries must not be chosen based upon religious or political beliefs, nor must any religious or political belief be a precondition for participating in development activities."*, and in the Strategic Plan 2004 -2007 it is reinforced that *"BINGO will not support or condone the proselytising of recipients by staff involved in development activities in Mongolia"*

The umbrella MOU and specific project EOL's contain clauses about proper compliance with all AusAID regulations but do not specifically mention clauses regarding welfare, evangelism and partisan politics. Through interviews and document reviews at the ORA, the reviewers, however, are quite satisfied that the partner NGO BF&TC is aware of and compliant with AusAID regulations and is practising social development unencumbered by or mixed with any of these precluded activities.

Through group presentations and simple development education BINGO further discourages its donors from supporting welfare activities but acknowledges that it does provide limited assistance for welfare activities from time to time. The agency does not however use AusAID funds or matching funds for this purpose and acknowledges these small amounts of welfare assistance in its annual RDE statement. All welfare funds are accounted for separately.

BINGO has basic position statements on the following cross-cutting development issues in its Manual of Operations which has been approved by the CoM.

- Community Participation
- Food Security
- Human Rights
- Environment and Development
- Gender and Development
- HIV/AIDS in Development Activities.
- Sustainability

Position statements on each of these areas were developed in an emergent fashion as project activities expanded e.g. to focus on community animators, or as the context demanded e.g. HIV/AIDS. This demonstrated to the review team a high level of responsiveness and evidence of continuous learning approach by the supporting agency and its partner.

Recommendation: BINGO meets this criterion

Criterion B3: The Agency has the capacity to deliver its project objectives in a way that meets its contractual obligations to AusAID.

This criterion seeks to understand the role of the NGO throughout the project cycle to establish that it exercises adequate influence and control with its organisations and implementing partners to: (i) add value to the development process and (ii) manage risk.

The BINGO board/committee of management is comprised of sixteen Australian professionals who bring a wealth of experience to the management of BINGO. Through discussion at OR and an inspection of monitoring reports and correspondence the Review Team concluded that there is ample evidence of safe and efficient management of funds and regular oversight and input into partner activities.

BINGO demonstrated an understanding and practice of risk management protocols and have a number of procedures and policies which contribute to the risk management of funds. The risk management processes include: Project Agreements, Appraisal process and summary form, Double Entry Accounting standards, Double signatories on Bank Accounts, Project ledgers, Regular Monitoring visits, Quarterly project financial reports and narratives and routine External audits of BINGO and partner.

BINGO has a documented appraisal process with a simple appraisal tool. The instrument covers the most important aspects of design appraisal. The AusAID liaison officer (non-salaried) Board member, along with the Administrative Officer (salaried) and the President review all project submissions against the approved appraisal criteria and recommend the project to the full CoM in session, following consultation with several members. For the most recent proposal submitted by BINGO, the review team sighted significant iterative discussion in email communications between the partner agency and BINGO. These emails were viewed at the time of the ORA and clearly demonstrated a full and adequate consideration of the full range of appraisal criteria. The pertinent CoM minutes (04/05/03) show discussion and approval of the aforementioned proposal as described in the Operating Procedures. Despite a clear and full consideration of the appraisal criteria, a completed appraisal form was not available in the project file. The review team were however satisfied that projects were being adequately appraised by BINGO before consideration for funding. Furthermore, evidence was sighted at ORA whereby proposals submitted by BF&TC were appraised and declined by BINGO for reasons of inadequately meeting requirements eg feasibility or cost effectiveness.

Whilst demonstrating a sound understanding of project cycle management, BINGO demonstrated an openness and willingness to seek advice and input to enhance the quality of its proposal submissions and subsequent reporting. Evidence was noted of related communications with ACFOA, and AusAID's Community Programs Section (CPS). Quarterly reports are prepared for BINGO by the partner agency reporting against expenditure to date, inputs and activities. Timely receipt of these reports and appropriate progress against stated activity plans and expenditure is required for release of subsequent tranches of funds. Email communications demonstrated follow up and analysis of information contained in these reports. Completed projects were seen to be assessed against outputs and objectives by the partner in-country and reviewed in Australia by BINGO - by way of a desk-based evaluative process - to incorporate lessons learned. BINGO has more recently demonstrated a responsiveness in the area of outcome monitoring and evaluation. Comprehensive baseline data has now been collected by the partner agency across the project sites, facilitating the development of more appropriate targets and indicators. Whilst the partner still relies upon a significant quantity of rather crude data, BINGO has demonstrated an understanding and commitment to support the partner agency to further develop these into more sensitive development indicators.

All aspects of partner activities are reviewed and verified annually by way of monitoring visits from a member of the board. Recent monitoring trip reports demonstrated a detailed scrutiny of both partner agency and project activity (e.g. self help group), financial documents and procedures. Project sites were visited and interviews conducted with the full range of stakeholders from BF&TC staff, Community animators and self help group participants. These annual visits by board members also provide the opportunity for technical input into programming, as evidenced by the incorporation of micro-credit into self help groups further to a project visit by a board member with expertise in this area. Similar programmatic changes, or quality enhancements, were also influenced by BINGO in the recently commenced Plant Nurseries project.

BINGO is a small organisation with a relatively small program. It is not part of or affiliated with any international network.

Recommendation: BINGO meets this Criterion

Criterion B4: the Agency can monitor, report and rate effectiveness of activities.

BINGO can and does monitor and report on its projects although by its own admission, the agency relies heavily upon its local partner for project evaluation. BINGO demonstrated a capacity to rate and review its own effectiveness through its periodic CoM meetings and recent strategic planning processes.

Routine activity monitoring occurs through a system of quarterly reporting from the field to BINGO. These comprehensive field reports are complemented by regular (observed) email communications, and a substantive annual monitoring visit where all aspects of project finance and activities are assessed and or verified. Information from these reports and visits was observed to be appropriately translated into the relevant formats for external donor reporting. All reports sighted were of a high standard.

Evaluation, reviewing and assessing progress against outputs has been conducted routinely in BINGO-supported projects, as demonstrated in interim and final reports. BINGO demonstrated a firm understanding of AusAID rating systems and appropriate application of these. Succinct

project reviews (desk studies) have also been conducted at project completion. Outcome monitoring and evaluation however is only recently being considered by BINGO and BF&TC. Earlier projects suffered from a lack of adequate baseline information and demographic detail to set easily measurable targets/ target groups. Investment in comprehensive community surveys has now improved data availability for quantitative indicator development, improved objective setting and monitoring and evaluation. While BINGO acknowledged a need to seek advice regarding broader evaluation principles and processes they have not utilised external expertise to date.

Minutes of CoM meetings demonstrated an ongoing process of monitoring of BINGO policy and practice with significant changes and new initiatives indicating adequate critical analysis and responsiveness. At the first CoM for 2004 for example, it was acknowledged that additional technical expertise was required on identified key areas and a proposal was approved to develop three new working groups in the area of finance, marketing and project management (including evaluation).

In 2004, BINGO completed a process of agency review and strategic planning, producing a strategic plan for 2004 – 2007. This document supports the vision of a reflective NGO with adequate capacity to continually monitor its own capacity and the effectiveness of its interventions.

Recommendation: BINGO meets this Criterion

Criterion B5: Agency has systems for continuous improvement of its management and operations.

THIS CRITERION IS NOT APPLICABLE TO BASE AGENCIES

APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION

Criterion C1: Agency has documented arrangements with implementing partners in countries where it works and/or with global partner's networks or affiliates as appropriate

BINGO has one longstanding partnership with BF&TC in Mongolia. The reviewers were satisfied that the evidence shows BF&TC as a capable and effective community-based organisation. Signed copies of a jointly agreed comprehensive Strategic Plan were seen along with both a generic umbrella partnership agreement and detailed EOLs for each project supported.

Recommendation: BINGO meets this criterion

Criterion C2: The Agency has assessed its own capacity and the capacity of its partner organisation to develop and implement projects.

As a small agency BINGO has a good understanding of its own capacity and that of its partner BF&TC. Evidence was seen of BINGO staff and CoM members detailed knowledge of their partner's capacity and of the senior management of projects. Key staff have been brought to Australia for training and substantial work has been done by the two organisations in planning for the replacement of the current project leader and manager of BF&TC, who is approaching retirement. BINGO will have considerable influence in this replacement, demonstrating that the issue of capacity is high on their agenda. The quality of project records provided by the

partners on a regular basis also speak well for capacity in the field. The capacity of the CoM members to not only provide governance but also voluntarily engage in the project management/implementation cycle was, in the opinion of the reviewers highly commendable. Their strong commitment was matched by their transparency and self/group assessment in identifying which areas they still needed to enhance and strengthen. While there was clear evidence to satisfy the reviewers that BINGO does indeed assess capacity satisfactorily, there is room for improvement of the process through standardisation of the criteria and formalising procedures

Recommendation: BINGO meets this criterion

Criterion C3: The Agency's partnerships are consistent with good development practice.

BINGO has one longstanding partnership with BF&TC in Mongolia and relies on a small number of long term partnerships in a relatively small geographical and administrative region. Partnership agreements together with partner capacity checklists describe relationships based upon respect and shared decision making. These documents further describe a formal and joint process of activity selection. Files and field notes from field monitoring and planning visits were provided for examination. These documents along with copies of activity reports adequately demonstrated exchange of views and discussion regarding project activities.

Recommendation: BINGO meets this criterion

LINKAGES WITH THE AUSTRALIAN COMMUNITY

Criterion D1: The Agency is clearly identifiable as Australian and can demonstrate interaction with an Australian community base.

BINGO is clearly Australian and has an identifiable and successful fundraising and community education program. Australian identity and contributions are acknowledged by the project partner and BINGO, in its own publications, identifies itself with both the ACFOA Code and the AusAID ANCP funding program. BINGO supporters can also sponsor a village within the program thereby increasing understanding of community development needs and processes. The Profile states that there are 16 current members of BINGO who serve on the governing body (CoM) and a further 739 financial supporters. In addition, BINGO regular makes presentations to local Rotary Clubs, Churches, schools and other community organisations.

BINGO's records show slow growth in support and the new strategic plan calls for a more comprehensive use of meetings and visitors from the project to raise the public profile in Victoria, as well as strengthened approaches to the use of the newly developed website for donations, more corporate sponsorship and planned giving.

The feedback to the BINGO constituency is given quarterly by way of a newsletter to members. The content is educational, appropriate, and sensitive to culture and reflects the scope of program activities undertaken.

Recommendation: BINGO meets this criterion

Criterion D2: The Agency provides accurate information about the organisation, its objectives and its activities in its public presentations, in a manner that respects the dignity of recipient communities.

The Agency Profile provided examples of agency publications including a Newsletter and fundraising brochure. The content is clear, sensitive and appropriate. Both AusAID and the ACFID Code of Conduct are recognised in the literature

The publications sighted in the Agency Profile provide accurate information about BINGO and the text and images used show due respect for the dignity of the individuals portrayed.

It should also be noted here that BINGO no longer supports a child sponsorship program

Recommendation: BINGO meets this criterion

Criterion D3: The Agency maintains Australian community support for its development projects through financial, in-kind and/or voluntary contributions.

BINGO's supporters come from various church groups, schools and Rotary clubs in Victoria. According to the Agency Profile BINGO presently has 739 financial supporters. This indicates a drop of more than 20% in subscribers from the last accreditation review. At the OR it was confirmed that currently, subscribers are those who have donated more than \$5 per year to the agency, while during tier first accreditation those donating less than \$5 per year were also included as subscribers. BINGO also noted an increasing number of 'group' subscriptions (eg from schools), which could also have influenced any perceived change in supporter base. BINGO raises funds through newsletter campaigns, speaking engagements and fund raising events such as dances and art exhibitions.

Recommendation: BINGO meets this criterion.

Criterion D4: The Agency has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues.

THIS CRITERION IS NOT APPLICABLE TO BASE AGENCIES

FAMILY PLANNING & REPRODUCTIVE HEALTH ACTIVITIES

Criterion F1: Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.

BINGO has a sound policy on Family Planning which is consistent with relevant Government policies. Further discussions and evidence viewed at ORA satisfied the reviewers that there was excellent understanding and application of the policies to their programs with support from the implementing partner.

Recommendation: BINGO meets this criterion

Criterion F2: Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.

BINGO has the capacity to implement and monitor this policy and is in fact doing so.

Recommendation: BINGO meets this criterion

Criterion F3: Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirements.

Proposals and Family planning checklists reviewed at ORA demonstrated a comprehensive understanding of government family planning requirements.

Recommendation: BINGO meets this criterion

PART B – Rating Against Criteria**Ratings in this section are Pass/Fail.****Base Accreditation**

<u>Criterion</u>	<u>Rating</u>	<u>Comment</u>
<u>Agency Identity and Structure</u>		
A1 Agency is voluntary, not-for-profit and non-government.	P	
A2 Agency is a legal entity, with identified office holders, with a documented structure of responsibilities and appropriate systems to ensure accountability, including to its supporters.	P	
A3 Agency has formally adopted and is compliant with the ACFID Code of Conduct for Non-Government Development Organisations.	P	
<u>Development Philosophies and Management Practices</u>		
B1 Agency has a demonstrated record of undertaking aid projects consistent with the objectives of the Australian Aid Program of poverty alleviation and sustainable development.	P	
B2 Agency has development philosophies not inconsistent with the objectives of the Australian Aid Program, and is able to differentiate between objectives of: a) Development and Welfare b) Development and Evangelism c) Development and Partisan Politics.	P	
B3 The Agency has the capacity to deliver its project objectives in a way that meets its contractual obligations to AusAID.	P	
B4 Agency can monitor, report and rate effectiveness of activities.	P	
B5 Agency has systems for continuous improvement of its management and operations. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES	N/A	
<u>APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION</u>		
C1 Agency has documented arrangements with implementing partners in countries where it works and/or with global partner's networks or affiliates as appropriate.	P	
C2 Agency has assessed its own capacity and the capacity of its partner organisation to develop and implement projects.	P	

<u>Criterion</u>	<u>Rating</u>	<u>Comment</u>
C3 Agency's partnerships are consistent with good development practice.		
<u>LINKAGES WITH THE AUSTRALIAN COMMUNITY</u>		
D1 Agency is clearly identifiable as Australian and can demonstrate interaction with an Australian community base.	P	
D2 Agency provides accurate information about the organisation, its objectives and its activities in its public presentations, in a manner that respects the dignity of recipient communities.	P	
D3 Agency maintains Australian community support for its development projects through financial, in-kind and/or voluntary contributions..	P	
D4 Agency has a plan to increase constituency awareness of, and involvement in, contemporary development and/or relief issues. THIS CRITERION NOT APPLICABLE TO BASE AGENCIES.	N/A	
<u>FAMILY PLANNING & REPRODUCTIVE HEALTH ACTIVITIES</u>		
F1 Agency has a documented policy that demonstrates an understanding of Government policies related to Family Planning/Reproductive Health issues.	P	
F2 Agency can demonstrate it has the capacity to apply the Guiding Principles, which form the basis of the Government's policy for family planning activities in the overseas aid program, in all stages of the project cycle.	P	
F3 Relevant AusAID proposals and reporting documents show that Agency meets Government Family Planning requirements.	P	

Suggestions for Improvements to Agency Systems

*These suggestions are based on the professional judgement of the review team. It is **not** compulsory to implement these recommendations.*

Review Team Suggestions

The review team felt that attention to the following areas could potentially even further strengthen BINGO's transparency, quality and effectiveness:

1. Cross cutting issues should be written more explicitly as actionable and measurable policy statements and elaborated upon in detail rather than generic position statements.
2. BINGO should continue the process of revising their constitution in terms of objects and powers to more accurately reflect full scope of current development activity.

3. BINGO should extend the use of their policy and practice on evangelism, partisan politics and welfare to the inclusion of their policy statement in their partner EOL's and fund request documentation.
4. In the Manual of operations separate the Policies and Procedures into either separate sections or make clearer distinction between the two.
5. Capacity assessment measures should be standardised and procedures for their use better formalised. Given CoM members engagement in monitoring, training in Assessment across the membership should be given to ensure consistency of application.
6. In relation to the RDE and the financial statements we recommend that :
 - a. within the 'Table of Cash Movements' BINGO segregates designated funds into different grantors. This will assist with the RDE preparation as the table will show the exact disbursements that relate to grants which can not be included in the RDE;
 - b. BINGO includes the dollar value for unpaid volunteer services it receives during the year as a note in the annual report which is signed off by the external auditor.
7. BINGO should consider requesting that the partner submits the project ledger with their quarterly financial acquittal. The Administrator should check the translation of project expenditure from the local currency into \$A. In addition, the Administrator should review the expenditure and scrutinise major expenditure items requesting for explanations and supporting documentation.
8. At present BINGO receives annual audited Income and Expenditure statements from the partner. It is recommended that the Administrator reconciles the audited Income and Expenditure for the year to the cumulative expenditure acquitted by BF&TC in its quarterly reports. This serves as an additional check to ensure completeness and accuracy of the partner's project acquittal.
9. BINGO should consider requesting that the partner prepares the project Income and Expenditure statements for a 30 June financial year instead of Mongolia's 31 March financial year end.
10. BINGO should ensure that the formal documentation of appraisals conducted are attached to all project files. It would be worthwhile to review the process of appraisal for the most recent project to identify where systems and recording could be further strengthened.
11. BINGO should continue to invest in developing the agency's capacity in evaluation over the period of the strategic plan. BINGO would be well advised to seek input from an external consultant to contribute to BINGO policy and understanding on evaluation, and possibly to provide specific input through the project cycle.
12. BINGO should continue to pro-actively conduct additional institutional capacity building with BF&TC, particularly with regard to their partner's capacity to independently seek additional, alternative sources of funding.
13. The BINGO board should continue to selectively but actively invest in their own capacity development in the area of development management (eg Logical framework, M&E etc).