

# 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 1<sup>st</sup> - March 31<sup>st</sup>; July 1<sup>st</sup> - June 30<sup>th</sup>; January 1<sup>st</sup> - December 31<sup>st</sup>). 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 fundraising)			
Staffing :Other Australian Offices Full Time Part Time Regular Volunteers (excl. special fundraising)			
Staffing :Overseas Full Time Part Time Regular Volunteers (excl. special fundraising)			

**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