

AusAID OAGDS Criteria Table – May 2007

CRITERION	EXAMPLES OF INDICATORS	POSSIBLE VERIFIERS
(i) It is a corporate entity <i>This criterion seeks to understand the legal status of the Agency.</i>	Association or 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. It has a governing instrument: Constitution, Memorandum and Articles of Association, Trust Deed or Appropriate Act of Parliament, CAN, ABRN, or IA number. It is registered for fund raising purposes as a charitable/benevolent institution, except where a legal exemption can be shown.	• Certificate of Incorporation or equivalent • Governing instrument should include at a minimum: objects of the agency or fund, definition of membership, outline of governance structure and conflict of interest clause. • Certificate of registration as a charity to fundraise in relevant states.
(ii) It 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>	Governing instrument has the necessary clauses for a voluntary, not-for-profit organisation and members of governing body are independent from government. 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.	Government instrument includes specific clauses dealing with: • No remuneration of members for their role on the governing body • Application / distribution of profits/surplus toward objects of the organisation and not to the individual members • Winding up/dissolution: distribution of assets upon winding up or dissolution of organisation

(iii) It is a community-based organisation accountable to its membership <i>This criterion seeks to understand 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. It also seeks to ascertain the level of community support and how the organisation involves and responds to its Australian constituency.</i>	Membership and governing body made up of people with some responsibility to the community. There is no recommended minimum number. Members should have a degree of control over administration of the organisation. Responsibilities of the Governing Body and its members are outlined in its Constitution or Articles of Association. Governing instrument should describe transparent and accountable processes of administration such as election of governing body from within the membership, annual financial audit, an AGM, access by members/supporters to decisions and/or minutes of meetings. A clear separation of duties between Board, management and staff functions. Agency must demonstrate that it has transparent policies to identify and address any conflict of interest. Agency has mechanisms for its community support base to raise issues and receive a response. Agency actively involves its constituency in its various activities.	• List of Governing Body members and office holders with names, occupations, and length of service. • Board members representative of the Community • Process for election or appointment of members and Board and responsibilities of office holders clearly outlined in governing instrument. • Holds regular meetings of governing body and maintains records of meetings • Audited financial statements • Key to accountability: AGM and availability of Board minutes to members/supporter • Clause on conflict of interest in Governing instrument • Key to transparency: evidence that members can access annual report and audited financial statements and evidence that agency responds to requests for information. • Evidence that Agency actively involves its constituency and encourages new supporters.
(iv) It is clearly identifiable as Australian <i>This criterion seeks to understand how the Agency approaches the issue of Australian identity in projects/programs and promotions and how the Agency recognises/acknowledges the source of contributions to the projects it supports. It also seeks to distinguish the work of the Australian agency from that of its international network if relevant.</i>	Agency has procedures in place to communicate and achieve Australian identity in its activities. This also needs to be distinct from the activities of its international network. Delivery organisation, in-country staff and recipients are aware of the Australian source of funding. Australian identity sought in documented arrangements.	• 'Australia' in title of organisation. • Australian organisation's work clearly distinguishable from its international network in marketing material • In-country staff and recipients are aware of Australian funding • Description of action taken in country to promote Australian identity and evidence such as appropriate photographs, banners, signage etc. • Australian identity clear in partnership agreements

(v) Its activities are focused on development and/ or relief covering at least one and preferably two years <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. It seeks to confirm that designated development funds are used specifically for development outcomes and not for evangelical, welfare or partisan political purposes. It also seeks to confirm that the Agency has some experience in conducting development activities.</i>	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. Development/Relief: Record of carrying out relief or development activities for a minimum of one preferably two years. Capacity to differentiate between development, welfare, partisan political, missionary and evangelical activities	• Mission / Vision, objects outlined in governing instrument • List of projects • Project descriptions indicating development activities. • Where an agency also engages in the support of welfare or missionary / evangelical activities, they should be able to demonstrate an understanding of the difference and how the activities are managed separately eg brochures, budgets, expenditure reports, partner agreement.
(vi) Its support of overseas activities is on a partnership basis with indigenous organisations (in-country partners) 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 and that these arrangements are understood and accepted by partners.</i>	Partnership basis; Both the Australian agency and the developing country partner contribute and add value to the development process. The partnership reflects mutual respect. Australian agency works with local indigenous organisations not just individuals. Evidence of regular information flow between implementing partner and Australian Agency. Project files demonstrating ongoing communication between the field and Australian Agency.	• Description of in-country partners • Description of partner selection/identification process and documented evidence of application if possible • Signed partnership agreement • In the absence of any partnership agreement, evidence of how agency satisfies itself of trusting relationship and that the developing partner understands what is expected and has the capacity to deliver project outcomes. • Evidence of exchange of view and information between Australian agency and developing country partner eg emails, correspondence, study tours reports, field visit reports, minutes of meetings etc • Documentation with partner is reflective of mutual respect and engagement by both parties in the project cycle

(vii) It and its overseas partners are both effective in conducting their activities <i>This criterion seeks to establish that both the agency and its partners are involved in all aspects of the project cycle and the agency is able to assess and enhance its partner's effectiveness in achieving development outcomes.</i>	Demonstrated track record over at least one year and preferably two years of successfully managing a program or series of projects, which have achieved demonstrable development outputs. This can include a program of short-term activities over the period of one year. Demonstrated understanding and application of the project cycle. The Australian agency engages in and influences the development process through out the project cycle - engagement in initial appraisal of the activity, planning its implementation and a role in monitoring an activity. Quality of documentation should be appropriate relative to the size of the activity with a minimum requirement of an outline of objectives, intended outcomes and brief activity schedule. Developing country partners have the capacity relative to the scope of the activity/project and have implemented projects successfully achieving intended outcomes. Developing country partners have systems to assess and manage project progress and evaluate project impact. The Agency has the awareness to: • Ensure that funds will not go directly or indirectly to individuals or organisations associated with terrorism; • Ensure that no support is given to any individual with any conviction under the Crimes (Child Sex Tourism) Amendment Act.	• Evidence of engagement in project identification, proposal development, project appraisal, monitoring eg simple project plan, monitoring report to project plan, budget, progress report, filed visit report, evaluation report • Documentation illustrating intermittent or ongoing progress assessment and engagement with implementing partner. • Evidence of Australian agency and partner involvement in monitoring and evaluation of impact of project outcomes • Evidence of awareness of Counter Terrorism and child sex tourism obligations by both Agency and partner. • Evidence of appropriate checks in relation to employment/contracting of individuals.
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