



Australian Government
AusAID

ANNUAL DEVELOPMENT PLAN (ADPLAN) MANUAL

AusAID-NGO Cooperation Program (ANCP)

2007

Australian Agency for International Development

Annual Development Plan (ADPlan) Manual

This document should be read in conjunction with the ANCP Guiding Principles and ANCP Guidelines.

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1. What is an ADPlan?

An Annual Development Plan (ADPlan) is an annual plan of development activities put forward by an NGO in order to receive ANCP funding. All AusAID accredited NGOs are required to submit an ADPlan to AusAID by 30 June to receive ANCP funding for that year. ADPlans outline to AusAID activities which the NGO intends to support with its ANCP subsidy and is like a “snapshot” of targets and milestones for a variety of projects and programs over the twelve month period.

The ADPlan approach is supported by the accreditation system and risk management process for NGOs. As each NGO has already been through a rigorous accreditation process, the ADPlan does not seek to contain detailed information on individual activities. Rather, an ADPlan provides AusAID with performance information on ANCP funded development activities, while giving NGOs considerable flexibility to manage the implementation and funding of their ANCP supported development projects and programs.

Although the ADPlan template forces NGOs to present information by project, AusAID expects that NGOs are planning their development activities on a much broader geographic or thematic basis. The project emphasis is purely an administrative requirement. AusAID expects NGOs to select and manage projects according to their own strategic development programs.

It is possible for parts of programs to be captured in the ADPlan as ‘projects’. For example, included in the ADPlan may be the nutrition component of a broader health program, or the Vietnam component of a Mekong Water and Sanitation program.

An NGO can present a common set of activities in their ADPlan each year to provide predictable, continued funding for activities. In other cases, an NGO may wish to change the activities in their ADPlan each year, or on a regular basis. For continuing projects, objectives may remain similar from year to year, although outputs would be expected to vary. If an NGO is implementing several projects in an ADPlan with varying implementation schedules crossing Commonwealth Government financial years (e.g. one project might be implemented from May to February, another from December to November), then the ADPlan would identify only what targets and milestones (e.g. outputs) will be addressed or delivered in the twelve month ANCP funding period (i.e. July to June). Activities for projects which are implemented or completed after 30 June would not be recorded as being achieved for this ADPlan, and would need to be funded out of the following year’s ANCP allocation.

Each ADPlan is assessed by AusAID to ensure compliance with the ANCP Guidelines and ANCP Guiding Principles. AusAID will contact the NGO if further information or feedback is required. When an ADPlan is approved by AusAID, 100% of the annual funding allocation is provided.

AusAID’s Health in Australia’s Aid Program, Guide to Gender and Development and Environmental Management Guide for Australia’s Aid Program are to be used in the preparation of funding proposals.

NGOs are also encouraged to consider advice provided in the marketplace by people such as financial forecasters when preparing a proposal.

2. Things to Remember:

- NGOs should consult the ANCP Guidelines, ANCP Guiding Principles and this manual before submitting an ADPlan;
- The ADPlan is due to AusAID no later than 30 June each year.
- NGOs submit **ONE** ADPlan each year;
- The ADPlan consists of a summary page followed by appendices containing more detailed project information;
- Projects must be grouped into appendices by country;
- Regional programs should be broken down by country where possible;
- All acronyms must be spelt out at least once;
- One electronic copy of the ADPlan must be submitted to AusAID as a single document (unless the number of appendices/projects is prohibitive, contact AusAID if you are unsure);
- One signed hardcopy of the ADPlan must also be submitted to AusAID;
- If you have any queries, contact AusAID as early as possible for clarification.

Compiling sector and region information for the ANCP

CPS is regularly asked for information on how and where NGOs are using Australian Government funds. The ADPlan provides an accurate breakdown of where ANCP funds are being utilised, however CPS has difficulty responding to sector based enquiries. CPS may need to email agencies that have listed particular DAC Sector Codes to get a dollar figure against those DAC Sector Codes from time to time throughout the year.

NGO Package of Information (NGOPI)

NGOPI is an online resource which outlines many of the key policy and administrative arrangements between AusAID and the accredited NGO community. NGOPI is referenced in the Head Agreement and Services Orders issued each year to cover ANCP funding. NGOPI is available from the AusAID website at <http://www.ausaid.gov.au/ngos/>

3. Appraisal of ADPlans

ADPlans are assessed by AusAID in order of arrival and will, under normal circumstances be signed off within 30 days. Where problems exist with ADPlans, or information is incomplete, AusAID will contact the submitting NGO for clarification.

AusAID expects NGOs to endeavour to address ADPlan problems or omissions in a timely manner to assist in ensuring a 30 day turnaround.

Appraisal Process

Step 1

CPS appraises an ADPlan for:

- Adherence to the ANCP Guidelines and Guiding Principles
- Approved regions and sectors
- Logic
- Definitive outputs
- Correct DAC codes
- Adherence to counter terrorism, family planning and child protection policies

Step 2

The corresponding AusAID Country Desk and Post appraise the ADPlan against overall AusAID guidelines and policies.

Step 3

ADPlan is approved

or

CPS seeks further clarification from the agency

4. ADPlan Template and Explanatory Notes

(Insert NGO Name) ADPlan 2007-08

Australian NGO Contact Details Contact Officer Title Telephone Number Fax Number Email Address	(1)
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Total AusAID subsidy requested	(2)
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Project Summary Table: *Projects must be grouped by country, each country is a separate appendix. (3)*

Country	Project Name	Partner	Primary DAC Code	AusAID \$	NGO \$	Total (incl. other donors) \$	Appendix
<i>Afghanistan</i>	<i>Mothers Health Project</i>	<i>Gromon Harras</i>	<i>DAC12220</i>	<i>100,000</i>	<i>140,000</i>	<i>250,000</i>	<i>1A</i>
<i>Afghanistan</i>	<i>Water & Sanitation</i>	<i>Shashu Development Society</i>	<i>DAC14030</i>	<i>400,000</i>	<i>60,000</i>	<i>460,000</i>	<i>1B</i>
<i>PNG</i>	<i>HIV/AIDS Education</i>	<i>Regional Health Cooperative</i>	<i>DAC13040</i>	<i>250,000</i>	<i>75,000</i>	<i>475,000</i>	<i>2A</i>
<i>PNG</i>	Evaluation (4)			<i>Up to 5%</i>			<i>3</i>
<i>Unspecified</i>	Administration/Overheads (5)			<i>Up to 10%</i>	<i>NGO funds cannot be used to meet match</i>	<i>100,000</i>	<i>N/A</i>
Total							

Strategies for Promoting Australian Identity

How is Australian Identity being promoted in the projects contained in this ADPlan? (6)

Declaration: (7)

The following undertaking must be made by an appropriately Authorised Officer of the Non Government Organisation.

I, *(authorised officer)*, *(position in NGO)*

submit this Proposal and undertake that all funds provided will be expended for the purposes for which they are provided.

Signature....., Date.....

Appendix 1 - (Insert Country A) (8)

1.1 Project Name:	
1.2 Region(s):	<i>Specify project locations in country</i>
1.3 Implementing Partner(s):	<i>List implementing partner contact details</i>
1.4 AusAID Subsidy:	<i>Total AusAID subsidy for this project this FY</i>
1.5 Funding this Financial Year:	<i>Total AusAID, Australian NGO, Implementing partner and other donor contributions to this project this FY</i>
1.6 Total Project Funding to Date:	<i>Total AusAID, Australian NGO, Implementing partner and other donor contributions to this project to date</i>
1.7 Planned start and completion date of project:	<i>Expected timeframe of the project. eg. 2004-2010 (9)</i>
1.8 Has this project received, or is this project receiving, AusAID funding?:	<i>If yes, please specify; a) through which funding mechanism b) for how many years c) to what financial value</i>

2. Project Outline: (10)

Provide a brief – two or three paragraph– description of the project and its objectives.

3. Key Outputs/Activities (11)

Detail the primary activities that will be implemented this financial year for the project in this country. Targets must be quantified. eg. A water education program will be delivered to 25 schools; 10 volunteers support 600 people affected by HIV/AIDS. If it is useful you may also want to describe the project's strategic context.

Objectives	Significant Outputs (a maximum of 4)	Activity Targets
<i>Example: To improve health and sanitation in the project area on a sustainable basis</i>	<i>Improve access to clean water for 1,000 people</i>	<i>4 wells and 1 water capturing system built.</i>
	<i>Establish community based management of the water systems to ensure sustainability</i>	<i>1 management committee established that will meet quarterly</i>
	<i>Increase community awareness and understanding of the importance of hygiene to general health.</i>	<i>15 workshops run on personal health hygiene 800 brochures on basic hygiene developed and distributed</i>

Strategic Framework *This section is optional. It should be completed if it is necessary or useful to demonstrate how this particular project or activity fits within a broader program.*

(12)

4. DAC Sector Codes (13)

List one primary and up to 3 secondary DAC Codes for this project. The most recent DAC Sector list (July 2005) is available on NGOPI. The prefix ‘DAC’ must be placed immediately before the five digit code.

DAC Code (Five Digit)	Description	Class (One Primary and up to three Secondary)
<i>eg. DAC12220</i>	<i>Basic Health Care</i>	<i>Primary</i>

5. Cross-Cutting (14)

a) Gender: All NGO projects must accord with the principles and practices described in AusAID’s Gender and Development and Australia’s Aid Commitment policy document. If this project has a specific gender focus or if DAC42010 has been listed, please provide detail on the gender specific aspects of the project including an estimate of the proportion of the budget dedicated to the achievement of gender specific outcomes. If your project does not have a specific gender focus, AusAID’s policy requires you to mainstream gender concerns throughout the project. We will be contacting you periodically to request further information about the success of the mainstreaming strategies your project has put in place in order to meet our reporting requirements.

b) Environment: If this project is in an environmentally sensitive location or sector, has potential to negatively impact on the environment, or if the aim of the project is to have a positive environmental impact please provide detail on the consideration and steps undertaken to ensure the project complies with AusAID’s publication ‘Environmental Management Guide for Australia’s Aid Program’ and AusAID’s Interim Guidelines and Operating Procedures for Managing Arsenic in Water Supplies.’

c) Family Planning: Agencies that do not meet the family planning accreditation criterion are not able to access Australian Government funding for family planning activities. If this project has a family planning component please ensure DAC13030 is listed in the DAC Sector Code table above.

6. Other Information: This section should only be completed when there are particular issues that need to be brought to AusAID’s attention; this may include risk analysis in conflict zones, further explanation of the financial situation when there are complicating factors, or other information as requested by AusAID. As AusAID Desk and Post officers also read the ADPlans, NGOs may wish to flag upcoming media opportunities or key project events.

Appendix 3 - Evaluation (15)

Project Name:	
Country:	<i>Papua New Guinea</i>
AusAID Subsidy:	<i>Total AusAID subsidy for this evaluation for this FY</i>
Total Evaluation Cost \$:	
Planned start and completion date	<i>Expected timeframe of the evaluation. eg. Feb 2007-May 2007</i>

Evaluation Outline: *Briefly describe the purpose of the evaluation and its objectives.*

ADPlan Explanatory Notes

In the ADPlan template, anything in italics is an example or is meant to provide guidance on how to complete the ADPlan. Please remove these notes before sending the completed ADPlan to AusAID.

The ADPlan should be completed in 12pt, Times New Roman or Arial font.

- 1) **Contact Details:** Provide the name and contact details of the most appropriate person for AusAID to contact during the year for ADPlan and/or ANCP related matters. If this person changes during the year, please notify AusAID via email.
- 2) **AusAID Subsidy:** This will usually be 100% of the IPF that has been offered to the NGO. If less than 100% of the IPF is being sought please make a note that this is the case. For example:

Total AusAID subsidy requested	\$630,000 (*Total IPF available \$700,000)
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- 3) **Project Summary Table:** There are a number of things to consider when completing the Project Summary Table:
 - a) The project summary table must include every project that will receive ANCP funding for the financial year;
 - b) Projects must be grouped by country;
 - c) Each country is an appendix. If a project is in multiple countries then the project must be listed against each country and the budget split provided, for example:

Country	Project Name	Partner	DAC	AusAID \$	NGO \$	Total \$	Appendix
PNG	Mothers Health Project	Gromon Harras		100,000	140,000	250,000	1A
Fiji	HIV/AIDS Education	Regional Health Cooperative		40,000	60,000	100,000	2A
Vanuatu	HIV/AIDS Education	Regional Health Cooperative		50,000	50,000	120,000	3A

- d) Dollar figures are for one financial year only;
 - e) Figures in the AusAID column must sum to the Total AusAID subsidy requested;
 - f) Figures in the NGO column must sum to a figure sufficient to meet at least the required 1:3 match;
 - g) All figures must be rounded to the nearest dollar.
- 4) **Evaluation:** Evaluation should be listed as a separate line item and in a separate appendix even if it is being conducted in one of the countries already listed. Up to 5% of the AusAID subsidy can be used for evaluation activities. Further information on evaluation in the ANCP can be found in the ANCP Guiding Principles.

- 5) **Administration/Overheads:** NGOs may use up to 10% of their annual AusAID subsidy for administration/overhead costs. Administration costs anticipated for individual projects should be combined and provided as a single line item. The country listed should be 'Unspecified' unless it is known that all overhead costs are being attributed to one country, in which case that country can be listed.

Administration costs are charges associated with the overall operational capability of an NGO including staff-related social charges, rent, financial audit and/or legal fees, general administrative fees, membership fees (but must not include ACFID membership), insurance, staff support (e.g. secretarial), utilities, bank charges, office supplies. These are more specifically listed in the table below.

Preparation of Annual Development Plans, Performance Reports, RDE Worksheets and Annual Reports are considered to be admin/overhead costs.

Project-related administrative costs may be charged to project budgets. However, NGOs should remember that value for money is a significant aspect of the assessment of activities for funding. AusAID funding is designed to fund or to supplement the development activities of NGOs. As a consequence, general overheads and pre-project costs (such as recurrent expenses at headquarters, membership costs [e.g. ACFID] or administration fees and maintenance costs of basic operations such as appraisal and design mechanisms) would not normally be charged to project operations, whether they occur in Australia or elsewhere.

Administration/Overheads	
Administrative & Support Costs	The salaries and associated overheads of annual leave, long service leave, payroll tax, superannuation and workers compensation payments for administrative, clerical and other support personnel not involved in chargeable project/program work, but who support AusAID related activities such as ADPlans, Annual Reports, Performance Reports and RDE calculations.
Management Costs	The salaries, bonus payments and associated overheads of annual leave, long service leave, payroll tax, superannuation and workers compensation payments for any management personnel not involved in chargeable project/program work, but who support AusAID related activities such as ADPlans, Annual Reports, Performance Reports and RDE calculations.
Office Accommodation	Office rental payments, power and light and leased office furniture, depreciation of office furniture and equipment, but excluding any capital costs, to cover management, technical, support and other personnel.
Office Expenses	Printing and stationary, leasing or depreciation costs for computers, photocopiers and other office equipment which are not directly chargeable to project work, to cover management, technical, support and other personnel.

Operating Expenses	Includes items such as audit fees, legal fees, fees for other professional services, bank charges, bank interest, membership of various associations (excluding ACFID), brochures, staff recruitment costs, repairs and maintenance, office cleaning, staff amenities.
Communication Costs	Telephone, facsimile rentals and operating costs, internet connection and operating costs, courier costs, air freight costs and postage to cover management, technical, support and other personnel.
Travel Expenses	Air, land and sea travel costs which are not directly chargeable to a project/program, to cover management, technical, support and other personnel.
Insurance & Professional Indemnity	The costs of any general insurance, public liability and professional indemnity cover.

NGOs will be required to have auditable records of their actual expenditure against the approved list of items covered by the admin/overheads percentage, but will not be required to acquit them.

The expenditure will be signed off by the agencies auditor as part of their annual audit of financial affairs thus forming part of their financial statement.

If an NGOs actual expenditure is less than 10%, they can use the balance of the funds for capacity building for staff assigned to development program implementation within the agency or with partner agencies in development projects, but they must be able to document use of the funds in an audit.

- 6) **Australian Identity:** The response to this question must be applicable for all projects in the ADPlan. It is understandable that in some instances the response may need to be fairly generic. However, it must be accurate and it is the responsibility of NGOs to ensure that Australian identity is recognised in some way for all Australian Government funded NGO activities.

NGOs should refer to guidance in NGOPI on referencing AusAID in public materials.

Judgement should be exercised in promoting Australian identity. While this list is not intended to be exhaustive, opportunities for promotion of Australian identity can take many shapes and forms and could include:

1. Labelling and badging of project materials
2. Signage - should feature as a minimum:
 - the words *supported by the Australian Government, AusAID*
 - signs should be in the local language, and where possible, include the English version.
3. The recognisable participation of Australian advisors in project activities
4. Visits by Australian officials
5. Development tourism /education - visits by Australians to Australian aid projects
6. Maintaining liaison with foreign missions based in Australia

7. Keeping Australian Missions overseas informed of projects and possible publicity opportunities
8. In-country publicity in the local press reflecting Australia's involvement and support
9. Media releases that include references to previous activities and achievements, the history of Australia's aid to the area in terms of projects, programs or NGO activities (for example, the number of teachers trained to date, area of land re-afforested, or physical outputs of agricultural programs).

7) Declaration: When the Head Agreements were renegotiated in June/July 2006 each NGO submitted a list of people and positions authorised to sign :

- Service Orders and other agreements
- ADPlan, ADPlan Reports and April Performance Reports
- Acquittals
- RDE worksheets

These individuals, and only these individuals, are authorised to sign the declaration. If the declaration has not been signed by someone on this list, AusAID will delay ADPlan payment until this can be rectified.

8) Appendix Heading: The appendix number and country must correspond with the information provided in the Project Summary Table.

9) Planned Start and Completion Date: These dates will not necessarily correspond with AusAID funding and it may not be possible to give a precise completion date. List the most accurate start and end dates available at the time of preparing the ADPlan.

10) Project Outline: This should be a concise (2 or 3 paragraph / half a page) summary of what the project aims to achieve and its objectives.

11) Key Outputs/Activities: This table is split into 3 columns designed to capture different levels of project design and implementation: objectives, significant outputs and activity targets.

- Objectives are the broad development aims or goals of the project.
- Significant Outputs are the tangible products produced by undertaking a series of tasks as part of the planned work of the project. List a maximum of **4** key outputs.
- Activity Targets are the practical, quantifiable elements of the project which will contribute to achievement of the Significant Outputs.

12) Strategic Framework: As the ADPlan only captures one year's data but most NGOs are working on a multi-year basis, it may be useful to demonstrate the relation of the project/program in the ADPlan to a broader strategic framework. NGOs considering activities that do not clearly align with the ANCP Guidelines when viewed through the lens of a single year, should use this section to demonstrate the programs adherence to ANCP Guidelines over the longer term.

- 13) DAC Sector Codes:** One primary and up to three secondary DAC Codes can be listed for each project. It is important to ensure the prefix ‘DAC’ is placed immediately before the five digit DAC Code (eg. DAC11120). If this is not done, the ADPlan will not be accepted until this is changed. The DAC Code list is occasionally updated, the most current version is available on NGOPI.
- 14) Cross Cutting Criteria:** AusAID does not anticipate that NGOs will need to address all three criteria for each project. Depending on the nature of the project it may not be necessary to provide information against any of these criteria. The instructions in italics in the template indicate when this information should be completed. Be aware that if AusAID officers judge that these sections should have been completed based on the other project information provided, NGOs will be required to complete these sections before the ADPlan will be appraised in full.
- 15) Evaluation Appendix:** The Evaluation Appendix is a stand-alone section of the ADPlan. If ANCP funds are being put towards an evaluation, the evaluation details should be listed in the separate Evaluation Appendix. When reporting on the ADPlan it will be necessary to provide a copy of any evaluation report funded through ANCP that financial year.

5. Revising an ADPlan

The ADPlan submitted in June may be amended during the year. NGOs must submit to AusAID for approval any revisions to the ADPlan if there have been major changes in planned activities, budgets, project locations or a change of project partner. NGOs do not need to resubmit the whole ADPlan if only a limited number of activities are impacted, only the ADPlan summary sheet and relevant appendices should be submitted. The revised documentation must be approved by AusAID in writing before changes may be implemented.

For example, revised documentation would be required if:

- project activities are going to be delayed by 6 months due to flooding and the NGO wishes to nominate new activities in an area not affected by the floods; or
- a NGO has made significant exchange rate gains and has decided it is unable to fully expend them on the project on which they were earned. The NGO may choose to submit project revisions outlining new activities in a different project.

Revised documentation would **not** be required if:

- targets have changed but core activities remain the same. For example, if the ADPlan specified that 100 workshops on nutrition would be held but only 50 will be achieved. Written notification of this project revision is not necessary, the NGO should notify AusAID of this change in the ADPlan Report.

AusAID would normally expect AusAID-funded activities to start on the commencement date given in the proposal for an activity. If a NGO does not disburse funds to start the AusAID-funded part of an activity within three months of that date, AusAID would consider that to be a significant proposed change about which the NGO should advise AusAID. In such a case the NGO should advise why there is a delay, when disbursement is expected and confirm whether project services will be delivered within the financial year. When delays are likely to be encountered in forwarding funds to the activity delivery organisation, the funds must be put in a secure, interest bearing account.

NGOs should exercise their judgement when considering whether a matter needs to be brought to AusAID's attention.

6. ADPlan Report and Explanatory Notes

The ADPlan Report is provided annually (i.e. by 30 September), three months after the funding period has finished. The ADPlan Report contains the annual achievements of the ADPlan using the specified measures of performance and the annual financial acquittal.

The ADPlan Report, like the ADPlan, is a single document with a summary page and appendices containing more detailed project information.

A signed hardcopy **and** a softcopy (via email) of the Report must be submitted to CBP, AusAID no later than 30 September each year.

(Insert NGO Name) ADPlan Report 2006-07

Australian NGO Contact Details Contact Officer Telephone Number Email Address	
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Total AusAID subsidy received	
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Project Summary Table: Actual Project Expenditure for the Financial Year (1)

Country	Project Name	Partner	Rating at 30 June	AusAID \$	NGO \$	Total (incl. other donors) \$	Appendix
<i>Afghanistan</i>	<i>Mothers Health Project</i>	<i>Gromon Harras</i>	(2)	<i>100,000</i>	<i>140,000</i>	<i>250,000</i>	<i>1A</i>
<i>Afghanistan</i>	<i>Water & Sanitation</i>	<i>Shashu Development Society</i>		<i>400,000</i>	<i>60,000</i>	<i>460,000</i>	<i>1B</i>
<i>PNG</i>	<i>HIV/AIDS Education</i>	<i>Regional Health Cooperative</i>		<i>250,000</i>	<i>75,000</i>	<i>475,000</i>	<i>2A</i>
<i>x</i>	<i>Evaluation</i>			<i>Up to 5%</i>			<i>4</i>
<i>Unspecified</i>	<i>Overheads</i>			<i>Up to 10%</i>	<i>NGO funds cannot be used to meet match</i>	<i>100,000</i>	<i>N/A</i>
Total							

Any unexpended or unmatched AusAID funds should be refunded to AusAID together with this report.

DECLARATION *The following declaration must be made by an appropriately Authorised Officer of the Non Government Organisation (3)*

I declare:

- this report is complete and accurate;
- the acquittal attached is a correct record of income and expenditure for this ADPlan;
- interest earned on AusAID funds has been calculated accurately and applied to the ADPlan or refunded to AusAID;
- the expenditure detailed in the acquittal has been extracted from the NGO's (or the delivery organisation's) financial accounting records;
- a detailed record of income and expenditure at an individual item level is available;
- the funds allocated to the ADPlan were used in accordance with Head Agreement #, Service Order #, and the ADPlan Proposal, including any variations to the proposal approved by AusAID in writing.

Full Name: _____ Signature: _____ Position in NGO: _____ Date: _____

Appendix 1 - (Insert Country A)

1.1 Project Name:	
1.2 Region(s):	<i>Specify project locations in country</i>
1.3 Implementing Partner(s):	<i>List implementing partner contact details</i>
1.4 AusAID Subsidy:	<i>Total AusAID subsidy expended on this project for the FY</i>
1.5 Total Project \$:	<i>AusAID, Australian NGO, Implementing partner and other donor total contributions to this project for the FY</i>

2. Key Outputs/Activities (4)

The Significant Outputs and Planned Activity Targets in table (a) must be those presented in the ADPlan.

(a) Significant Outputs	Planned Activity Targets	Actual Activity Achievements
<i>Example: Improve access to clean water for 1,000 people</i>	<i>4 wells and 1 water capturing system built.</i>	<i>2 wells and 1 water capturing system built.</i>
<i>Establish community based management of the water systems to ensure sustainability</i>	<i>Community management groups established in each community. Groups to meet 4 times p/year.</i>	<i>Community management groups were not established due to some community confusion over their role however following consultation we believe these will be established soon</i>
<i>Increase community awareness and understanding of the importance of hygiene to general health.</i>	<i>15 workshops run on personal health hygiene 800 brochures on basic hygiene developed and distributed</i>	<i>20 workshops run on personal health and hygiene 1500 brochures on basic hygiene developed and distributed</i>

Changes to an ADPlan's activities that were not significant enough to warrant a revised ADPlan should be detailed in table (b). (5)

(b) Revision	Reason for Revision
<i>Two wells built instead of four</i>	<i>It took longer than expected to transport materials, meaning work began late. The remaining wells will be completed in the next financial year.</i>

3. Strategic Achievements: (6)

What notable contribution has this activity made toward the broader strategic goals of the program/country or sectoral strategy this year?

4. Beneficiaries (7)

Who were the main beneficiaries (direct and indirect) of the project activities covered by the ADPlan?

5. Successes & Difficulties (8)

Specify successes (include any unplanned successes) and difficulties experienced during implementation and describe the effect of these on the project. If there were difficulties, describe actions taken to overcome potential negative impacts.

Successes	Effect on project	Actions Taken
1.		
2.		

Difficulties	Effect on project	Actions Taken
1.		
2.		

6. Lessons Learned: (9) What lessons for the future can be learned from the project? This may include technical or social lessons, and lessons relating to cross-cutting issues such as environment and/or gender?

7. Other Information: (10) This section should only be completed when there are particular issues that need to be brought to AusAID's attention; this may include further explanation of the financial situation when there are complicating factors, or other information as requested by AusAID.

Financial Acquittal

Project Expenditure: (11) Report actual ADPlan costs using the budget format below.

ADPlan Activity Costs	AusAID \$	Aust. NGO \$	Counterpart NGO \$	Other Donors \$
Activity Personnel			<i>If available</i>	<i>If available</i>
Non Personnel Inputs			<i>If available</i>	<i>If available</i>
In-Country Activity Support Costs			<i>If available</i>	<i>If available</i>
TOTAL				

Interest (12)

Interest should include interest earned in Australia by the Australian NGO and interest earned on AusAID funds overseas held by the partner organisation. Any interest rate gains must have been spent on the activities outlined in the ADPlan in the financial year or be returned to AusAID.

	Earned	Acquitted	Remaining
Interest			

Appendix 4 - Evaluation (13)

Project Name:	<i>Evaluation of Mothers Health Project</i>
Country:	
AusAID Subsidy:	<i>Actual AusAID expenditure for this evaluation for this FY</i>
Total Evaluation Cost \$:	<i>Total AusAID, Aust NGO and other donor contributions</i>
Evaluation start and completion dates	
Is the Evaluation Report being submitted with the ADPlan Report?	<i>If not, please explain why and nominate a date for submission of the report.</i>

ADPlan Report Explanatory Notes

In the ADPlan Report Template, anything in italics is an example or is meant to provide guidance on how to complete the template. Please remove these notes before sending the Report to AusAID.

The ADPlan Report should be completed in 12pt, Times New Roman or Arial font.

- 1) **Project Summary Table:** In the ADPlan Report this table must set out the countries and projects in the same order as they were presented in the ADPlan. The dollar amounts listed are actual expenditure figures rather than budget figures.
- 2) **Ratings:** The rating must be a number between 1 and 5 and should be based on the NGO Quality Ratings Guide.
- 3) **Declaration:** When the Head Agreements were renegotiated, each NGO provided a list of people and positions authorised to sign :
 - Service Orders and other agreements
 - ADPlan, ADPlan Reports and April Performance Reports
 - Acquittals
 - RDE worksheets

These individuals, and only these individuals, are authorised to sign the declaration. If the declaration has not been signed by someone on this list, AusAID will not accept the report until this can be rectified.

- 4) **Key Outputs – table (a):** The Key Outputs table in the ADPlan Report should replicate some of what was presented in the ADPlan, but adjusted to include actual project progress during the year. The first two columns, Significant Outputs and Planned Activities should mirror what was presented in the ADPlan. Column 3, Activity Achievements, details the actual activities undertaken during the year. It should be clear from the table whether the project is on track and achieving its targets on schedule, or if there are issues.
- 5) **Table (b):** Revisions in this table should be those that were not significant enough to warrant revised ADPlans. Every variation from the nominated targets does not to be included, however if the actual result varies significantly from the target it is useful to list the reasons for this. Please note, AusAID should be notified of any *significant* amendments during the year and before changes are implemented. For more information see ‘Revising an ADPlan’ on page 16.
- 6) **Strategic Achievements:** Similar to the Strategic Framework section in the ADPlan, this section should capture the ‘bigger picture’. It can be used to report on the broader achievements of the project, or the contribution that the project is making to broader objectives. For example ‘through this literacy activity, XXX organisation has been able to encourage and support increased participation of beneficiaries in employment and vocational training, significantly increasing their livelihoods and ability to participate in their communities.

- 7) **Beneficiaries:** This section should provide information on the direct and indirect beneficiaries of the project. It should include approximate numbers of people benefiting from the project, the location of these people, and a brief description of how they are benefiting. You may also wish to include demographic information like gender or age of beneficiaries.
- 8) **Successes and Difficulties:** This section can include unlimited successes and difficulties, however it is preferable to limit this to the most significant of these.
- 9) **Lessons Learned:** This section should be reflective and take account of the successes and difficulties encountered in the project. It should include knowledge derived from implementation of the project that is likely to be helpful in modifying and improving future projects.
- 10) **The Financial Acquittal and Project Expenditure Table:** An acquittal is periodic accounting to AusAID for the use of AusAID funds, supported by the NGO keeping records which show all spending of every part of every payment made from AusAID. **To be accurate, acquittals must be a record of how and where money has been expended on a project, not simply a record that money has been sent from the Australian NGO to the partner organisation.**

NGOs must be able to fully account for all Australian Government funding provided. Project and ADPlan reporting enables AusAID to be confident that all Australian Government funds provided have been applied and acquitted as agreed. AusAID may request NGOs provide additional financial details for projects where questions arise.

ANCP funding not expended by 30 June each year will need to be refunded to AusAID.

Activity Personnel	<p>Activity personnel are staff engaged in Activity management and/or implementation both In-Australia and in-country, of both the Australian NGO and its implementing partner. Costs include full costs for professional, technical, administrative and clerical staff engaged with the project in-country. Costs also include salary charges only for professional, technical, administrative and clerical staff involved in monitoring and managing of the project in-Australia and on in-country visits and covers such activities as checking field reports, liaison and communications with project partners, preparing project designs, project completion reports and acquittals. These staff costs should be pro-rated to reflect actual time spent on AusAID funded activities. Only those staff involved in the implementation and management of the project are eligible to be charged against Project Activity Costs.</p> <p>In relation to recording of staff time, AusAID does not advocate any particular time recording system for the allocation of actual staff costs. What AusAID does require is tangible/substantive evidence to justify the costs detailed in the acquittals. The process must be transparent and provide for an audit trail. The documentation must be reliable and relate to actual expenditure. It is up to the</p>
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	<p>organisation to determine the most appropriate system to meet these requirements. These systems are subject to assessment by AusAID at its discretion.</p> <p>Personnel Travel costs include transport costs, accommodation and per diems including monitoring visits.</p>
Non Personnel Inputs	Non Personnel Inputs include Materials, Equipment, Freight, Commodity and Insurance inputs
In-Country Activity Support Costs	<p>In-Country Activity Support Costs can include, Activity Support Costs, Communication Costs and Field Office Costs</p> <p>Activity Support Costs relate to those costs incurred directly in supporting the efficient and effective implementation of the activity and excludes items listed in admin/overheads costs.</p> <p>The agency must, if required, be able to demonstrate how Activity support costs have been attributed to the Activity.</p> <p>Communication costs are only for communications between the implementing agency and in the field staff and the Australian NGO's Australian office.</p> <p>AusAID will only fund the purchase of vehicles for an activity in exceptional circumstances. Costs for the use of the NGO's vehicles can only be included where they can be shown as essential for activity management. Any depreciation of NGO's vehicles should be costed at the current Australian Tax Office light vehicle prime cost rate of [15% p.a.] where a vehicle will be only partly used on the funded activity, or where the activity is not expected to last the life of the vehicle. If AusAID funds the total capital cost of the vehicle, no depreciation is allowed.</p>

- 11) Other Information:** This section is only to be completed when there are particular issues judged to be relevant to AusAID. It may include a further explanation of the financial position for example.
- 12) Interest:** The amount of interest earned on AusAID funds must be reported as part of the financial acquittal. Interest earned should include interest earned in Australia and overseas. Where interest has to be estimated, the NGO must state the method of estimation.

Acquitted interest is interest that has been earned and expended in the financial year on the project. Remaining funds are funds that have been earned on the project but were not spent within the financial year.

If interest earned has been expended on another approved project in the ADPlan, these funds can qualify as acquitted. However, it will be necessary to make a note in the ADPlan Report to explain this situation.

Any interest remaining on the ADPlan, or interest that has been earned on the ADPlan but expended on a non-approved AusAID activity, must be returned to AusAID with the ADPlan Report.

- 13) Evaluation:** Every evaluation nominated in the ADPlan should be included in the ADPlan Report. If an evaluation that was meant to be completed has not been, please provide a brief explanation as to why. If additional evaluations have been conducted, these should also be included in the Report. Copies of evaluation reports must be sent to AusAID. If the reports are not finalised, ensure an alternative submission date is nominated in the Report.

7. April Performance Report Template and Explanatory Notes

(Insert NGO Name) ADPlan April Report 2006-07

Australian NGO Contact Details Contact Officer Title Telephone Number Fax Number Email Address	(1)
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Project Summary Table: (2)

Country	Project Name	Rating (3)	Brief Justification (4)
<i>Afghanistan</i>	<i>Mothers Health Project</i>	<i>2</i>	<i>Performance targets not being achieved, monitoring visit brought forward to establish reason for delays and find solutions.</i>
<i>Afghanistan</i>	<i>Water and Sanitation</i>	<i>3</i>	<i>Majority of project activities progressing on schedule however planned IEC materials were not well received and will need to be redeveloped.</i>
<i>Fiji</i>	<i>Environment 2010</i>	<i>4</i>	<i>Existing government structures utilised successfully with full achievement of all targets.</i>

DECLARATION *(The following declaration must be made by an appropriately Authorised Officer of the Non Government Organisation).*

I declare:

- this report is as complete and accurate as possible given the information available at the time of writing;
- a detailed record of income and expenditure at an individual item level will be available with the ADPlan Report; and
- the funds allocated to Projects were used in accordance with Head Agreement #, Service Order #, and the ADPlan proposal, including any variations to the proposal approved by AusAID in writing.

Full Name: _____ Signature: _____

Position in NGO: _____ Date: _____

NGO QUALITY RATINGS GUIDE

The following rating scale is to be used for reporting on the achievement of objectives:

- *Best Practice(5)*
- *Fully Satisfactory(4)*
- *Satisfactory Overall(3)*
- *Marginally Satisfactory(2)*
- *Weak(1)*
- *Objectives dropped during implementation (99)*

*In considering the ratings it is suggested that the following descriptors of **Best Practice/Weak** are used as a guide. Different ratings may be given for each objective, depending on the strength or weakness of the original design and variable performance against different objectives.*

*(5) **Best Practice** - This is a rare score that should not be given lightly. It represents a situation where something over and above normal good aid practice has occurred, particularly something innovative. The key feature is that this project/program is suitable for presenting to AusAID/NGO staff as a model to follow.*

*(4) **Fully Satisfactory** - This is normally as good as it gets. The project/program fully satisfies all AusAID/NGO requirements and there are only a few minor weaknesses in the project/program as a whole.*

*(3) **Satisfactory Overall** - This is the lowest score that satisfies AusAID/NGO requirements. For accrual reporting purposes a score of 3 represents satisfactory aid. However, this score usually means there can be weaknesses as well as strengths but that the weaknesses are not severe enough to threaten the project/program.*

*(2) **Marginally Satisfactory** - A score of 2 indicates that the project/program has serious weaknesses although other aspects may be satisfactory. The main difference between a 2 and a 3 is that a 2 indicates that the weaknesses require early action if the project/program is to continue to progress.*

*(1) **Weak** - This is a rare score which indicates that the project/program is seriously deficient with respect to quality requirements. It also usually indicates that the problems are widespread throughout the project/program and that immediate and decisive action is needed to address them.*

April Performance Report Explanatory Notes

An email of performance ratings is required annually on 30 April, identifying performance ratings for each **project** (information was previously collected by objective). This information contributes to AusAID's annual performance reporting. The performance ratings should indicate progress against development objectives and outputs as identified in the ADPlan for the period 1 July to 30 April.

In the April Performance template, anything in italics is an example or is meant to provide guidance on how to complete the template. Please remove these notes before sending the April Performance Report to AusAID.

The April Performance Report should be completed in 12pt, Times New Roman or Arial font.

- 1) **Contact Details:** Provide the name and contact details of the most appropriate person for AusAID to contact for ADPlan and/or ANCP related matters.
- 2) **Project Summary Table:** This table should replicate, in order, the countries and projects listed in that years ADPlan.
- 3) **Ratings:** The rating must be a number between 1 and 5 and should be based on the NGO Quality Ratings Guide. The NGO Quality Ratings Guide is provided on the second page of the template.
- 4) **Justification:** The justification should be 2 or 3 sentences only and should provide some basis for the rating given.