

Agency Profile Full Accreditation

(June 2011)

Agency Acronym

Agency Name in Full

Prepared for the AusAID/NGO
Committee for Development Cooperation

Submitted to

AUSTRALIAN AGENCY FOR INTERNATIONAL DEVELOPMENT

Canberra

Month Year

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Agency Profile

Full Accreditation

AGENCY PROFILE GUIDELINES

How the Agency Profile is organised:

1. Overview of Agency
2. Background
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
8. Summary of Annexes to be provided with Agency Profile

The Agency Profile enables an Agency applying for accreditation to provide key information about itself to AusAID so that an assessment can be made about the Agency and how it conducts its operations. The Agency Profile is organised into seven sections. Sections 3 to 7 of this document correspond to accreditation criteria A to E. 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 throughout the Agency Profile: these are to be attached as numbered annexes to the Agency Profile. A complete list of annexes to be included with the completed Agency Profile is in Section 8.

The Agency Profile format is available via email from NGO and Human Rights Section, AusAID or from the AusAID website (www.ausaid.gov.au).

The information you provide in the Agency Profile will enable the Accreditation Review Team to produce a comprehensive Desk Assessment report, which in turn will assist you to prepare for the Organisation Review (OR). Therefore, please answer the questions and provide the information that best describes your Agency.

For additional background about answering the questions refer to the Accreditation Criteria Table and the Accreditation Manual. In many cases examples of indicators and possible ways of verifying those indicators are suggestions only; each Agency must decide how it can best demonstrate that it satisfies 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.

Detailed Guidelines for understanding each Criterion can be found in the [AusAID NGO Accreditation Guidance Manual](#). Agencies that are new to accreditation are particularly encouraged to access this document.

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
- 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 Name of Legal Entity

2.1.3 Provide ABN

2.1.4 Preferred name or acronym

2.1.5 Date when Agency established

2.1.6 Street address of head office

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

2.1.8 Telephone

2.1.9 Email

2.1.10 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

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

This criterion seeks to establish that the Agency's Governing Body and membership do not profit from the Agency's assets, that members are not

remunerated for their services on the Governing Body, and that the Agency's Governing Body is independent of government. These operating principles are ideally documented in the Agency's governing documents.

3.1.1 Provide a copy of governing documents e.g.: Memorandum and Articles of Association or Constitution or Trust Deed or other appropriate documents. (Annex 1)

3.1.2 Reference the clauses in the governing document/s that establish

- the not-for-profit nature of the organisation
- the voluntary nature of membership
- the election/appointment process of Governing Body
- the procedure for winding up of the organisation

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

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

Legal Status:

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

3.2.2 Provide copy of documents showing incorporation status e.g. Certificate of Incorporation (Annex 2).

Agency Governance:

3.2.3 Reference the clauses in the governing document/s that establish

- Membership of the organisation
- Election/appointment process of Governing Body
- Responsibilities of Governing Body
- Provisions regarding conflict-of-interest

3.2.4 Provide a list of Governing Body Office Bearers' names, board positions, date of appointment to Board, and occupations. (Annex 3)

3.2.5 Does your Agency have a policy to deal with Conflict of Interest? Describe how this policy is implemented?

3.2.6 What are the links between the Governing Body and the general staff and the Governing Body and the Agency's senior management?

3.2.7 Provide as an annex, minutes for two recent meetings of your Governing Body. (Annex 4)

Advisory Committees:

3.2.8 List any advisory committees to the Board, their key responsibilities, and who sits on them?

Agency Membership:

- 3.2.9** List numbers of formal Members by state. (*Formal Members* as prescribed in your Governing Document/s)
- 3.2.10** List regular forms of communication with formal Members, such as newsletters, notice of an AGM, and the organisation's Annual Report.
- 3.2.11** How can formal Members have a role in influencing the policies and programs of your Agency?

Agency Affiliations and International Funding Arrangements in relation to governance:

- 3.2.12** 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 or other activities to which your Agency contributes and by which it may be bound?
- 3.2.13** If your Agency shares in the costs of maintaining these activities, list amounts and purposes for the last three years.
- 3.2.14** If your Agency provides funds for administrative support for an international parent body or affiliate, list amounts and purposes for the last three years.
- 3.2.15** Are any of your international affiliates signatories to relevant sector Codes of Conduct within their own countries?
- 3.2.16** Does your Agency play a role on any International Network governance body? If so, please describe in what capacity.
- 3.2.17** Provide copies of any documented agreement(s) related to these affiliations. **(Annex 5)**

Note: Implications of these arrangements and any Global Programming for 'Program Management' are covered in under Section B, and for 'Partnerships' under Section C.

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

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

ACFID Code of Conduct:

- 3.3.1** When was the ACFID Code of Conduct formally adopted by your Governing Body? Give specific date.
- 3.3.2** Has your Agency undertaken the ACFID Code of Conduct Self-Assessment?

NB: AusAID contacts ACFID to check adherence to ACFID Code of Conduct prior to the OR. Agencies newly applying for membership of ACFID Code of Conduct should allow adequate time for approval process to take place.

4. SECTION B: DEVELOPMENT PHILOSOPHIES AND MANAGEMENT PRACTICES

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

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

Agency Objectives:

- 4.1.1** Outline the Vision/Purpose/Mission of the Agency and reference its source – e.g. Constitution or equivalent; Mission Statement, etc
- 4.1.2** Outline the specific development objectives of your Agency and reference their source – e.g. Constitution or equivalent; Strategic Plan; International Program Framework.
- 4.1.3** Provide a brief (1/2 page max.) explanation of how the development objectives of the Agency seek to contribute to poverty alleviation and sustainable development.
- 4.1.4** If your Agency did not begin with an overseas development focus, briefly explain (1/2 page max.) how overseas development became part of the Agency's mandate.
- 4.1.5** Attach a copy of your Agency's Strategic Plan or other documents which outline the organisation's future directions, formally ratified by the Governing Body. **(Annex 6)**

Agency Experience and Track Record:

- 4.1.6** 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						
AusAID - ANCP Partnership Agreements						
AusAID – HES						
AusAID - Country Programs/Cooperation Agreements						
AusAID – other						
Grants from other Commonwealth Depts. (ie non-AusAID)						
Any other grants ie non- Australian Government						
Total Funds Distributed						

4.1.7 Provide as an annex, a list of all programs/projects included in your RDE calculations for the most recent completed financial year. Please use table format under the following headings, and preferably correlate with your Agency's audited annual financial statements. (Annex 7).

Year	Country	Project/ Program	Expenditure		Sectors

4.1.8 Provide a brief (1/2 page max per project) description of three current projects/programs, which you believe represent your Agency's overall development approach: include objectives, partners, beneficiaries and expected outcomes in your description.

Agency's strategic focus/ main fields of operation:

4.1.9 What is the rationale for your Agency's sectoral focus?

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

4.1.11 What is the rationale for your Agency's geographic focus?

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

For Full Agencies:

4.1.13 Does your Agency have country or regional strategies/plans? If so, describe how these are developed e.g. participation of partners or in collaboration with international networks etc.

For Full Agencies:

4.1.14 If your Agency has country or regional strategies, please provide one example as an annex. (Annex 8)

Project/Program Sustainability:

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

Global Programs:

If your agency is not engaged in Global Programs, please answer: N/A and move onto B2.

4.1.16 How are the Strategic Frameworks (or equivalent) that guide global programs/projects developed and approved within your international partners, alliances or affiliates network?

4.1.17 What is the Agency's role in the development and approval of global strategic frameworks?

4.1.18 Does your Agency play a role on any International Network policy or planning committees, for example program development or communications? If so, please describe.

4.1.19 What documented arrangements are in place with international partners, alliances or affiliates specifically relating to global programs? *NB: if this is the same document already provided at Annex 5 please reference the specific clauses which pertain to global programs.* If it differs to Annex 5, please attach one example (Annex 9).

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

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

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

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

Agency's Development Philosophy:

4.2.1 Give a brief (1/2 page max.) statement of your Agency's development philosophy.

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

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

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

4.2.5 Provide copies of policies, ratified by your Agency's Governing Body, that relate to development, welfare, evangelism and politics. **(Annex 10)**

4.2.6 Please list your policies on crosscutting issues at the program level, ratified by your Agency's Governing Body. Issues could include gender, reproductive health/family planning, HIV/AIDS, disability, environment, community participation, human rights or others specific to your agency's sectoral focus.

4.2.7 Please attach your Gender policy as an Annex **(Annex 11)**. Other cross cutting policies will be reviewed at the OR.

Global Programs:

If your agency is not engaged in Global Programs, please answer: N/A and move onto B3.

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

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

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

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

Staffing Details:

4.3.1 Using the following table, give details of the numbers of staff/volunteers involved in development programs and development education.

Staffing	Number of Staff/ Regular Volunteers involved in development programs and development education
Australian Head Office: •Staff •Regular Volunteers	
Other Australian Offices: •Staff •Regular Volunteers	
Overseas Offices: •Staff •Regular Volunteers	

Information Management Systems:

4.3.2 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, please also reference the source.

Project /Program Management Cycle

4.3.3 Does your Agency have guidelines or procedures for management of the project cycle – i.e. project identification, design, appraisal, implementation, monitoring and evaluation? Please describe.

4.3.4 Does your Agency have standard templates for design, appraisal, progress reporting and field monitoring? If so, attach a copy of these templates for design, appraisal, progress reporting and field monitoring. **(Annex 12)**

4.3.5 Using the same project or program where possible, attach one completed example of each of: a project design; an appraisal; a progress report; and a field-visit monitoring report. **(Annex 13)**

Project/Program Design:

4.3.6 How are projects and programs identified? e.g. by overseas parent NGO; by local partner; through requests from prospective beneficiaries; through project identification mission. Describe the role of the Australian Agency.

4.3.7 How are projects designed? e.g. by the Australian agency or by partners etc. Describe the role of the Australian Agency.

Project/Program Appraisal:

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

Project/Program Implementation:

4.3.9 Explain to what extent the management of projects and programs are 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.

Risk Management:

Note: Financial risk management is covered in section E.

4.3.10 Describe systems your Agency uses to assess and manage *organisational* risk.

4.3.11 Describe systems your Agency uses to assess and manage *program* risk

4.3.12 Describe systems your Agency uses to assess and manage risk related to child protection.

4.3.13 Provide a copy of your Agency's Child Protection policy as an annex. **(Annex 14)**

4.3.14 Describe the systems your Agency uses to assess and manage risk related to terrorism.

4.3.15 List your Agency's policies or key documents, ratified by the Governing Body, which relate to any aspects of risk management. This might include:

- Overall risk management framework
- program level risk matrices
- project risk matrices
- staff health and security while overseas
- counter terrorism

The actual policies will be reviewed at the OR.

Note: Assessment of financial risk management is covered in section E3.

Global Affiliations in relation to project management:

If your agency is not engaged in Global Programs, please answer: N/A and move onto B4.

4.3.16 What is your Agency's involvement in the program management cycle as part of the agreed framework for global programs? Please specifically describe your Agency's role in the design and appraisal process.

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

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

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

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 progress reports from the field and how does your Agency utilise them?

4.4.3 Where partners in-country undertake monitoring, 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 Are these arrangements spelled out in agreements between your Agency and the implementing Agency?

Project/Program Evaluation:

4.4.6 How does your Agency conduct project/program evaluations? eg self-evaluations by implementing partners; field visits by Australian staff; peer reviews; use of consultants etc.

4.4.7 Provide a list of evaluations undertaken in the last three years.

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

4.4.9 Describe how your Agency uses the findings/recommendations of evaluations? How are the findings communicated with partners and beneficiaries?

Development Effectiveness:

4.4.10 What other mechanisms, if any, does your Agency use to assess the outcomes and impact of development activities (e.g. annual program reviews, the use of a program effectiveness framework, research projects, etc)

Global Programs:

If your agency is not engaged in Global Programs, please answer: N/A and move onto B5.

4.4.11 How are global programs monitored and evaluated and who is responsible for this?

4.4.12 How often do you receive interim reports on Global Programs from the field and how does your Agency utilise them?

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

4.4.14 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?

4.4.15 Are these arrangements spelled out in agreements between your Agency and the implementing Agency?

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

This criterion only applies to agencies applying for FULL ACCREDITATION. If your agency is applying for BASE ACCREDITATION, do not provide a response to CRITERION B5.

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

Forward Planning and Agency Sustainability:

- 4.5.1** List your Agency's principal goals for the next three-year period and reference their source.
- 4.5.2** Outline the process by which your Agency reviews its strategic plan and who is involved in this review process – including staff, members and partners.
- 4.5.3** If your Agency has any plans to change its sectoral or geographic approach in the next two years, provide details.
- 4.5.4** Describe any longer-term program for diversifying the Agency's business/funding/resource development base?
- 4.5.5** Briefly describe (1/2 page max.) any other mechanisms the agency uses to review and improve its management and operations.

Human Resource Management:

- 4.5.6** Describe current practices of your Agency for human resource performance management. Reference any formally adopted policies and systems.
- 4.5.7** Describe your program of staff professional development and training.

Improvements since the last Accreditation Review:

- 4.5.8** Describe your Agency's response to recommendations made at the last Accreditation Review.
- 4.5.9** Describe any significant self-improvement changes your Agency has instituted in the last five years and highlight how they have had an impact on your Agency's performance.

5. SECTION C: APPROACHES TO PARTNERSHIP AND DEVELOPMENT COLLABORATION

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

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

Current Partners:

5.1.1 List current partners using the following table.

Country	Partner name	Type of Organisation	Years of Involvement

Documented arrangements:

5.1.2 Describe the documented arrangements your Agency has with its in-country partners? e.g. MOUs, project/program agreements, Exchange of Letters etc.

5.1.3 Does your Agency have a standard format/s. If so please attach.
(Annex 15)

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 some of its partners, please explain how your Agency satisfies itself that roles and responsibilities will be met and your Agency's contractual obligations to AusAID maintained.

Agency Affiliations in relation to partnerships:

5.1.6 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?

5.1.7 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?

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

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

Partner Capacity Assessment:

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 and one completed example of such an assessment (**Annex 16**).

5.2.3 Describe an example where the issue of partner capacity was taken into account in project designs or other partnership initiatives which address capacity?

5.2.4 Are any of your in-country partners signatories to relevant sector Codes of Conduct within their own countries? If so please list.

Agency Capacity Assessment:

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

5.2.6 Describe an occasion/s 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.

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

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

Approaches to Partnership:

5.3.1 Briefly describe (1/2 page max.) your Agency's general approach to establishing and developing partnerships 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 Does your Agency support the program of a partner, or is support restricted to specific projects? Give the rationale for your approach.

Roles in Partnership:

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

5.3.6 Describe your Agency's practice about the frequency and nature of visits by your representatives to partners/projects, and other mechanisms that engage partners such as participation in the Agency's own decision making or advisory bodies, of reciprocal visits by partners to Australia etc.

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

5.3.8 Describe processes used by your partners, which could involve beneficiaries in the project cycle. e.g. participatory planning, PRA, etc

Other External Relations:

5.3.9 How does your Agency collaborate with other NGOs?

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

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

6. SECTION D: LINKAGES WITH THE AUSTRALIAN COMMUNITY

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

This criterion seeks to understand:

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

Australian Identity:

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

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

Australian Community Support:

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

6.1.4 Estimate the number of current financial supporters.

6.1.5 How many subscribers and receivers are there of your Agency's publications?

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

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

Responsive Interaction to a Community Base:

6.1.8 Does your Agency utilise social media to engage with your Australian constituency? If so please list the methods e.g. Facebook, twitter, blogs, YouTube etc.

6.1.9 How, if at all, do donors/supporters have input to influencing the strategic direction and priorities of your Agency?

6.1.10 How is your Agency accountable to its Australian support base? e.g. Annual Report, Financial Statements, AGM, newsletters etc.

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

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

6.2.1 Attach examples of promotional and other materials which describe your Agency, its objectives and activities. (Annex 17) NB: Keep this to a minimum perhaps 2 recent newsletters, brochures and reference to website address.

6.2.2 Describe your practice concerning the collection and use of life stories/photos of beneficiaries in promotional materials. Reference any Agency policies or guidelines.

6.2.3 Where your Agency relies on volunteers to assist in promotional activities, how does it ensure that these volunteers provide accurate information about the Agency?

Global Programs:

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

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

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

6.3.1 What is your Agency's strategy for maintaining Australian community support (both financial and in-kind) for its development programs? Reference any strategy documents.

6.3.2 How do you promote the development assistance activities of your Agency in Australia? eg media releases; publications, speaking engagements; networking with other agencies; etc.

6.3.3 What are the main regular fundraising activities of your Agency?

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

6.3.5 Summarise your policy/approach in regards to corporate fundraising.

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

This criterion only applies to agencies applying for FULL ACCREDITATION. If your agency is applying for BASE ACCREDITATION, do not provide a response to CRITERION D4.

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

6.4.1 Outline your Agency's plans for Development Education and Advocacy? Reference any strategy documents.

6.4.2 Describe your Agency's main activities which are specifically designed to raise awareness about aid and development issues (as distinct from promoting the Agency itself)? Which issues is your Agency currently addressing?

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

7. SECTION E: FINANCIAL SYSTEMS & RISK MANAGEMENT

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

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

7.1.1 Does your Agency have policies, systems and procedures in place to ensure funds are used for the purposes for which they are intended? Briefly describe

7.1.2 If these arrangements are documented attach a copy (if brief); otherwise provide a copy of the document index and reference the document title for sighting at the OR. **(Annex 18)**.

7.1.3 Briefly detail the policies, systems and procedures in Australia and in Country, under the following headings:

7.1.3.1 Responsibilities of officers and their delegations

7.1.3.2 Purchasing/contracting policies and procedures

7.1.3.3 Accounts payment systems

7.1.3.4 Certification of accounts and acquittals

7.1.3.5 Assets management

7.1.3.6 Staff records

7.1.3.7 Travel approval

7.1.3.8 Filing system

7.1.3.9 Calculation and use of interest

7.1.3.10 Management of exchange rate gains/losses

7.1.4 Attach a copy of your Agency's most recent Annual Report. **(Annex 19).**

7.1.5 Attach a copy of your Agency's most recent audited financial statements. **(Annex 20)**.

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

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

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

7.1.9 For each of the above, list type of audit (External, Internal / System or Expenditure Acquittal) and who undertook it

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 only applies to agencies applying for FULL ACCREDITATION. If your agency is applying for BASE ACCREDITATION, do not provide a response to CRITERION E2.

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

7.2.1 Describe one example of finance-related institutional strengthening activities of your Agency, its partners or affiliates.

7.2.2 Describe one example of your Agency assessing the administrative and financial capacity of your partner or affiliate.

7.2.3 Does your Agency have documented arrangements with Partners and Delivery Organisations such as MOUs, formal partnership agreements or project agreements which reflect AusAID financial accountability and reporting obligations. *Please reference examples to document title to be sighted at OR.*

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

This criterion only applies to agencies applying for FULL ACCREDITATION. If your agency is applying for BASE ACCREDITATION, do not provide a response to CRITERION E3.

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

7.3.1 Describe the systems your Agency uses to assess financial risk management (Cross reference your answers to Criterion B3, specifically 4.3.15 where relevant). List relevant policies and key documents which might include:

- Overall risk management framework

- Organisation level and financial risk matrices
- Country / partner risk matrices

7.3.2 Describe the systems your Agency uses to assess and manage risk related to expenditure through partner and delivery organisations including any additional systems and procedures your Agency may have to control funds sent overseas?

7.3.3. Are there any differences in your procedures when handling AusAID funds?

7.3.4 Has your Agency identified or reported any fraud in the last two years. Provide summary details. What action has been taken post discovery to improve financial systems and processes?

7.4 Criterion E4: Agency can raise contributions (a minimum \$100,000 RDE for FULL Agencies and \$50,000 for BASE Agencies) from the Australian community in support of development activities.

This criterion seeks to verify that the Agency

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

7.4.1 Attach your most recent RDE worksheet submitted to AusAID. (Annex 21)

Note: If your Agency is new or newly applying for accreditation, please complete and submit a copy of the last 3 years RDE worksheets with your Organisational Profile and application.

7.4.2 Does your Agency include the Value of Volunteer services and/or goods in-kind donations in the RDE calculation? If so indicate the method for valuation and the nature of records maintained to support the calculations.

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

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

7.5.1 Provide a list of all documents verifying your Agency's charitable institution status, tax deductibility status and authority to fundraise for all jurisdictions. Provide details of date, relevant body granting authority and date of expiry. Have copies of relevant documents available for sighting at OR .

8. SUMMARY OF ANNEXES TO BE PROVIDED WITH AGENCY PROFILE

Annex 1 Copy of governing documents eg: Memorandum and Articles of Association or Constitution or Trust Deed or other appropriate documents.

Annex 2 Copy of documents showing incorporation status e.g. Certificate of Incorporation.

Annex 3 List of Governing Body members/directors, Board positions, date of appointment to Board, and occupations.

Annex 4 Minutes for two recent meetings of your Governing Body.

Annex 5 Copy of any documented agreements/s relating to global affiliations

Annex 6 Copy of the Agency's Strategic Plan or equivalent

Annex 7 A list of all programs/projects included in the RDE calculations for the most recent completed financial year. Please use table format provided at question 4.1.7

Annex 8 One example of a country or regional strategy

Annex 9 Copy of documented arrangements with international partners, alliances or affiliates specifically relating to global programs. *NB: if this is the same document as Annex 5 please just reference the specific clauses which pertain to global programs.* If it differs to Annex 5, please attach one example.

Annex 10 Copies of policies, ratified by the Agency's Governing Body, that relate to development, welfare, evangelism and politics.

Annex 11 Copy of Gender Policy ratified by Agency's Governing Body.

Annex 12 Copy of standard templates for design, appraisal, progress reporting and field monitoring.

Annex 13 Using the same project where possible, attach one completed example of: a project design; an appraisal; a progress report; and a field-visit monitoring report.

Annex 14 Copy of the Agency's Child Protection Policy

Annex 15 Copy of a standard format documenting arrangements with in-country partners

Annex 16 Copy of guidelines or a checklist for the assessment of partner capacity and one completed example of such an assessment

Annex 17 Examples of promotional materials which describe the Agency, its objectives and activities. *NB: Keep this to a minimum perhaps 2 recent newsletters, brochures and reference to website address.*

- Annex 18 Copy of key financial policies, systems and procedures, or index if document too large.
- Annex 19 Copy of Agency's most recent Annual Report
- Annex 20 Copy of Agency's most recent audited financial statements
- Annex 21 Copy of Most recent RDE worksheet submitted to AusAID