

Australia Africa Community Engagement Scheme

Program Design Document

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Acronyms

AACES	Australia Africa Community Engagement Scheme
ACFID	Australian Council for International Development
ANGO	Australian Non-Government Organisation
APAC	Australian Partnerships with African Communities Program
AusAID	Australian Agency for International Development
CBO	community-based organisations
CSO	Civil Society Organisation
INGO	International Non-Government Organisation
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
NGO	Non-Government Organisations
ODE	Office of Development Effectiveness
QAI	Quality at Implementation
SBA	Strength based approach

Terminology

The following terms are used throughout the document.

<i>AACES Partnership NGOs</i>	This refers to the Australian NGOs who were selected by AusAID to be funded for five years under the AACES program
<i>Other Australian organisations</i>	This refers to other organisations in Australia which may be funded under the complementary small scale funding component managed under AACES
<i>AACES program</i>	This refers to the overarching framework for all the AACES funded work
<i>NGO projects</i>	This refers to the specific work undertaken by each of the AACES partnership NGOs with their partners in Africa
<i>Resource facility</i>	This refers to the contracted organisation who will supply secretariat, communication and other functions for the AACES program

Executive Summary

The Australia Africa Community Engagement Scheme (AACES) is an AusAID program of funding for Australian Non-Government Organisations (ANGOs) and their Africa-based partners. The design for the program, presented in this document, was developed through a collaborative and participative process between AusAID and the ANGOs over a six month period. Simultaneously, the individual Australian NGOs and their partners also developed their respective project designs.

The program focuses on the AusAID priority sectors in Africa as identified in the AusAID Strategy for Africa: food security, water and sanitation, and maternal and child health. It will focus in communities in Ethiopia, Ghana, Kenya, Malawi, Mozambique, Rwanda, South Africa, Tanzania, Uganda, Zambia and Zimbabwe, with particular attention to women, children, people with disability and people vulnerable to disaster.

The overall intention of AACES is to:

Enable Australian NGOs and their partners to contribute to the AusAID strategy for Africa, through a partnership program focused on community-based interventions across the sectors of water and sanitation, food security, and maternal and child health.

Three objectives have been developed to operationalise this intent.

Objective 1: Marginalised people have sustainable access to the services they require.

Objective 2: AusAID policies and programs in Africa are strengthened particularly in their ability to target and serve the needs of marginalised people.

Objective 3: Australian public are more informed about development issues in Africa.

Ten accredited Australian NGOs (World Vision; CARE; Action Aid; Marie Stopes; Caritas; Oxfam; Water Aid; AnglicORD, in association with the Nossal Institute and Australian Volunteers International; Plan and the Australian Foundation for the Peoples of Asia and the Pacific) and their Africa partner organisations will implement the three objectives of the program, working with AusAID through a partnership agreement. In addition, a small complementary program will also be managed under AACES. This will provide AusAID with the opportunity to engage with other Australian organisations, including research and policy institutions, African diaspora groups and other Australian NGOs. This complementary program will assist with implementation of AACES objectives two and three.

The program will be managed through a joint AusAID/NGO steering committee. Other program features include an innovations fund to support experimentation and new directions under Objective 1 and a resource facility to support coordination, communication and program level monitoring.

The program is supported by a strong monitoring and evaluation system which gives attention to monitoring of individual NGO projects, whole of program monitoring, value for money, and assessment of key management arrangements such as the partnership agreement and the effectiveness of the resources facility.

The program budget is \$90 million for the design phase plus five years of implementation.

1. Introduction

The Australia Africa Community Engagement Scheme (AACES) is an AusAID program of funding for ten Australian Non-Government Organisations (ANGOs) and their Africa-based partners. The program builds on the experience of the previous AusAID Non-Government Organisations (NGO) program in Africa, the Australian Partnerships with African Communities Program, 2004-2010 (APAC). The program is designed to support AusAID's renewed focus on Africa with particular attention to the needs of the most marginalised. The program budget is \$90 million over five years.

This document outlines the design for the AACES program and explains the ways in which it will support and bring together the detailed project designs of each of the Australian NGOs and their partners.

2. The AusAID Africa Strategy

The AusAID Strategy for Africa has recently been redeveloped¹. The intention of the strategy is to maximise the impact and effectiveness of Australian aid to Africa through a focus on areas where Australia has particular strengths, and to countries where Australia's aid program is best able to make a difference.

The outcome sought by the Strategy is to:

“Contribute to improvement against Africa regional targets for eradicating extreme poverty and hunger (MDG 1), reducing child mortality (MDG 4), improving maternal health (MDG 5) and increasing sustainable access to safe drinking water and basic sanitation (MDG 7)” (page 9).

The Strategy is therefore designed around the sectors of maternal and child health, water supply and sanitation, and agriculture and food security. It also looks to build human resource capacity in Africa and seeks to help African countries manage and respond to major threats to development such as humanitarian disaster, climate change and natural resource management issues.

The Strategy outlines several implementation modalities including work with NGOs, community-based organisations (CBO) and other Australian institutions. It identifies that Australian NGOs in particular have long-standing partnerships in Africa and have an important role to play in implementing community development programs with marginalised groups in Africa.

This design was developed in response to the policy direction for inclusion of Australian NGOs as an implementation modality in the AusAID Africa strategy.

3. Development of this design

The first step in the design process was the development of a design concept paper (see Annex One). The concept paper was informed by the review of the previous APAC program, a review of the lessons from AusAID's more recent Cooperation Agreement programs², and a synthesis of other relevant

¹ AusAID (2010) “Looking West: Australia's strategic approach to aid in Africa 2011 -2015”, December.

² E.g. AusAID's Solomon Islands NGO Partnership Agreement (SINPA) and the Australia Middle East NGO Cooperation Agreement 2 (AMENCA 2)

literature. The concept paper established the program and policy rationale for AACES (This rationale is repeated in summary form in the following section of this design). A key feature of the rationale is the need to increase the synergy between AusAID and NGO programs in order to achieve more impact from Australian aid funding in Africa.

Following the approval of the concept in December 2009, AusAID invited applications from accredited Australian NGOs. Through a competitive process, AusAID selected 10 ANGOS³. ANGOS were selected based on their experience and capacity in Africa, and whether their proposed locations and type of work aligned with AusAID's strategic interests. AusAID then consulted with the 10 ANGOS and requested some to refine their proposed locations of operation, implementation partners and sectors of implementation. Following these negotiations, AusAID funded the organisations to undertake a four-month design process to scope and develop their concepts into full project designs together with their African partners (see design guidelines in Annex Two).

At the same time a 'whole of AACES program' design process started which was intended both to support the individual ANGO designs as well as provide a participatory process for AusAID, the ANGOS and their partners to jointly develop a suitable AACES program design (terms of reference for the AACES program design are included in Annex Three). Two design consultants were employed to develop the program design document as well as provide support on request to the NGOs.

The design process built on the original concept and rationale, drawing lesson from other programs and from more recent AusAID and NGO experience. This led to further refinement of the program objectives and approach, as outlined below.

A key aspect of the AACES program design was the decision to enter into a partnership approach. AusAID and the Australian NGOs participated in two days of partnership training. During follow-up workshops in Australia and Nairobi, AusAID and all the NGOs identified the principles and behaviours that would constitute a partnership approach within the AACES design process and the AACES program. These are outlined in more detail in Section 6.2, together with the details of the way in which partnership will be operationalised in program implementation.

This has had several implications for the subsequent design process. In line with the partnership approach, the design process for AACES involved regular and transparent communication between the NGOs and AusAID, which was supported by a shared interactive web site. Also in line with the partnership approach, decision-making about the AACES design was made in a collaborative way between AusAID and the NGOs as far as possible. This was undertaken through three workshops held in Australia and in Africa where AusAID, the ANGOS and their partners agreed on key aspects of the program (e.g. the final wording of the objectives and outcome areas, and management and implementation arrangements).

³ These include the Australian chapters of the following organisations: World Vision, CARE, Action Aid, Marie Stopes, Caritas, Oxfam, Water Aid, AnglicORD (which in turn has a collaborative arrangement with the Nossal Institute and Australian Volunteers International), Plan, and the Australian Foundation for the Peoples of Asia and the Pacific (AFAP).

AusAID thematic teams from water and sanitation, food security and maternal and child health sectors, and from the cross cutting sectors of disability inclusiveness, and climate change and adaptation met with NGOs during the design phase. The purpose of this interaction was to help strengthen the NGO designs, as well as to identify possible areas of synergy and joint work between the NGOs and AusAID's other programs in Africa, as anticipated in the original program concept.

Other developments were also influential in the whole of program design. Learning from the experience of AusAID's more recent Cooperation Agreements, research was undertaken into secretariat models which might be utilised to support the program. AusAID and the NGOs then identified the desired functions and management arrangements for the resource facility that is proposed in this design.

The design process sought to maximize available knowledge and opportunities for ongoing program development. The African-based partners of the ANGOs participated in the two Nairobi workshops held during the design period, as well as having access to all documents and general discussions. In line with the program rationale which emphasises the need for wider engagement with civil society, consultations were also undertaken with other Australian organisations including universities and policy-based organisations, other ANGOs, and African Diaspora groups. The consultations explored the contribution these groups could make to AACES, particularly around policy and community engagement. This culminated in an additional component being added to AACES to enable some small-scale inclusion of these organisations. This is outlined in more detail in section 6.3.3.

NGOs were encouraged to be innovative in their designs. Building on the latest thinking on how to work with marginalised people, the NGOs were encouraged to utilise a strength-based approach (SBA) in the design of their projects. To support this, a one-day workshop on SBA was held in Nairobi. Several of the NGOs went on to apply SBA in their design process, and several are experimenting with this approach through the implementation of their projects. A case study on how CARE Ethiopia applied a SBA in its design is included at the end of this section.

The NGOs were also encouraged to develop flexible designs, with an emphasis upon detailed first year arrangements, and high quality monitoring and evaluation (M&E) to provide a basis for further development of their projects over time. At AusAID's request, an innovations fund has been included in the design to provide opportunities for collaboration between NGOs and further emphasis upon experimentation and innovation across the life of the program.

The design process for AACES thus involved two iterative processes: the design of the individual NGO projects; and the development of the overall AACES program design. During the four months, the NGO designs were subject to informal review from the other agencies and AusAID as well as from the design consultants. At completion, the individual project designs were reviewed by an independent appraiser, AusAID staff, and two ANGO peer reviewers. A summary of the project designs is included in Annex Five. The whole of program AACES design, presented in this document, complements those ten individual project designs.

This document builds from the rationale in the original concept paper, and outlines the further design developments since that point, including the negotiated agreements around the ACCES objectives, implementation, management and monitoring and evaluation arrangements.

Using a Strengths Based Approach in the design of the 'We Rise' Project in Ethiopia by CARE



CARE Ethiopia was one of several NGOs that applied a SBA during the design of their AACES project. As CARE Ethiopia Livelihood Team Leader Samuel Molla explained:

"While I already had skills in SBA, AACES provided a unique opportunity for us to use this approach. Typically other donors have not supported SBA because it does not fit within the log frame approach with objectives and indicators defined up front. The SBA requires us to be flexible to see what emerges from the community. AACES gave us the flexibility to trial this approach with our local government authorities and local partners".

CARE Ethiopia started their design process by training staff from district and local governments, and local NGOs in the SBA process. The 17 'trainees' then helped to facilitate the SBA design process in three pilot communities that had been identified by the government as being chronically food insecure.

Through the SBA design process, the communities were facilitated to identify their existing physical, cultural, social, natural and institutional assets, initiatives they had successfully carried out in the past, and to review the nature of their relationship with service providers. They then identified practical strategies to strengthen existing community practices and government service provision to support women's empowerment and to improve food security for more than 15 000 chronically food insecure households.

Samuel explained that he preferred the SBA approach to the traditional needs based approach because it empowered communities to mobilise and build on their own assets and resources, and then complement this with external resources and technical support. 'We are there to accompany them, not to bring a magic solution to their issues'. Government feedback was that they saw value in using the SBA process as a way to support communities to address issues in a context of limited government financial resources.

CARE Ethiopia hopes that by involving government service providers in the early stages of the project, this will lead to their greater engagement in and commitment to the project outcomes, as well as opportunities to scale up the project outcomes and sustainability. While the project design phase is initially targeting three communities, it is intended that the partner NGO, and government service providers will expand this to another 24 communities within the life of AACES.

4. Policy and program context

4.1 AusAID Policy in Africa

The AusAID policy in Africa includes the recently completed Africa strategy⁴, together with specific sector strategies for the areas of maternal and child health, water and sanitation and food security. The sector strategies are moving now into implementation and AACES will support the engagement of ANGOS and their partners in the implementation of these policies as they are developed.

The Africa Strategy identifies the considerable development challenges in Africa, but also points to the commitment of many African countries to improve conditions for their people. It identifies the challenges faced by donors and the need for Australia to carefully focus on areas where it can provide the most impact as a modest donor in the region. In this region AusAID is particularly seeking to work collaboratively with other donors and organisations such as NGOs to maximize impact and avoid duplication. AACES will serve as one of the many implementation approaches for AusAID under the strategy.

AusAID has a range of programs in Africa which include funding for ANGOS, other Australian organizations, UN agencies and regional bodies as well as local and other international NGOs. AACES will complement these existing programs and seek to share learning and ideas that can be adopted by these programs.

4.2 Development in Africa and the role of civil society

There is a strong focus on the achievement of the MDGs in African countries and considerable debate around how to progress this achievement. The latest progress report⁵ suggests that while there has been some improvement in achievement of universal primary education and the empowerment of women, most African countries are unlikely to achieve MDG1 (eradication of extreme poverty and hunger) or to address the significant concerns around maternal and child mortality. There has been progress in the area of water and sanitation provision, but other reports suggest that water and sanitation related diseases remain the biggest killer of children in Africa⁶.

In light of this limited progress, and the finding that progress towards reducing absolute poverty through economic growth is likely to be slow, it is recommended that governments must focus on enabling access to the most basic social services for the poorest members of society⁷. It is further

⁴ AusAID (2010) "Looking West: Australia's strategic approach to aid in Africa 2011 -2015", December.

⁵ United Nations Economic and Social Council, Economic Commission for Africa and the African Union Commission (2011), "Report on progress in achieving the millennium development goals in Africa, 2011", Ethiopia, March.

⁶ UNICEF & WHO (2009) "Diarrhoea: why children are still dying and what can be done", UNICEF/WHO.

⁷ United Nations Economic and Social Council, Economic Commission for Africa and the African Union Commission (2011), "Report on progress in achieving the millennium development goals in Africa, 2011", Ethiopia, March.

argued that Governments and donors need to utilise the experience and connections of civil society in Africa⁸ in order to successfully undertake this service delivery.

Civil society means many things in Africa, with organisations ranging from large international NGOs through to informal and local CBOs. Research suggests that civil society organisations have tended in the past to focus on service delivery⁹ and some contribution to increased governance through development of voice for marginalised groups¹⁰. More recently, there is increasing interest among African civil society organisations around MDG achievement, especially as it relates to inclusion of the most poor. There is evidence that civil society has a particular role to play in assisting donors and governments to identify and reach the most poor and marginalised, and for holding donors and governments to account for whether they do so. Civil society is also increasingly recognised for being able to make a significant contribution to policy and program development as national governments and donors seek to develop appropriate programs and safety nets for poor people¹¹.

Experience to date suggests that for civil society to become more effective in these areas it needs increased capacity to engage in policy dialogue with governments and donors, as well as maintaining its traditional service delivery role¹². Generally however, the NGOs, and in particular the more locally-based organisations, have avoided policy development and advocacy work¹³. This has been attributed to the types of funding made available to civil society, and the lack of mechanisms to facilitate constructive dialogue around policy between civil society and governments¹⁴.

4.3 AusAID civil society policy

The AusAID policy on engagement with civil society is currently under development. However a recent AusAID review has led to several recommendations which have relevance for this design.

The review¹⁵, undertaken by the Office of Development Effectiveness (ODE), concludes that effective development work requires donors to understand how governments relate to their citizens and to be able to work with key agents of change both within and outside governments. It suggests that engaging with civil society in all stages of the development process and allowing multiple voices and

⁸ Samuels, F., James, V & Sylvester, K. (2009) "Beyond basic Needs: programming for marginalised and vulnerable groups", ODI Project Briefing, No 19, April.

⁹ Mati, J.M. (2008) "Taking the Pulse of Civil Society worldwide: Insights from the CIVICUS Civil Society Index project (2003-2007). Paper presented at the 8th Conference of the International Society for Third Sector Research, University of Barcelona, Spain.

¹⁰ Tembo, F., Wells, A., Sharma, B. & Mendizabal, E. (2007) "Multi-donor support to civil society and engaging with 'non-traditional' civil society", A light touch review of DfID's portfolio, ODI, June.

¹¹ Noyoo, N. (n.d.) "Civil society and poverty reduction in South Africa", research conducted for the Foundation Maison des Science de L'Homme, Paris, France.

¹² Gabriel, N. (2003) "The Millennium Development Goals: Towards a Civil Society Perspective on Reframing Poverty Reduction Strategies in Southern Africa", Presented at the Southern Africa MDGs Forum, Johannesburg, 2 – 4 July.

¹³ Robinson, M & Friedman, S. (2005), "Civil Society, democratization and foreign aid in Africa", IDS Discussion paper 383, April.

¹⁴ Southern Africa Trust (2007), "Aid Effectiveness: trends and impacts of shifting financial flows to civil society organisations in southern Africa", South Africa.

¹⁵ ODE (2009) "Theory of Change: AusAID engagement with civil society", Draft.

perspectives to be heard through this engagement, leads to better development outcomes. The review therefore recommends that AusAID work with civil society beyond a service delivery role.

In line with these recommendations, AusAID's current approach to working with civil society identifies three areas of possible activity¹⁶:

- Policy dialogue: contributing to policy program and strategy development in Australia and overseas.
- Program delivery: facilitating better access to basic service delivery and humanitarian activities for poor and vulnerable communities; strengthening the role and capacity of civil society in partner countries; and supporting governance systems to work better for the poor.
- Building community support both within Australia and abroad: undertaking development awareness activities and advocating on international development issues; facilitating people to people and organisational links through volunteer and other programs.

Finally, the ODE review recommends that AusAID work directly with civil society in other countries and also through ANGOs, making use of their extensive international networks and partnerships.

4.3 Partnerships with AusAID

AusAID has an increasing emphasis on partnership with selected implementing agencies including NGOs. AusAID experience suggests that a partnership approach (in contrast to a more typical contractual arrangement) with NGOs increases access, improves the efficiency and effectiveness of development outcomes and provides for mutual learning for the improvement of development work¹⁷.

Recent partnership arrangements with Australian NGOs have been designed around a focus on mutually agreed development outcomes. Those partnerships seek to leverage off the strengths of Australian NGOs including their reach to poor people in other countries as well as their contact with the Australian public¹⁸.

Partnerships have a number of forms in AusAID. For the development of the AACES partnership AusAID and the ANGOs and their partners explored the value of partnership and established the approach and the boundaries of the arrangement which would suit AACES. Details are provided in Section 6.2

4.4 Australian NGOs and development effectiveness

The Australian Council for International Development (ACFID) has sponsored several years of research focused on increasing the development effectiveness of ANGOs¹⁹. The research suggests that ANGOs undertake the most effective development work in locations where they operate for a long time and

¹⁶ Taken from the AusAID NGO and Community Engagement Section discussion Paper, "AusAID Engagement with NGOs", draft, October 2009. This paper reflects the current development of AusAID policy on engagement with NGOs but given it is under development the details of the policy are subject to change.

¹⁷ AusAID (2011), "Pacific Leadership Program. Operating guidelines.", Version 4, March.

¹⁸ AusAID (2009) "ANCP streamlining and reform agenda. Outcome 7: ANCP partnership agreements", May.

¹⁹ Chapman, R. (2008), "A survey of Australian NGOs on development effectiveness", ACFID.

Roche, C. (2009) "ACFID development effectiveness research report".

are able to experiment, make mistakes and work with particularly marginalised and poor people through a relationship-based approach. Further, that effective development work is most often undertaken through a 'joined up' approach that links delivery of services with a focus on people's rights. Activities most often include a mixture of service delivery, capacity development, advocacy and research.

ANGOs continue to learn how to be more effective in their work. Recent developments in this sector have included an increased focus on program approaches, experimenting with strength-based approaches to program analysis and implementation, and greater emphasis on good quality monitoring and evaluation. How to work in partnership with other organisations, particularly fledgling civil society organisations in poor countries, and how to develop the capacity of these organisations is a particular area of interest for many ANGOs.

Finally, some ANGOs have started to re-examine the relationship they have with their Australian public donors. With changing communication opportunities, there is now more direct communication between people in Australia and people in other countries who are served by ANGOs and their partners. This increased communication can serve to increase transparency and accountability in both directions, identifying both outcomes and resources. Some ANGOs are now experimenting with social media and other modalities to enhance these opportunities for accountability.

However, the ACFID research has revealed that ANGOs typically do not use donor funding for their innovative and complex programs. Most often work undertaken with donor funding is less risky and more likely to lead to immediate and tangible outcomes. This is in large part due to the contractual and conflictual nature of past relationships between AusAID and ANGOs.

As a result, AusAID and other donors generally do not engage with the best work of ANGOs and their partners. Recent development of relationships between AusAID and some ANGOs through a partnership approach has sought to move past this more limited relationship. There has been a focus on increasing the synergy and opportunities for cooperation between AusAID and ANGOs²⁰.

4.5 Other relevant AusAID policies

There are several AusAID policies which have relevance for this design. These include the following:

4.5.1 Gender and development

In the context of Africa, where maternal health remains one of the MDGs with the weakest progress, the need to focus on services for women is particularly critical. Systematic empowerment of women and girls has been identified as a key component for achievement of all MDGs in Africa²¹.

AusAID's policy on gender equality²² identifies that men and women have the right to be equal participants in and beneficiaries of aid and development work. It identifies the need for services targeted at women in particular to increase women's participation and to address women's health and

²⁰ AusAID (2009) "ANCP streamlining and reform agenda. Outcome 7: ANCP partnership agreements", May.

²¹ UN (2008) "Achieving the Millennium Development Goals in Africa", Recommendations of the MDG African Steering Group, June.

²² AusAID (2007), "Gender equality in Australia's aid program - why and how?", March.

access to education. It also identifies the need for strengthened accountability mechanisms to increase collection and analysis of information to improve gender equality results.

4.5.2 Child protection

The AusAID child protection policy²³ outlines practical steps to increase AusAID's capacity to manage and reduce the risks of child abuse associated with delivering aid activities. The policy focuses on protection of children's rights and their safety and security. It requires all implementing agencies including NGOs and CBOs to operate in line with the policy.

This policy has particular relevance in Africa where children are identified as one of the most vulnerable members of communities.

4.5.3 Disability inclusiveness

People with a disability are among the poorest and most marginalised groups in many African countries. The AusAID policy on disability inclusiveness²⁴ recognises that a disability is likely to limit the full and active participation of people in society and also likely to limit their access to basic services. The policy commits the agency to consider the needs and rights of people with a disability.

4.5.4 Disaster risk reduction

The AusAID disaster risk reduction policy²⁵ aims to reduce the vulnerability and enhance the resilience of countries and communities. It recognises that disasters that result from natural hazards such as drought and cyclone occur in locations where people are vulnerable due to factors such as poverty, disability and disease. Experience has shown that parts of Africa are particularly prone to weather-related disasters which are likely to be exacerbated by climate change, and therefore that this policy will have relevance across many areas where AACES is likely to be implemented.

4.6 Rationale

In summary, the context for this design identifies that AusAID is seeking to make an effective contribution towards the achievement of the MDGs in African countries through support for particular sectors including maternal and child health, water and sanitation, and food security.

The research indicates that along with other donors, AusAID needs to include a focus on poorest and most marginalised people if it is to make an effective contribution within the sectors. Work with civil society is one means for AusAID to increase this focus. Effective support for civil society needs to go beyond funding for service delivery to include support for civil society engagement in policy dialogue and holding governments and other stakeholders accountable for their delivery of services for poor and marginalised people.

The AusAID strategy for Africa supports civil society engagement including work through ANGOs. This is in line with general AusAID policy which encourages inclusion of ANGOs as part of country sector programs. Recent review of ANGOs indicates that they have significant strength in effective

²³ AusAID (2009), "Child protection policy", January.

²⁴ AusAID (2008), "Development for All: Towards a disability-inclusive Australian aid program 2009-2014", November.

²⁵ AusAID (2009), "Investing in a safer future. A disaster risk reduction policy for the Australian aid program", June.

development work with marginalised people but that the work they undertake for donors, including AusAID, often fails to reflect some of these key strengths. Recent experience in AusAID suggests that a partnership approach to working with civil society, in particular with ANGOs, is more likely to encourage NGOs to use donor funding for innovative and effective, albeit more risky, development work. Current AusAID experience suggest that working with NGOs should include working in ways which enable them to deliver services, engage in policy dialogue and communicate with their supporters and the wider Australian public.

Finally, AusAID policies direct attention towards particular groups who ought to be at the centre of Australian programs for Africa. These groups include women, children, people with a disability and people vulnerable to disasters.

5. Activity description

5.1 Program scope

The AusAID Africa program currently focuses in East Africa for maternal and child health, Southern Africa for water and sanitation and West, East, Southern and Central and North Africa for agriculture and food security. Other programs supported by AusAID in Africa particularly those focused on building capacity are spread across the continent.

The geographic scope for the AACES program was determined through negotiation between Australian NGOs and their partners and AusAID. As part of the selection process for this program ANGOs and their partners were asked to nominate where they would locate their projects in order to leverage from existing programs and experience. AusAID considered the geographical spread of projects in light of the wider AusAID program as part of its selection process. Following selection, AusAID negotiated further with some NGOs to either add or decrease the various locations for their proposed work prior to the detailed design process. Following design, the projects included in the NGO designs now cover 11 countries in Africa²⁶.

At the same time, as outlined in the following sections, the impact of this program is expected to go beyond particular country-based activities to influence other stakeholders, both governments and other donors. It is also expected that Australian NGOs and their partners will utilise the learning and experience from AACES within their own organisations to influence the way their organisations work in other programs. It is anticipated therefore that the impact of the program will expand beyond these 11 countries over time.

The target of the program will be **people who are most marginalised**. The definition of the most marginalised will vary with particular locations and the type of activity and sector. In line with the AusAID requirement that gender is mainstreamed through all programs, it is expected that women and men will be included as beneficiaries and participants in all of the NGO projects. In addition, in many African countries marginalisation of people can occur because of their ethnicity and because of their limited political or economic power. Often this will include children or people impacted by

²⁶ These include: Ethiopia, Ghana, Kenya, Malawi, Mozambique, Rwanda, South Africa, Tanzania, Uganda, Zambia and Zimbabwe.

HIV/AIDS. People with a disability also often find themselves at the margins of society. People who are vulnerable to disasters likewise can experience marginalisation from services.

Each of the NGO projects has identified the marginalised men and women that they will work with and the nature of that marginalisation.

Each of the NGO projects has also been required to identify the number of beneficiaries that will initially be impacted by the projects. As these projects develop, it is expected that the number of beneficiaries will likewise increase. The monitoring and evaluation of each of the NGO projects will identify this changing beneficiary scope in their annual reports.

5.2 Intention and Objectives

The intention and objectives of AACES have developed since the initial concept paper through an iterative process drawing upon AusAID, NGO and wider experience. Based upon the rationale developed during the concept stage and repeated in this design document, the overall intention focuses on the contribution that a civil society program can make to AusAID work in Africa. Therefore the overall intention of AACES is to:

Enable Australian NGOs and their partners to contribute to the AusAID strategy for Africa, through a partnership program focused on community-based interventions across the sectors of water and sanitation, food security and maternal and child health.

The AACES objectives have developed further since the concept paper. The nature of the contribution that a civil society program can make to AusAID work in Africa has been explored and better understood during the design stage. There has been a deliberate movement away from the notion that NGO programs would **provide** services which would be in synergy with AusAID programs, to the approach that NGO programs will **promote sustainable access** to services and use this experience to inform AusAID programs.

This is an important distinction which unites both NGOs and AusAID in seeking to hold duty bearers, in particular governments, responsible and for ongoing provision of services to marginalised people.

Three objectives have been developed to operationalise this intent, drawing upon the identified strengths of NGOs and their partners. The first objective focuses on NGOs and their partners working with marginalised people and service providers to increase access to services in a way that would be able to be sustained beyond the life of the program. The second objective directs the NGOs to enter into a relationship with AusAID in order to communicate the learning and results of their project, in particular how services can be sustainably provided for people. The final objective gives attention to one of the key strengths of Australian NGO work, that of communication and engagement with the Australian public, in order to increase their understanding of development processes in Africa. This objective also reflects the growing interest within both AusAID and the NGOs of increasing transparency and accountability to the wider public.

The three objectives are therefore interrelated, with information and learning from the first objective utilised for fulfilment of objective two and three. For this reason, the objectives will be implemented

sequentially with a focus on objective one for the first year of the program. Recognising that the latter two objectives are unusual in an AusAID-funded NGO program, the anticipated outcomes are modest, anticipating a process of development through the program. In addition, they have been allocated very modest funding.

Program delivery arrangements are outlined in section 6.3. Implementation will primarily be through AACES NGOs in partnership with AusAID. In addition, a complementary activity drawing upon the knowledge and experience of other Australian organisations will be included for objectives two and three. This complementary activity is described in further detail in section 6.3.3.

The AACES objectives are:

Objective 1: Marginalised people have sustainable access to the services²⁷ they require.
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The focus of this objective is on services for marginalised people. The intention for this objective is that access to the services is sustained for marginalised people beyond the life of the program. The underlying assumption is that there will be a change in the provision of services, especially those provided by national governments, as well as changes in the capacity of communities and marginalised groups to require and utilise services.

This means that ANGOs and their partners will work with governments and other duty bearers²⁸ to inform and influence them about policies, programs and services which are required and how they could be provided. It also means that ANGOs and their partners will work to empower marginalised people to identify and demand services that meet their needs. In some cases ANGOs and their partners will directly provide the services but this will be for the purpose of demonstration and in order to increase demand for services, not as a substitute for the responsibility of duty bearers.

Capacity development of people, partners and duty bearers will be an essential aspect of objective one activities. While there are several approaches to capacity development which may be utilised by the NGOs, it will be important to avoid dependency upon the NGO for services beyond the life of the program. One of the significant areas for monitoring under this objective will be the degree to which local organisations, duty bearers and communities themselves are able to manage, provide and/or demand services. Policy engagement, advocacy and influencing work will also be conducted under this objective.

The particular outcomes which are sought through this objective include:

- Marginalised people, particularly women, have greater voice and engagement with decision makers and duty bearers;

²⁷ For this program there is particular interest in services provided for food security, maternal and child health and water and sanitation. However provision of other services as required by people will also be included as outcomes for this objective.

²⁸ Duty bearers primarily refer to the relevant government level and department. However in different locations it may also refer to non-government service providers, private service providers and community structures themselves.

- Policy formulation and implementation by duty bearers is more informed by local issues and evidence;
- There is an increase in the capacity and focus of duty bearers to deliver inclusive and sustainable services;
- There is an increase in the demand for services by marginalised people, in particular women;
- There is an increase in marginalised people, particularly women, utilising and benefiting from services;
- Information is available from marginalised people, particularly women, about how access to services has contributed or not to their wellbeing and development.

Several NGOs have utilised a rights based approach in their interpretation of this objective. In addition, a strength-based approach has informed many of the NGO project designs and is expected to be utilised in their implementation.

This objective will inform the bulk of the AACES activities. It is expected to utilise approximately 92% of the budget provided by AusAID for the program.

This objective will be implemented by the AACES partnership NGOs.

Objective 2: AusAID policies and programs in Africa are strengthened particularly in their ability to target and serve the needs of marginalised people.

The focus of this objective is on the exchange of information and learning between AusAID and the NGOs, and between the NGOs themselves. This objective is intended to focus on learning and communication in order to strengthen and benefit programs, particularly their ability to target and provide sustainable services for marginalised people. The underlying assumption in this objective is that NGOs have particular expertise in targeting and working with marginalised people which they are able to communicate to AusAID.

ANGOs will identify the particular strengths and areas of information that they are able to make available to AusAID, as well as those areas where they are likely to seek further information and learning from AusAID programs. In turn, AusAID programs, in particular the key sectors of maternal and child health, food security and water and sanitation, are expected to actively utilise the information and experience of ANGOs and their partners in their policy development and program implementation. There is an expectation that some of this exchange will happen within particular countries as well as between countries and within sectors. Activities are expected to include information sharing, joint research, policy exchange and some joint programming.

It is recognised that while there is strong support for this way of working from both AusAID and the NGOs, the actual practice required under this objective will be new for both. Therefore, while the intention of the objective is for improved programming in the long-term, the immediate outcomes sought are relatively modest. They include:

- Processes in place to share information and research between AusAID and AACES NGOs, and between AACES NGOs
- As a result of these processes, action is undertaken (e.g. research, learning event, information exchange, etc.) between AusAID and the AACES NGOs
- Specific improvements are able to be identified in AusAID policies or programs in terms of how they target and better serve the needs of marginalised people.

Activities under this objective will develop through the life of AACES, with more activities expected in the second half of the program. In particular as the AusAID sector strategies are finalised, the specific contributions of NGOs will begin to be identified. From the second year of implementation, the annual plans for both the NGO projects will include specific activities under this objective.

Australian NGOs and their partners are expected to develop collaborative arrangements with each other, and with other organisations, for many activities under this objective. This process started during the design phase with various NGOs identifying synergies and efficiencies through collaboration with each other.

The funding support provided for activities under this objective is modest, comprising no more than 5% of the NGOs' AACES budgets.

The objective will be implemented by the AACES partnership NGOs and AusAID. Some implementation may also be undertaken by other Australian organisations as outlined in section 6.3.3.

Objective 3: Australian public are more informed about development issues in Africa.
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The target of this objective is the Australian public. The intention of the objective is to better inform the Australian public about development issues and challenges in Africa and the way in which Australian aid is seeking to respond to these challenges. The assumption under this objective is that one of the particular strengths of NGOs is their ability to engage and work with the Australian public.

The particular outcomes for this objective include:

- Opportunities for the Australian public to be informed about development issues in Africa, and about Australia (government and NGOs) response to these needs.
- Increased reach to either:
 - A wider cross section of the community, or
 - A deeper understanding within targeted communities.

This work may also increase the visibility and accountability of the Australian aid program, in particular the work undertaken through AACES.

Activities to be undertaken under this objective have been outlined in the NGO projects but are not expected to be a significant area of work until the end of year two of implementation. The particular

focus for the development issues to be communicated will be decided as the program is implemented and research and learning is generated and communicated with AusAID. However, some of the potential areas already identified by NGOs include increased engagement between young people in Australia and African countries and linking rural and urban communities around food security and land management issues.

The work undertaken under this objective will be subject to the guidelines currently being developed by AusAID²⁹. Activities will not support fundraising for any of the ANGOS or their partners, nor focus on the branding for any particular ANGO. Activities will not advocate for increases in the aid budget in general or aid to Africa in particular.

In line with the modest intentions of this objective, only 3% of AusAID funding for AACES will be allocated for activities under this objective.

Implementation will be by the AACES partnership NGOs. Some implementation may also be undertaken by other Australian organisations as outlined in Section 6.3.3.

6. Implementation arrangements

Lessons from the review of the previous AusAID funding for NGOs in Africa, together with the experience of other recent AusAID NGO programs³⁰, point to several features which should be reflected in the implementation arrangements for this program. These include:

- The need for a flexible implementation approach that starts with clearly defined overall objectives and first-year implementation plans, but then allows for further development of projects along the way.
- The provision of some responsive funding that can be flexibly allocated to additional research, emergent needs, innovative approaches, etc.
- The need to establish management and implementation arrangements which empower in-country partners. This includes attention to decision making processes and processes of communication and information exchange.
- Program implementation structured in a way that respects and utilises the diversity and the range of strengths and skills across Australian NGOs and their partners.
- Program implementation that allows for learning and development of Australian NGOs and their partners, and of AusAID.
- Sufficient human and financial resources in order for AusAID to manage the program and be able to engage with Australian NGOs and their partners around key program areas.

²⁹ These include “Guidelines for Domestic Community Engagement” and “AusAID Branding Guidelines” Both sets of information are currently under development.

³⁰ Including the AusAID Solomon Islands NGO Partnership Agreement (SINPA) and the Australia Middle East NGO Cooperation Agreement 2 (AMENCA 2).

These lessons have guided the elements within the AACES design.

6.1 Design approach

AACES is based on the existing strengths and experience of both the NGOs and AusAID and will seek to be a learning program with space for experimentation and change throughout the five years of implementation.

In order to support this approach, the ACCES design includes a clear intention and objectives, with space for flexible and responsive implementation that responds to new learning and changes in context and to the findings of high-quality monitoring and evaluation. The contribution each NGO project makes to the intent and objectives is expected to be different and expected to develop further over the life of the program.

At the beginning of the program each of the NGO designs already demonstrates particular characteristics and approaches which have the potential to contribute to learning for other NGOs and AusAID. Examples of some of these contributions are provided in the following table.

ANGO	Location and sector	Examples of potential contribution to Program learning
Action AID Australia	Kenya and Uganda <i>Food security</i>	This project provides the opportunity to learn how a rights-based approach is able to create access to food security for marginalised people.
Plan Australia	Uganda, Kenya and Zimbabwe <i>Maternal and child health</i> <i>Food security</i>	This project provides learning about the way in which a rights-based approach will enable people to develop their capacity to hold duty bearers accountable for the provision of services.
Anglicord (together with Nossal Institute and Australian Volunteers International)	Ethiopia and Kenya <i>Maternal and child health</i>	This project offers opportunities for particular learning about the value of a strength-based approach. It is expected to provide particular learning about how to provide services for women and girls within highly patriarchal communities.
Caritas Australia	Malawi and Tanzania <i>Food security</i> <i>Water, sanitation and health</i>	This project offers opportunities to understand how community needs can be addressed in an integrated way in order to build the capacity of people to hold duty bearers to account.
Australia Foundation for the Peoples of Asia and the Pacific	Malawi, Mozambique and Zimbabwe <i>Food security</i> <i>Water, sanitation and health</i>	This project offers an opportunity to learn how various strategies need to come together to create change especially in very remote communities where there is little opportunity to access services.

Water Aid Australia	Tanzania, Malawi and Ghana <i>Water, sanitation and health</i>	This project provides significant opportunity for learning about good technical services in the provision of water and sanitation for marginalised communities. It is also expected to provide learning about the way in which participatory approaches and strong relationships with government come together to increase service provision.
Care Australia	Tanzania, Ethiopia and Malawi <i>Food security</i>	This project offers particular opportunity to learn about how to increase the empowerment of and access to services for women. It will also provide information around the way in which limited social power and disability might interact with gender to limit opportunity for women and girls.
Oxfam Australia	Sth Africa and Zambia <i>Water, sanitation and health</i>	This project offers the opportunity to look at the provision of water and sanitation services that meet the needs of women in marginalised communities.
World Vision Australia	Kenya, Rwanda, Tanzania and Uganda <i>Maternal and child health</i>	This project looks at the links between poverty, gender and maternal and child health. It is expected to provide learning around how participatory and strength-based approaches can address the challenges of this intersection.
Marie Stopes Australia	Kenya and Tanzania <i>Maternal and child health</i>	This project provides for an alternative approach to sustainable service delivery drawing upon social franchising. It is expected to provide learning about this approach.

A summary of each of the NGO designs, including their specific objectives and intended outcomes is included in Annex Five.

6.2 Working in partnership

In order to promote synergy and collaboration between AACES NGOs and AusAID, AACES is based on a partnership approach.

During the design stage it was agreed between the NGOs and AusAID that a partnership approach would be adopted. For the design stage this included an agreement to share information transparently through the use of a shared website and to collaboratively decide about the development of the program (as far as possible given the legal and financial responsibilities which AusAID was required to meet). In order to provide a basis for this approach in the design phase, the NGOs and AusAID participated in a two-day partnership workshop. Following this the NGOs and AusAID agreed on key principles of operation for the design stage. Partner NGOs were then included in this discussion one month later during the first workshop in Africa.

Following this experience it was agreed that the implementation of the program would also be undertaken through a partnership approach between the NGOs and between NGOs and AusAID. This was an extension of the original understanding of partnership outlined in the concept paper, which was originally restricted to the relationship between AusAID and each of the NGOs. This evolution

represents the learning during the design stage which was that there was significant opportunity for collaboration and synergy between NGOs both within countries and across sectors as well as collaboration with AusAID. The African partner NGOs are also able to enter into a partnership agreement directly or through their Australian consortium representative.

The NGOs and AusAID have explored the intentions and understanding of partnership for this program to a limited degree to date. The intention of a partnership approach is to maximise the opportunity for synergy and collaboration through transparent and mutually respectful working relationships. Further, it is recognised that each organisation has a unique contribution and set of strengths as well as organisational requirements and limitations which they bring to this partnership. The partnership seeks to ensure a collaborative working arrangement, but it is also understood that there are limits to the ways in which each of the NGOs and AusAID are able to co-operate with each other. The partnership approach looks to develop respect and understanding of these strengths and limits.

It is expected that a partnership approach will increase the efficiency of AACES, enabling AusAID as a donor to minimise its need for micromanagement through contractual arrangements and to maximise the effectiveness of its engagement with NGOs. While more time and resources are required to establish an effective partnership, it is expected that the approach will lead to greater efficiencies across the life of the program. This will need to be tested through the monitoring and evaluation system. The proposed resource facility is intended to provide support to the development of the partnership.

Beyond this, the details of how a partnership approach would be implemented in AACES will continue to develop. The partnership approach will be guided by the partnership agreement between the NGOs and AusAID, as outlined in section 6.4.2. The principles and behaviours to be included in that agreement had been developed in draft form by AusAID and the NGOs (see Annex seven) and these details will be finalised during program mobilisation.

6.3 Implementation agencies

6.3.1 AACES Partnership NGOs

Ten NGOs together with their African partners will be funded by AusAID to undertake projects funded through AACES, contributing to the three objectives. The NGO projects are summarised at Annex Five.

The NGO projects are designed for the five years of the AACES program and detailed implementation plans will be developed for each year of the program. This is to encourage NGOs to develop flexible designs which are able to be adjusted in response to learning and changing contexts as appropriate.

NGOs will be encouraged to collaborate in order to achieve program objectives as far as possible. There is already evidence of this collaboration through the design process and this is expected to increase across the life of the program (see the case study below on the collaboration occurring between the NGOs working in Malawi).

AACES PARTNERSHIPS - A CASE STUDY OF MALAWI AACES NGOS

Through the AACES design meetings in Nairobi, four of the AACES NGOs identified that they were working on water and sanitation issues in Malawi. These included the Catholic Development Commission (CADECOM), CARE Malawi, Concern Universal, and Water AID³¹. In the spirit of partnership encouraged through the AACES design, the NGOs organised meetings in Malawi to share their design ideas, and to look for areas of potential collaboration.

Representatives of the four NGOs met in January 2011 in Blantyre, Malawi (at Concern Universal's office) where they shared their preliminary designs and the methods used during their design process. The group developed a map of their project sites, and found that AACES will be implemented in 6 of the 28 districts of the country.

Through the discussion, the NGOs realised that CARE and CADECOM had initially targeted to work in one Traditional Authority area in Dowa district. It was resolved that the NGOs would approach the district council jointly to explain the situation and be advised on appropriate areas where they could implement AACES to maximise utilisation of the available resources and avoid duplication.

A second meeting was held in Lilongwe in February at the Water AID office. The NGOs shared progress on their project concepts and discussed preparations for the March-Nairobi meeting. The group reviewed the AACES revised objectives and updates and documents posted on the AACES communication website. The group also discussed the other NGOs in-country who are not part of AACES but will need to be engaged in the future.

NEXT STEPS

The AACES NGOs in Malawi have developed draft Terms of Reference for the group, and CARE has developed an AACES Malawi communication group site which is being accessed by all NGOs in AACES.

6.3.2 AusAID sector programs

AusAID programs in Africa, in particular in the sectors of water and sanitation, food security and maternal and child health, will seek to connect with the AACES NGOs to improve policy and program outcomes.

The nature of this collaboration will vary, but as outlined under objective two, it is expected to include activities such as shared research, policy dialogue, information exchange and program review. AusAID has already identified some areas in which it has a particular interest for wider collaboration. These include approaches to working with pastoralist communities; effective strategies for scaling up community-based initiatives, building community resilience to climate change and disaster mitigation, extractive industries and approaches to peace building. AusAID will continue to communicate its particular interest areas during the life of the program.

6.3.3 Other Australian organisations

As noted above, many Australian NGOs and other Australian civil society organisations are involved with Australian aid and development in Africa in a range of ways including through other AusAID programs. Many of these can complement AACES. In recognition of the depth and breadth of Australian NGO and civil society organisations' experiences and expertise in a number of African countries, AusAID has provided a modest amount of additional funding within AACES for a further

³¹ CADECOM is a partner of AngliCORD, and Concern Universal is a partner of AFAP. Care Malawi and Concern Universal had also worked together under the previous AusAID program, APAC on ways to increase community involvement in the Malawi Government's district level planning process.

complementary activity for program objectives two and three. Through this additional and complimentary activity AusAID will engage with a wider group beyond the AACES partner NGOs in order to maximise the outcomes under AACES objectives two and three. These groups will include policy and research organisations, Africa Diaspora groups and other Australian NGOs.

Examples of activities which may receive funding under this area include seminars or development of policy/issues papers which focus on issues of particular relevance to the Australian program in Africa and activities that promote Australian community interest in and understanding of development issues in Africa.

The decision to fund activities under this area would be made by AusAID based upon the following criteria:

- The proposed activity contributes to the AusAID strategy for Africa;
- The proposed activity directly contributes to either objective two and/or objective three of the AACES program;
- The proposed activity will be undertaken primarily in Australia;
- The proposed activity is distinct from proposed and existing activities being undertaken elsewhere in AACES;
- The proposed activity provides value for money and the required funding is available within the program budget for the year.

Funding allocated for this work area will be modest and dependent upon available funding from year to year in the AACES program. Funds will not be available for service delivery as other mechanisms exist within the AusAID Africa program (for example the Australia Africa Small Grants Scheme) or within AusAID's wider program (for example the AusAID NGO Cooperation Program). This complimentary activity may not commence until year two of AACES.

Activities can be undertaken either in collaboration with an existing AACES partnership NGO and the other Australian organisation, or directly by the other Australian organisation. If the activities are undertaken in collaboration with an AACES partnership NGO, the AACES partnership NGO becomes the contracted agency for the activity. If the activity is directly funded by AusAID to the other Australian organisation, the funding arrangement will be governed by the current AusAID guidelines for funding to non-accredited NGOs as attached at Annex Six.

6.4 Innovations fund

An additional funding allocation will be reserved for innovative and experimental activities as proposed by the 10 ANGOs and their partners during the life of the program for objective 1. This fund will be operational from the third year of AACES and a process for accessing the funds will be developed by the program steering committee (see section 7.1) prior to this time.

The purpose of this fund will be to provide the opportunity for new approaches and new ideas from among the AACES partnership NGOs. Specific criteria will be developed during the second year of the program but are expected to include the following:

- Submissions for this fund will be for collaborative ventures involving two or more of the AACES partnership NGOs;
- Funds will be directed towards extensions of existing activities which go beyond current program objectives or work areas; **or**
- Funds will be directed towards new and innovative activities which make a key contribution to AACES objective 1;
- Submissions demonstrate value for money and fall within the budget guidelines developed for the fund for that year.

The fund will be a competitive procedure with submissions ranked according to their contribution to AACES objectives and overall intent. The program steering committee will provide advice to AusAID which will be responsible for final decision making on fund allocation.

6.5 Partnership and funding agreements

The arrangement between AusAID and the AACES partnership NGOs will be governed by two agreements. The first is the Grant Order, which will be between AusAID and each of the 10 ANGOS. This Grant Order will specify roles and responsibilities of the ANGO in relationship to management and reporting of funds and overall reporting on projects. It will specify the AusAID commitment to funding and the arrangements for funding tranches and acquittals.

In addition, there will be a partnership agreement for the program which will document the way AusAID and the AACES partnership NGOs will choose to work together. The partnership agreement will include the following features:

- A description of the overall intention of the partnership and how it is expected to contribute to the AACES program objectives;
- Principles of the partnership and associated behaviours;
- A mechanism for review of the partnership;
- A dispute resolution mechanism.

The key principles which are expected to be reflected in the agreement include a focus on trust, flexibility, accountability, respect, collaboration, transparency, learning and commitment to the cause of poor and marginalised people. Proposed principles and associated behaviours as agreed between AusAID and the NGOs during the design stage are attached at Annex Seven. These are expected to provide the basis for the full partnership agreement.

The agreement will be finalised following program mobilisation. It will be signed by AusAID and the senior representative of each of the Australian partnership NGOs. African partner NGOs will be able to sign the agreement depending upon the internal arrangements and decisions with their Australian NGO partners. It is noted that, while the document is not legally binding, it will commit AusAID and the NGOs to a set of principles and ways of operating which will guide their behaviour and interactions as far as this is possible within the limits of their organisational accountabilities and legal requirements.

6.6 Resource Facility

The AACES program will include a resource facility to undertake routine program management tasks and responsibilities as well as having the capacity to contract other work as required.

The intention of the resource facility is to support coordination, communication and program level monitoring. This is in line with the overall intent of AACES, it should support the NGOs and AusAID in order to maximise the time they have for direct engagement around program and policy work.

The resource facility primary work areas would include the following:

Administration/Coordination

Specific tasks might include:

- organise six monthly AACES program steering committee meetings;
- organize an annual AACES reflection meeting;
- organise thematic meetings between NGOs and other AusAID programs;
- manage the AACES internal website and/or other internal communication channels;
- check invoices submitted by NGOs for accuracy and conformity before onward forwarding to AusAID.

Reporting and Communications

Specific tasks might include:

- support the preparation of an annual report on the AACES program, based on annual reports provided by AACES partnership NGOs and program level information and advice from the program monitoring process;
- public affairs outreach;
- support high level visits to AACES projects.

M&E/Analysis/Technical Support

Specific tasks might include:

- support program level monitoring;
- support mid-term review and end of project evaluation;
- support analysis and discussion between the NGOs in Africa (e.g. organising thematic discussions);
- commission research papers on topics agreed between AusAID and the NGOs (under objective 2);
- ad hoc technical support as required, for example organisation of training.

The permanent resource facility staff would be limited to a small number of people who are able to undertake some of the roles listed above. Other work to be undertaken by the resource facility, particularly technical support around monitoring and evaluation, is likely to be contracted as required and as directed.

The resource facility will be located in a development organisation in Africa³² which is not currently associated with or funded through AACES. This has the benefit of locating the facility in a development organisation in Africa to ensure it is well connected with key issues and understands how to work effectively across different African contexts. It will also ensure the facility has wide-ranging contacts as a basis for contracting specific tasks as required. Finally it will mean that the facility is managed on a day-to-day basis by another organisation that will be funded by AusAID to provide the service. This is important to further relieve the AusAID program manager from day to day management of the resource facility.

The resource facility will be contracted by AusAID and will be directed by the AACES program steering committee (as outlined below). That committee and the resource facility manager will develop a work plan for the resource facility every 12 months and will review the progress of the work plan on a six-month basis. The resource facility staff will be able to refer to the program steering committee in between meetings, but otherwise would be expected to work autonomously on the tasks outlined in the work plan.

The communication between the resource facility and AusAID, and ANGOs and in-Africa partners will be encouraged to be flexible and transparent. However, it will also be governed by the communication protocols as outlined in the following section.

The resource facility's role and scope may be expanded beyond AACES to support other AusAID funded society programs in Africa. These might initially include the Africa Australian small grants scheme and specific NGO funding windows for Africa that may emerge such as the Sudan NGO program. Decisions about this expansion will be made by AusAID according to the needs of these programs. While this wider role is expected to enhance the value of the resource facility for AACES, it will also be important to ensure that it does not diminish its ability to serve the program. Monitoring of the role and value of the facility is included in the monitoring and evaluation framework for AACES.

It is the responsibility of AusAID to undertake a process to tender for and appoint an organisation as the managing contractor for the resource facility. This will be undertaken by AusAID following mobilisation of the AACES partner NGOs.

7. Management arrangements

The principles that underpin the management of AACES include a commitment to shared responsibility for program outcomes and also a commitment to the development of systems and processes which best serve the needs of all partners in line with the partnership approach underpinning the program. Management processes are expected to be transparent to all parties and while individual decision making and organisational systems of each organisation will be respected, the overall management of the program will be subject to review in order to maintain commitment to these principles.

Responsibility for management of program activities will be shared between AusAID, NGOs and a program steering committee as described below.

³² The preferred location for the Facility is Nairobi.

7.1 Program Steering Committee

A program steering committee will be convened for the purpose of management and oversight of the AACES program.

The intention of this group will be for AusAID and the NGOs to share responsibility for program management and to assist with the development of the various features of the program. Tasks which are expected to be the responsibility of this group include the following:

- Development and decision-making related to the resource facility annual work plan;
- Program level prioritisation and focus for objective two of AACES;
- Oversight of protocols and program level focus for objective three of AACES;
- Consideration of program level monitoring information and implications for program development (including the midterm review);
- Oversight of the partnership agreement and individual organisations adherence to this agreement;
- Oversight of communication, including attention to communication protocols as outlined below;
- Coordination of program level meetings and program level areas of learning;
- Oversight of a calendar of program level events and tasks, including establishing responsibility for these tasks;
- Finalising the dispute resolution process outlined below;
- Other tasks as required.

AusAID will prepare a draft terms of reference for consideration by the AACES NGO partners. The rules and procedures of the steering committee will be determined at the first meeting of the committee which will be held as soon as practicable after mobilisation of the program. It is expected that these rules and procedures will include detail about the following:

- Final agreement about the areas of program management which will be subject to decision-making by the steering committee.
- The process for decision-making within the steering committee. While it will be expected that consensus decision-making will be sought as far as possible, where this is not possible an agreed process will be in place to ensure that decisions around program management are made as necessary.
- A process for resolution of disputes within the steering committee.
- Agreement about leadership arrangements within the steering committee. Initially the committee will be chaired by AusAID in Nairobi but this arrangement may be varied following discussion and development of agreed protocols by the committee.
- Identification of key AusAID and NGO legal responsibilities and the degree to which these will limit and bound the ability of the steering committee to determine directions and changes within the program.

- Agreement about communication and information sharing protocols.

The membership will comprise two representatives from AusAID (one from Nairobi, one from Australia) and one representative from each of the 10 NGO projects. It is expected that the members have sufficient authority and knowledge of all the projects and the overall AACES program in order to participate fully in the committee discussions and are authorised to make decisions on behalf of their organisations. While it is understood that initially Australian NGO representatives might serve in this role, it is strongly encouraged that African partner representation could be developed over time. That said, membership is expected to be as consistent as possible and it is the responsibility of individual agencies - AusAID and the NGOs - to ensure that the participants are thoroughly briefed and prepared for their role on the steering committee.

The manager of the resource facility will attend as an observer and will act as the Secretariat for the steering committee. It is expected that the resource facility will be directed by the steering committee and will take up tasks identified by the steering committee as required.

The steering committee would not have responsibility for the complementary activity directed at inclusion of Australian organisations in aspects of objective two and three; this is the direct responsibility of AusAID.

The steering committee would be expected to meet at least every six months and possibly more often in the first year of the program. Where possible, use will be made of videoconferencing to minimise meeting costs.

7.2 Communication protocols

One of the important requirements for the AACES strategy is open and regular communication between AusAID and the NGOs and between the NGOs themselves. Therefore, while it is important to respect the various communication channels and protocols of each organisation, it is also important that as far as possible communication is able to be directly between those people who need to talk to each other.

Communication protocols will be finalised by the steering committee once the program is mobilised. However the following parameters will be included in that set of protocols:

- For all areas of program and activity management, communication will be between AusAID in Nairobi and the NGOs. This includes any information and discussion about contract, finances, reporting, coordination or activity progress or difficulties. AusAID Canberra and the African in country NGOs will be advised about the communications.
- Within countries, it is expected that AusAID and country level partners will communicate directly with each other in relationship to country-level activities. NGOs and AusAID Nairobi will be advised about the communications.
- For regional level issues, it is expected that contact will be between AusAID Nairobi and the nominated NGO regional contact. In some cases this will be the NGO, but many of the NGO

projects will include an Africa-based representative who will be able to undertake this role. ANGOS will nominate the in-Africa contact person at the time of program mobilisation.

- For objective two activities in particular, it is expected that communication is between ANGOs and AusAID in Nairobi, in regard to programmatic issues, with African partners and AusAID Canberra being advised. For some policy areas the communication will be between ANGOs and AusAID in Canberra, with AusAID Nairobi and in-country African partners advised.

This is a very important area of communication where the emphasis will be on direct and open communication as far as possible. The steering committee will be asked to direct further attention to this area in order to facilitate the most effective processes.

- For objective three there is an expectation that major communication will be between AusAID Canberra and the ANGOs. AusAID in Nairobi and the in-country African NGOs will be advised about the communications.

7.3 Dispute resolution

It is recognised that in a complex and ambitious program such as AACES, differences of view and understanding are very likely to arise. Therefore a dispute resolution mechanism will be established by the steering committee to ensure that disputes are quickly addressed and resolved. However, there are some issues, such as individual contractual matters, which will need to be dealt with by AusAID Nairobi and the individual AACES NGO.

As an overall principle, it is strongly encouraged that any emerging issues are communicated early and discussed openly at bi-annual and other meetings as far as possible. If resolution of issues does not evolve from this process then the dispute resolution mechanism will come into play. While the details of this are to be developed it is expected to include an escalating process of intervention as outlined below:

1. The issue would be referred to the steering committee for consideration and mediation if appropriate
2. If unresolved, contact would be made with senior personnel from the relevant agencies, requesting them to address the issue and seek to mediate and resolve the difference.
3. If unresolved, there would be engagement of external mediation for the organisations concerned.

8. Monitoring and evaluation

8.1 Introduction

Monitoring and evaluation (M&E) is an important aspect of the AACES program. NGOs have been encouraged to use up to 10% of their budget for monitoring, evaluation and research activities, and up to 10% of the overall AACES budget has similarly been allocated towards management, monitoring, evaluation and research. There are several purposes for AACES performance information. These include:

- Learning and improvement (by AACES NGOs and AusAID);

- Accountability requirements (to AusAID, in-country partners, communities etc.);
- Informing and influencing stakeholders (within Australia and abroad).

In response the M&E system has several features:

- The NGOs will provide six monthly updates for AusAID and other stakeholders on a small set of common indicators which capture information on the immediate outputs and outcomes of the programs within the WASH, food security and maternal and child health sectors (e.g. number of additional people with access to sustainable and safe water, number of farming households adopting new technologies, and number of children that receive age appropriate immunisation).
- The NGOs and AusAID will provide annual narrative reports which will assess progress against the AACES program objectives and outcome areas (including how progress has differed for women and men).
- On an annual basis the resource facility will prepare an annual AACES report. Information will primarily be drawn from the NGOs' M&E systems (and from an annual review workshop with AACES partners), but this will be complimented with additional evaluation and research studies as determined by the program steering committee.
- The value for money of AACES, including the effectiveness of the management arrangements (such as the partnership approach and the resource facility), will also be reviewed, and reported together with the achievements of AACES in the annual AACES report. The value of these management arrangements will be assessed in terms of how well they supported the AACES outcomes to be achieved: i.e. partnership will be assessed as a means to an end, not as an end in itself.

8.2 Monitoring and evaluation framework

The monitoring and evaluation framework (MEF) for AACES has two levels of enquiry:

- M&E within each of the NGO projects;
- M&E for the overall AACES program.

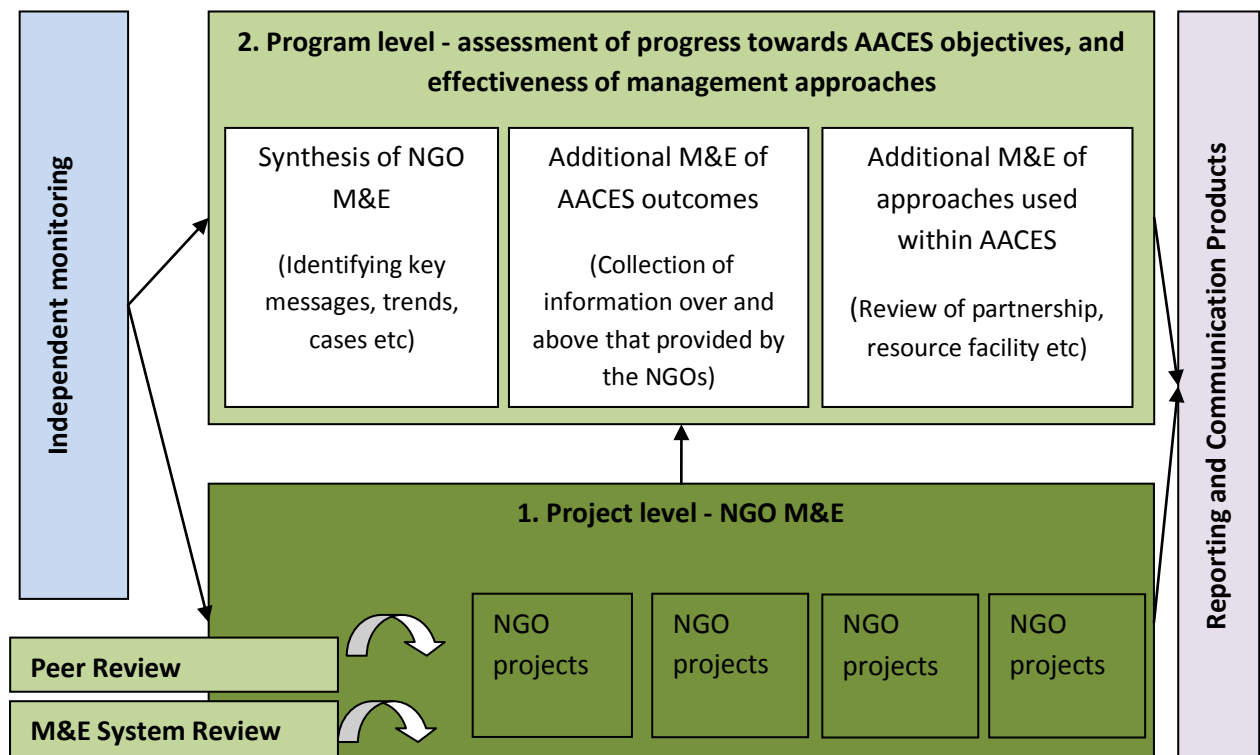
This M&E conducted by the NGOs, and across the AACES program will be complemented by a periodic assessment by an independent third party (e.g. independent consultants). This will occur primarily during the midterm and final evaluations.

The AACES MEF also includes two quality assurance mechanisms:

- An evaluability assessment or review of the NGOs' monitoring and evaluation system during the first year of implementation;
- Periodic structured peer review between the NGOs of project implementation.

The final component of the AACES M&E system is the use of the information through a range of reporting and communication products.

The MEF components, and the relationships between them, are illustrated in the diagram below, and described in detail in the following sections.



8.2.1 Project level - NGO M&E

The NGOs' monitoring and evaluation will provide the bulk of the information used to assess, and report on the progress against the AACES objectives. NGOs have been encouraged to use their partners' existing systems for information management, but to ensure these meet a series of quality requirements that were outlined in the design guidelines³³. In summary, these requirements included:

- Assessing not just the quality of activities, but also the positive and negative outcomes that resulted;
- Assessing different levels of involvement, and outcomes for women and men;
- Using a mix of methods, and gathering information from a range of sources;
- Collecting baseline information for a small selection of outcome areas and maintaining flexibility within the M&E approach to accommodate the likely changes in project design.

³³ Recognising the challenges inherent in M&E, and the difficulties AusAID and NGOs faced with M&E under the previous program, APAC, strong guidance and support in M&E has been provided to the NGOs throughout the design process. This has included written guidance, one on one support from the design consultants when requested, workshop discussions at the collective AACES workshops in Canberra and Nairobi, and an informal peer review between NGOs of their draft M&E systems in Nairobi in March 2010.

NGOs were also required to identify: the existing strengths and weaknesses in their partners' M&E systems; how this capacity would be built through the project and to look for opportunities to provide voice for those most marginalised, and to ensure both upwards and downwards accountability.

Midterm Review and Final evaluations – of NGO projects

NGOs are expected to carry out a midterm and final evaluation. NGOs are encouraged to use this opportunity to facilitate a systematic internal reflection and review with their partners. However, it is recommended that the NGOs involve independent consultant/s (particularly during the final evaluations) to help meet accountability requirements and to bring a fresh perspective to the project.

One possibility is that there is a team of external reviewers identified that are shared between the NGOs. The same external reviewers could also be used to conduct the midterm and final reviews of the broader AACES program (e.g. progress against objectives, effectiveness of the resource facility, value of the partnership approach etc.). The external reviewer/s might help to develop the review methodology and to have oversight of the process; however, the degree to which they were involved in the data collection and analysis would be determined by the NGO (i.e. some might chose to have a joint team of internal staff working together with an external reviewer, others might just draw on the external reviewer for advice).

LEVEL OF OUTCOME THE NGOS ARE ACCOUNTABLE FOR

One of the challenges within AACES is defining the level of result the NGOs should be held accountable to. While including a focus on higher level outcomes is important to check whether the project is heading in the right direction, there is increasing recognition that focusing on too high a level of outcome (i.e. beyond the reasonable level of influence of a project) can have negative consequences for project quality³⁴.

The level of results that NGOs should be accountable for varies between the AACES objectives (based on the different budgets allocated to each objective, and the different levels of outcomes that are realistically expected to be achieved). For objective one, the NGOs are expected to report on how their projects have contributed to some (not necessarily all) of the AACES outcome areas. They are expected to indicate their sources of evidence, and to explain how their projects have contributed to those outcomes being achieved. As explained earlier in the design, these outcomes are based around achieving greater voice for the marginalised, policies being more informed by local evidence, duty bearers delivering services in a more inclusive manner etc. NGOs are not expected to report on how they have affected broad scale shifts in health, income, or productivity. While NGOs might chose to monitor these areas in order to understand the broader context of their projects, and they might chose to report examples of changes in the quality of life of the marginalised, it is however, not expected that their projects are of sufficient scale or scope to make a measurable contribution to these impact level indicators.

For objective two, NGOs are required to report on the processes or actions that were developed or used to share information between NGOs and AusAID (e.g. research, learning events, information exchange, etc.), who was involved, and what was their influence on how AusAID policy or programs target and better serve the needs of marginalised people. Their reporting on objective two would

³⁴ Harvard Business School, *The Limits of Nonprofit Impact: A Contingency Framework for Measuring Social Performance*, Alnoor Ebrahim, V. Kasturi Rangan, 2010.

also be complimented and cross-checked with an annual assessment of AusAID's perception of the degree of utilisation and influence of NGO information, and NGOs' perceptions of opportunities available to them (as outlined in the section on program level M&E below).

For objective three, NGOs are required to report on their activities, the demographics of the Australian community that they reached, and what was the short-term outcome (in terms of wider reach, deeper level of understanding etc.). These modest expectations are appropriate given the current small-scale nature of activities proposed under objective 3. However, if in following years, a larger collective project is undertaken by several NGOs, then greater outcomes might be expected, and thus reported by the NGOs. For all of these objectives, NGOs might chose to go beyond this in what they monitor and report, but this is the minimum expected.

8.2.2 Program level M&E

8.2.2.1 Progress against AACES objectives

On an annual basis, AACES partners (with support from the resource facility) will need to identify and tell a collective story of the program's progress, achievements, and lessons learnt. The primary source of information to do this will come from the NGO project M&E systems. The NGOs' reports would be synthesised to inform the overall annual AACES report. Results would be collated across the common set of indicators (as reported by the NGOs in the snapshot reports), but more importantly the analysis would identify trends, themes and interesting cases of note, and assess the contribution made overall towards the AACES objectives and outcome areas. The analysis would be cross-checked with the NGOs at an annual review workshop.

In addition to the NGOs' information, other data would be collected to help identify progress towards the AACES objectives. The nature of this data collection would vary with each objective as outlined in the indicative list below (the actual data collection and research processes would be determined annually by the Steering Committee).

- **Objective 1:**
Research on the achievements and lessons against the AACES outcome areas. This might involve workshops with the NGOs to focus on particular outcome areas (similar to the popular write-shops used under APAC), or could be additional research studies.
- **Objective 2:**
Annual interviews with AusAID sectoral areas in Post and Canberra on the value and uptake of information generated through AACES; and possibly interviews with ACFID senior staff and a selection of the NGO CEOs on the level and nature of engagement between AusAID and the NGOs.
- **Objective 2 and 3:**
Analysis of reports, and a selection of interviews with other organisations involved in objective 2 and 3.
- **Objectives 1, 2 and 3:**
Assessment of the outcomes achieved through the innovations fund (note that the M&E arrangements for the innovations fund will be developed during the first year of program

implementation by the resource facility when the details for the fund have been further developed).

The different data sources for each AACES objective are summarised in section 8.4.

8.2.2.2 Effectiveness of the management approaches, and value for money

In addition to tracking progress against the AACES objectives, the program will periodically address broader questions about the effectiveness and value of the program's modality, and management (e.g. the value of the partnership approach, the resource facility, innovations fund etc).

External assessment

AusAID is exploring the option of establishing a value for money assessment of AACES, with a baseline defined at the start of the program, and periodic assessment throughout the program. This would likely be done at two levels:

- Assessing the costs and benefits associated with the NGO projects;
- Assessing the costs and benefits of the management approaches used within the program (e.g. the partnership approach).

The reference for comparison would likely be the perceived benefits at the start of the program compared to those experienced during implementation, and the costs and benefits experienced within AACES compared to other similar programs. The NGO partners would have an opportunity to define the framework for assessing the particular costs and benefits of their programs. The intent of this assessment is to help AusAID and the NGOs better understand the effectiveness and efficiency of the approaches taken within AACES. This will enable them to make more informed choices about the future direction of the program after five years, and to guide the design of other AusAID programs.

Internal assessment

The partners would also review the effectiveness of the management approaches used in AACES. For example, the steering committee will review the effectiveness of the resource facility each year, and AACES partners will review the quality of their partnership each six months. The details of the partnership review are discussed more below. An external review of the effectiveness of the management approaches would also be carried out during the midterm and final evaluations for the AACES program.

8.2.2.3 Reviewing the partnerships within AACES

The partnerships within AACES (between AusAID and the NGOs, between the AACES NGOs, and between the Australian NGOs and their African partners) will be regularly reviewed. The purpose of this internal review is to provide a structured way to generate reflection and improvement by AACES partners.

Light reviews at six monthly intervals will identify any major issues that need addressing, or good practices to be expanded. A more thorough review of partnership would be carried out three times during the program: at the end of the first year (June 2012); the midterm (end of 2013); and the end of the program (2016).

The process to review the partnerships would be developed in consultation between the NGOs and AusAID. The six monthly review would involve facilitated discussion at the AACES program steering committee meetings, while the more thorough review might involve some form of anonymous assessment process, a collated summary, and facilitated discussion. The review would ultimately be structured around the behaviours and principles in the partnership agreement.

An external consultant agreed to by AusAID and the Australian NGOs would facilitate the partnership review. AusAID, Australian NGOs and their in-country partners would be involved in the review. A summary of the partnership review would be included in the AACES annual report.

Australian NGOs would be encouraged to review their partnerships with their in-country partners. How this would be done would be determined by the NGOs; however, NGOs would be asked to report on their partnership annually as part of describing how they work with their partners, help to build partner capacity and or add value to their partners' work.

8.2.3 Independent Monitoring

In line with AusAID corporate requirements, the AACES program would be assessed by an independent monitoring mechanism at the midterm and final stages of the program.

AusAID will commission the review, but the TOR and team members would be approved by the steering committee. An external consultant, with engagement of internal partners, will lead the team³⁵. The focus of the review team would be to examine not just the program outcomes, but also the range of management approaches used within the program, including the steering committee, resource facility, partnership approach etc.

NGO reports would provide the data for the midterm review and final evaluations; however the review team would also collect additional data.

As described earlier, independent consultants would also be used during the value for money assessment of AACES, and during the formal reviews of partnership after the first year, and at the midterm and final evaluation stages.

8.2.4 Quality assurance mechanisms

8.2.4.1 Peer review

In line with the partnership approach, peer review will be a strong element within the program. How peer review will be used throughout the program will be determined by the steering committee. However, this is likely to include at a minimum the annual review of NGOs' progress, and proposed annual plans, and periodic review between NGOs based on shared sectoral or geographic focus. In addition, the M&E system review discussed below also has a strong element of peer review.

8.2.4.1 M&E system review (evaluability assessment)

A desired approach within AACES is to streamline the formal reporting between AusAID and the NGOs. However, while the aim is to minimise, and better target NGO reporting, it will be important for

³⁵ As mentioned earlier, this could be the same consultant/s used to review the NGO projects.

AusAID to know that comprehensive information on the NGOs' approach and outcomes are available, and being used by the NGOs to guide project implementation. To support this, AACES will undertake a review of the NGOs' M&E systems. The purpose of this would be to review the quality of the M&E systems in place, to identify good practices that could be shared across AACES and to identify improvements needed. It will also support the notion of proactive communication between AusAID and the NGOs around systems and performance.

The review will be carried out by a small team led by an external M&E specialist, and could also include AusAID and NGO representatives.

The review would occur at around 4 to 6 months after project implementation begins. If the process is deemed useful, it could be repeated such as during the second year to ensure systems were in place to collect useful information for the midterm review, and early in the final year of the program in preparation for the final evaluation.

8.3 Reporting and Communication

In addition to the required annual plans, a number of reporting and communication products will be produced through AACES in order to support learning and improvement, to meet accountability requirements, and to inform and influence external stakeholders.

NGO reporting to AusAID will include a six monthly snapshot report (2 each year), and an annual report. The six monthly snapshot report will be a three-page (approximately) report covering key activities and achievements, progress against agreed common indicators, and relevant case studies. There will also be separate financial reports.

Through the annual reports, NGOs will report on their effectiveness (contribution towards the AACES objectives and the relevant outcome areas), efficiency (including value for money and value add of the ANGO), sustainability, and any major issues or risks. The NGOs will also report on how their reach to beneficiaries has expanded or shifted during implementation, and the degree to which local organisations, duty bearers and communities are able to manage, provide and or demand services. The NGO annual report is expected to be between five to seven pages in length, and will be the basis for the annual AACES report that is compiled by the resource facility.

In addition, NGOs will be able to use a range of creative ways to showcase their project outcomes. This might include videos, collections of stories, visual media etc. The intent is that the formal reports include only the essential information required to meet AusAID reporting requirements, enabling the NGOs to communicate their information in a range of ways that are meaningful for a broader audience.

AusAID and the NGOs will develop a final version of the narrative six monthly and annual reporting templates.

AACES will also produce a program report on an annual basis. The resource facility will have responsibility to produce this report, drawing upon contract assistance as required. AusAID has a

number of corporate requirements that will influence the focus of reporting through AACES. These requirements, and the AACES reports that will inform them, are outlined below.

AusAID Requirement	AACES information that will help to meet this requirement	Focus
AusAID Quality at Implementation (QAI) Report (written by AusAID AACES manager)	AACES annual report (compiled by the resource facility)	The AACES annual report will include a focus on the QAI sections of relevance, effectiveness, efficiency, sustainability, M&E and gender equality etc.
Ad hoc requests for information for a range of internal communication purposes (e.g. Ministerial briefings)	Six monthly snapshots Additional information will be provided by the resource facility and or the NGOs as required	The six monthly snapshots will provide regular, concise information. This report has been designed to proactively answer likely ad hoc questions from AusAID.
Sector Progress Reports (if these are required for the Africa Program in the future)	AACES annual report & the snapshot reports Other sectoral-based information produced by the NGOs annually	The AACES annual report will identify achievements on a sectoral basis within each of the AACES outcome areas, and the snapshot reports include progress against sectoral based indicators. This means that sectoral information will be readily available from AACES if required.
AusAID Annual Progress Performance Report (APPR)	AACES annual report & the snapshot reports	The information in the AACES reports, and the summary of progress against the snapshot indicators will provide program level information that will help inform AusAID's APPR.

Other communication products will be developed by the NGOs individually, and as an overall program as approved by the AACES steering committee.

8.4 Summary of the objectives, outcome areas and data sources for AACES

The following table provides a summary of the data sources that will inform the assessment of progress against each of the objectives and outcome areas.

Objective	Outcome Areas	Data Sources
Objective 1: Marginalised people have sustainable access to the services ³⁶ they require	<ul style="list-style-type: none"> • Marginalised people, particularly women, have greater voice and engagement with decision makers and duty bearers; • Policy formulation and implementation by duty bearers is more informed by local issues and evidence; • There is an increase in the capacity and focus of duty bearers to deliver inclusive and sustainable services; • There is an increase in the demand for services by marginalised people, in particular women; • There is an increase in marginalised people, particularly women, utilising services; • Information is available from marginalised people, particularly women, about how access to services has contributed or not to their wellbeing and development. 	<ul style="list-style-type: none"> • NGO reports. • Additional research coordinated by the resource facility.
Objective 2: AusAID policies and programs in Africa are strengthened particularly in their ability to target and serve the needs of marginalised people.	<ul style="list-style-type: none"> • Processes in place to share information and research between AusAID and AACES NGOs and between AACES NGOs • As a result of these processes, action is undertaken (e.g. research, learning event, information exchange, etc.) between AusAID and the AACES NGOs • Specific improvements are able to be identified in AusAID policies or programs in terms of how they target and better serve the needs of marginalised people. 	<ul style="list-style-type: none"> • NGO reports. • Annual interviews with AusAID, ACFID and NGO CEOs. • Reports from other Australian organisations funded. • Reports from the innovations fund.
Objective 3: Australian public are more informed about development issues in Africa.	<ul style="list-style-type: none"> • Opportunities for the Australian public to be informed about development issues in Africa, and about Australia (government and NGOs) response to these needs. • Increased reach to either: <ul style="list-style-type: none"> • A wider cross section of the community, or • A deeper understanding within targeted communities. 	<ul style="list-style-type: none"> • NGO reports. • Reports from other Australian organisations funded. • Reports from the innovations fund.
Effectiveness of AACES management arrangements and approach	<ul style="list-style-type: none"> • Costs and benefits associated with the NGO projects • Costs and benefits of the management approaches used within the program • Effectiveness and efficiency of the management approaches to facilitate progress towards the AACES objectives. 	<ul style="list-style-type: none"> • External value for money assessment • Internal reviews by AACES partners

³⁶ For this program there is particular interest in services provided for food security, maternal and child health and water and sanitation. However provision of other services as required by people will also be included as outcomes for this objective.

8.5 Overview of roles and responsibilities for M&E

The roles, responsibilities and timing for each of the key M&E activities are summarised in the table below.

M&E Activity	Who is responsible	When it would occur
<i>Set up</i>		
Finalisation of the snapshot report, and annual report templates	AusAID in consultation with NGOs	In early stages of implementation
Development of the value for money assessment process	AusAID in consultation with NGOs	In early stages of implementation
Evaluability assessment to review progress in establishing NGO M&E systems	AusAID in consultation with NGOs	4-6 months after implementation begins (repeated in 2nd or 3rd year if considered of value)
<i>NGO Project level M&E</i>		
Snapshot reports	NGOs	6 monthly
Annual report	NGOs	Annual
Additional methods to communicate results of projects	NGOs	Determined by the NGO
Mid Term Evaluation - NGO projects	NGOs	Year 3
Final evaluation - NGO projects	NGOs - using an independent evaluator/s	Year 5
Reporting from other stakeholders funded through AACES (e.g. other Australian organisations)	Funded organisations	As required
<i>Program level M&E</i>		
Synthesis of NGO annual reports, and snapshot reports	M&E specialist contracted by the Resource Facility	Annual
Annual review workshop to review achievements, effectiveness of resource facility, value of innovations fund, and to confirm messages for the annual report	AACES partners	Annual
Identify additional research required on the achievements and lessons against the AACES outcome areas	Steering Committee	After the first year of implementation
Interviews with AusAID sectoral areas in Post and Canberra, ACFID and possibly NGO CEOs on the nature and value of the engagement between AACES NGOs and AusAID for AusAID's broader engagement in Africa (obj 2)	M&E specialist contacted by the resource facility in cooperation with the Performance and Quality section within the Africa team of AusAID	Annual
Internal review of partnership	AACES partners	6 monthly

Independent M&E		
Value for money assessment of AACES	Contracted by AusAID. TOR approved by steering committee	As determined by the steering committee
Facilitated review of partnership	As above	After year 1, and during midterm and final evaluations
Mid Term Evaluation - overall AACES (independent reviewers)	As above	Year 3
Final evaluation - overall AACES (independent reviewers)	As above	Year 5

9. Risk Management

As a program which is seeking to make a contribution to the wider AusAID strategy, making use of a range of experimental and new approaches, AACES is an inherently risky program. As a result, the monitoring and evaluation for the program has been developed in considerable detail as outlined above.

Specific areas of risk which will need attention through the life of the program are also highlighted below.

9.1 Context risks

AACES is located in 11 countries in Africa, each with its own particular contextual risks for project implementation. These include risks due to unstable or corrupt political regimes. In these situations the risk to the program is that duty bearers are likely to be distracted by other influences away from a focus on service delivery. Further, community people including those people who are marginalised, will find it more difficult to establish and maintain their rights to services in these situations. The NGO projects will need to be regularly analysing and considering political influences upon communities and duty bearers. The projects will need to adjust to provide additional support in situations where changing political influence limits the accountability of government to people.

A number of countries in Africa are subject to extremes of climate in particular drought and other conditions which can affect food security and availability of water. There are risks to outcomes in the program if changes in climate and extremes of weather impact upon water supply and viability of foods. The NGO projects will need to monitor the ongoing impact of variations in climate upon the sustainable progress in each location.

As noted, marginalisation in some countries can be due to ethnicity as well as limited social and economic power. In those situations there is a risk that ongoing discrimination and marginalisation from these factors will continue to limit the provision of services for people despite capacity development of duty bearers and service provision systems. The various NGO projects will need to look at multiple approaches to challenging disempowerment in these contexts.

9.2 Design risks

There are particular risks related to the way this program is shaped around three objectives. The first objective is highly ambitious, requiring NGOs to work with very marginalised people, duty bearers and

other stakeholders. There are risks associated in working with marginalised people. Because of their multiple areas of disempowerment they may find it difficult to engage with the NGO projects and difficult to change their behaviour and values within the short life of the program.

Likewise, to expect to change attitudes and behaviours of duty bearers in particular governments and other powerful authorities is an ambitious intention for a five year program, and there is some risk that this will not be able to be achieved in all NGO projects.

There are multiple risks associated with objective two. There is the risk that AusAID staff would not be willing or able to successfully engage with NGO information and communications. There is also the risk that NGOs will continue to limit and censor the information they provide to AusAID or to each other because of concern about wider reputational risk. There is also a risk that NGOs will find it difficult to communicate their lessons and findings in a way which is accessible to an official aid donor. Finally there is a major risk associated with this objective that while communication between AusAID and NGO staff might be very successful, other influences and decision-makers within AusAID may limit the utilisation of the learning, information and examples from the AACES program.

Objective three is less risky in some ways. This area of work is very familiar to the NGOs and they have multiple skills and experience in communication with the Australian public. At the same time, given that the intention of this objective is to broaden and deepen that communication process, there is some risk that this will be misinterpreted by either the Australian public or by others who may be critical of the aid program. The attempts to be transparent and accountable about Australian aid could be misinterpreted as self-serving.

More broadly, the complex and wide ranging nature of the design is itself a risk. It may be difficult for either AusAID or the NGOs to manage the implementation of this design, especially as staff in both organisations leave and are replaced by people less familiar with the design process.

9.3 *Risks due to the approach*

The partnership approach carries with it the risk that either AusAID or NGOs will find it difficult to adhere to agreed protocols and principles. The partnership approach is intended to facilitate the relationship between the organisations, improving trust and therefore decreasing the amount of micromanagement needing to be undertaken by AusAID. However, there is some risk that in the early stages of the partnership, because of the need to check on arrangements, program management will be increased for AusAID and also possibly for the NGOs. Over the longer term there is some risk that the partnership process will not be as well understood by new people working on the program and therefore may fail to reach its full potential.

The engagement with other Australian organisations, while a modest aspect of the program, obviously presents some particular risks. It risks distracting AusAID in Canberra if too many activities are funded because of the amount of program management required to administer the funds and contracts for this engagement. It also risks the reputation of AACES should a particular activity not be successful. Finally there is a risk that this component could fail to provide the additional learning and challenge which is sought and could simply become a funding mechanism with limited outcomes.

The management arrangements for AACES require active engagement by AusAID and the NGOs. There is some risk that without that engagement and responsible follow-up by all parties, management arrangements will not be sufficient to maintain this complex program.

9.4 Risk to M&E

Finally, the monitoring and evaluation for the program is an essential part of the program itself. Program management, program learning and program accountability all rest upon high-quality monitoring and evaluation. There is a risk that this will not be resourced sufficiently and with sufficient technical skill for it to be adequately undertaken through the life of the program.

These risks are outlined in more detail in the attached risk matrix, see Annex Eight. Included in that matrix is attention to how risks will be managed. Overall however, the management of risk in the program is a shared responsibility between AusAID and the NGOs and should form a standing item on the agenda of the steering committee.

10. Sustainability

The intention for AACES is to demonstrate and develop access to sustainable services for selected populations. This in turn is expected to influence policy and programming of AusAID and other donors and governments to ensure that they give greater attention to sustainable access to services for poor and marginalised people.

There will be aspects of the program which are sustainable in themselves. The strong focus on capacity development of African partners and organisations is a feature of the program which will contribute to sustainable and ongoing outcomes. As noted above, sustained access to services for selected populations in selected locations will also be a long-term outcome of the program. The ability of marginalised people to be able to speak for themselves and to have their voices included in decision-making and policy making situations will also be a long-term and sustained outcome of the program.

The program is also exploring other activities which will contribute to sustainable outcomes. These include the development of a knowledge base managed by the Resource facility, about community based development in Africa. While this sort of idea is being explored to support AACES work, it is envisaged that it will be broadened to other organisations and networks over time. Other ideas such as this are being generated in the collaborative processes between NGOs. The monitoring and evaluation will track these additional outcomes from the program and will be able to identify their contributions to sustainability over the life of the program.

However, the most significant sustainability for this program will be the improvement and further development of the AusAID African Strategy that will over time reflect greater inclusion and attention to poor and marginalised people in programming options and policy. It is intended that this influence will extend beyond AusAID to other duty bearers, potentially governments and donors and therefore become the real sustainable legacy of this program.

11. Cross cutting issues

11.1 Gender Equality

The AACES program is directed towards sustainable service provision for marginalised people. As noted in the definition of marginalisation, this particularly includes attention to services for women. It is a requirement of the program that the individual NGOs are able to demonstrate the impact and outcomes of their work for women as well as men, and to consider AusAID's cross cutting policy areas within their designs, implementation and monitoring and evaluation arrangements.

The NGO designs all differentiate the strategies that they will use for men and women as well as for other marginalised people. The program as a whole has established outcome areas which include attention in particular to the experience of women.

It is expected that AACES will generate research and learning about the experience of women across the 11 African countries and their particular experience of marginalisation within varying communities. A number of the NGO projects in particular include additional gender and power analysis and are expected to provide focused attention about how services can be best developed to be accessible for women. This learning and information will be communicated to AusAID sectoral programs and is expected to be demonstrated in improved policy and program development of those sectoral areas.

11.2 Child protection

In line with AusAID policy, every NGO in the AACES program is expected to demonstrate compliance with the AusAID child protection policy. All of the AACES partnership NGOs have outlined their compliance as part of their project design.

Where funding is provided to other Australian organisations, they will also be required to demonstrate compliance with AusAID policy.

11.3 Disability Inclusiveness

As noted, the program is directed at marginalised people. Disability is a significant reason for marginalisation of people particularly in some African countries. All of the NGO projects have identified the way in which they have included people with disabilities in the design process and in their plan for implementation.

The monitoring for the program will continue to identify the impact and outcomes for people with disability. NGO projects will likewise be expected to identify outcomes for people with disability from their specific projects.

11.4 Environment

All NGO projects that are likely to have environmental implications, in particular those projects directed at food security and water and sanitation provision have outlined their compliance with AusAID environmental policy.

11.5 Climate change and disaster risk reduction

As part of the AACES design process, NGOs were provided with details about the AusAID policies for mitigation of climate change and disaster risk reduction. The NGOs are expected to comply with and implement these policies as part of their project operations.

Africa Australia Community Engagement Scheme

Annexes to Program Design Document

April 2011

Annex One

Design Concept Paper

Australian NGO Program in Africa

Australia Africa Community Engagement Scheme (AACES)

Design Concept

May 2010

Acronyms

AACES	Australia Africa Community Engagement Scheme
ACFID	Australian Council for International Development
AMENCA	Australia Middle East NGO Cooperation Agreement
ANCP	AusAID NGO Cooperation Program
ANGO	Australian Non Government Organisations
APAC	Australian Partnerships with African Communities
AusAID	Australian Agency for International Development
CSO	Civil Society Organisation
INGO	International Non Government Organisation
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
NGO	Non Governmental Organisation
QAE	Quality at Entry
SINPA	Solomon Islands Cooperation Agreement
UN	United Nations
UNICEF	United Nations Children's Fund

1 Introduction

This document describes the rationale and arrangements for a proposed African NGO Partnership Agreement. The activity builds on the previous Cooperation Agreement in Africa, *Australian Partnerships with African Communities (APAC)*, but reflects the developing policy context in Australia. The program (Australia Africa Community Engagement Scheme - AACES) will run over five years and it is anticipated that the total budget will be up to \$90 million but this will be subject to annual budgetary considerations. AACES will be a partnership between AusAID and Australian NGOs.

The concept paper was informed by consultations with the Australian Council for International Development (ACFID) Africa Working Group and AusAID, the final evaluation of APAC, international literature, and a review of two recent AusAID Cooperation Agreements in the Solomon Islands and the Middle East (see **Error! Reference source not found.**).

2 Analysis

2.1 Australian Government policy context in Africa

The Australian Government has increased development assistance to Africa by 40% in the last twelve months, with similar increases expected in future years. The aid program is targeted to assist Africa's progress towards achieving the MDGs in the areas of agriculture and food security, maternal and child health, and water and sanitation. This focus capitalises on Australia's expertise and experience and aligned with African governments and institutions, multilateral partners and other donors. In addition, Australia will help to build Africa's human resource capacity through scholarships [250 in 2010 and 1000 by 2012-13] and targeted technical assistance in areas such as public sector reform and mining, particularly in relation to governance:

In the context of donor activity within Africa, AusAID is a minor player with limited resources. However, AusAID can apply its resources in a targeted and responsive manner in order to leverage greater outcomes, and to showcase the Australian contribution to the continent.

2.1.1 Relevant AusAID policies

AusAID has a strong policy focus on gender equality in development work. It is recognized that women and men experience the process and outcomes of aid and development differently and all programs ought to give attention to this different experience. For a program located in Africa this has particular resonance. Increasingly there is recognition that women and girls are the most likely to be unable to access basic services and also most likely to experience violation of their human rights. In line with AusAID policy, systematic empowerment of women and girls has been identified as a key component of achievement of the MDGs in Africa³⁷.

³⁷ UN (2008) "Achieving the Millennium Development Goals in Africa", Recommendations of the MDG African Steering Group, June.

The AusAID Child Protection policy is very relevant to the scope of work proposed under AACES. Protection of children's rights and their safety and security is a key focus of all work undertaken by AusAID in line with this policy.

AusAID also has a policy which commits the agency to consider the needs and rights of people with disability. This policy utilizes a human rights approach to working with people with a disability, recognising that the impact of disability is likely to limit the full and active participation of people in society and also likely to limit their access to basic needs and services. This policy will have application for several locations and communities across Africa, with people with a disability being among some of the poorest and most marginalized of groups in many countries.

The disaster risk reduction policy for the Australian aid program aims to reduce the vulnerability and enhance the resilience of countries and communities to disasters. It recognises that disasters result when natural hazards such as drought and cyclone occur in locations where people are vulnerable due to factors such as poverty, disability and disease. Experience has shown that parts of Africa are particularly prone to weather-related disasters which are likely to be exacerbated by climate change. The program will also target the poor and marginalised who are disproportionately affected by disasters.

AACES offers an opportunity for AusAID to ensure these policies are at the centre of its work with civil society and communities in Africa. Other relevant policies, such as those concerned with health, environment, food security, water and HIV/AIDS will also be expected to inform the design and implementation of programs under AACES.

2.2 African policy context

The development context in Africa is highly diverse and complex with different issues and trends in each of the 53 countries. This diversity has implications for effective donor work across the continent; with an increasing call that international donors work through government systems in line with the Paris Declaration and Accra Agenda for Action³⁸. It is also an issue for work at local levels where research suggests that development interventions need to reflect local realities in order to be effective³⁹.

There has been a strong focus on the achievement of the MDGs in African countries. While there is considerable concern about the progress among many African countries, the latest reports indicate that apart from MDG five – reduction in maternal mortality – many of the goals will be achieved in many African countries. However such achievement will require considerable donor support, government commitment and collaboration across international and national efforts. It will also require a clear focus by national governments on the poorest and most vulnerable groups of people⁴⁰.

³⁸ UN (2008) "Achieving the Millennium Development Goals in Africa", Recommendations of the MDG African Steering Group, June.

³⁹ Samuels, F, James, V. & Sylvester, K. (2009) "Beyond Basic Needs: programming for marginalised and vulnerable groups", ODI project briefing No 19, April.

⁴⁰ UN (2008) "Achieving the Millennium Development Goals in Africa", Recommendations of the MDG African Steering Group, June.

Civil society in Africa is characterised as diverse. There are a range of actors from large international non-Government organisations (INGO) to informal and local civil society organisations (CSO) and communities. Civil society in Africa has not been united in support for the MDGs. In part this has been due to a perception that they are an externally imposed construction and also that they are focused upon government systems and implementation. However there is increasing interest in the MDGs among African CSOs. It is suggested that for CSOs to become more effectively engaged with the MDGs, civil society capacity to work and engage in policy dialogue requires further development⁴¹.

While there are good examples of civil society influence in policy development across Africa, typically CSOs are not strong in direct policy influence⁴². CSOs in Africa have supported governance through development of voice for marginalised groups and through systems which increase participation of ordinary people⁴³. However they have tended to focus on service delivery at the expense of policy development and advocacy, especially the smaller and more locally based organisations⁴⁴. In part this has been attributed to the limited funding base of such organisations, especially the tendency for donors to support them in piece-meal and fragmented ways that limit their development as strong policy organisations.

2.3 AusAID engagement with civil society

The value of civil society development is well recognised by the Australian Government⁴⁵. AusAID currently identifies three ways in which it works with civil society:

- Policy Dialogue: Contributing to policy, program and strategy development in Australia and overseas.
- Program Delivery: Facilitating better access to basic service delivery and humanitarian activities for poor and vulnerable communities; strengthening the role and capacity of civil society in partner countries and supporting government systems to work better for the poor.
- Building Community Support (both within Australia and abroad): Undertaking development awareness activities and advocating on international development issues;

⁴¹ Gabriel, N. (2003) "The Millennium Development Goals: Towards a Civil Society Perspective on Reframing Poverty Reduction Strategies in Southern Africa", Presented at the Southern Africa MDGs Forum, Johannesburg, 2 – 4 July.

⁴² Robinson, M & Friedman, S. (2005), "Civil Society, democratization and foreign aid in Africa", IDS Discussion paper 383, April.

⁴³ Tembo, F., Wells, A., Sharma, B. & Mendizabal, E. (2007) "Multi-donor support to civil society and engaging with 'non-traditional' civil society", A light touch review of DfID's portfolio, ODI, June.

⁴⁴ Mati, J.M. (2008) "Taking the Pulse of Civil Society worldwide: Insights from the CIVICUS Civil Society Index project (2003-2007). Paper presented at the 8th Conference of the International Society for Third Sector Research, University of Barcelona, Spain.

⁴⁵ Good Practice Donor Engagement with Civil Society: A review of the Literature, Office of Development Effectiveness, Draft, November 2009.

facilitating partnerships and promoting people to people and organisational links, including through volunteer and other programs⁴⁶.

However the understanding of how civil society contributes to higher level development goals is only now being developed within AusAID. Most recent thinking in the Agency suggests that it is unreasonable to expect that CSOs can directly bring about the achievement of national level outcomes such as the MDGs. A more reasonable construction is to understand the way in which CSOs contribute to the achievement of these Goals through more intermediate outcomes. Examples of these outcomes include building connections between government and people, providing information for citizens, demonstrating service delivery models that can be scaled up, and enabling diverse views to be heard etc⁴⁷. The relative importance of these outcomes depends upon the particular needs and strengths of a society, and the existing relationships between civil society and the state. Current AusAID conceptualisation about the value of civil society focuses on being clear about these intermediate outcomes and seeking to support civil society in attaining these.

It has been recognised that AusAID management practices can affect the ability of civil society to achieve these outcomes. Recent research in AusAID has identified that AusAID needs to modify its management practices to achieve better civil society outcomes. Such practices have included insistence on single year funding arrangements, overly detailed reporting requirements, and a lack of attention to donor harmonization⁴⁸. AACES will be an opportunity to move beyond these practices and reflect a more sophisticated management approach.

As part of its civil society engagement, AusAID works with Australian NGOs (ANGO) through various schemes, including cooperation agreements. APAC was one of AusAID's first cooperation agreements. Recent agreements in other regions have taken more of a partnership approach between AusAID and the ANGOS and have been characterised by clear and modest objectives, structured opportunities for sharing and learning, flexible funding and reporting arrangements, and a focus on outcomes rather than activities.

2.4 Linkages and implications for other Australian Government investment in Africa

Australia's assistance has typically concentrated in Southern and Eastern Africa. This scope has now been widened with a number of the new programs planned to be progressively delivered across the entire continent (**see Error! Reference source not found. for a description of these programs**).

AACES provides an opportunity to complement these programs and to extend the reach and influence of Australia's assistance in Africa. While AACES will be delivered as a standalone program, AACES' activities must complement existing or planned Australian programs in Africa. Opportunities will be sought to facilitate links, information exchange and collaboration between the AACES' implementers and other programs where appropriate.

⁴⁶Taken from the AusAID NGO and Community Engagement Section discussion Paper, "AusAID Engagement with NGOs", draft, October 2009. This paper reflects the current development of AusAID policy on engagement with NGOs but given it is still under development the details of the policy are still subject to change.

⁴⁷ ODE (2009) "Theory of Change: AusAID engagement with civil society", Draft.

⁴⁸ Good Practice Donor Engagement with Civil Society: A review of the Literature, Office of Development Effectiveness, Draft, November 2009.

Outside of the Africa program, AusAID funds a range of programs in Africa, including through Australian NGOs via the AusAID NGO Cooperation Program (ANCP) and the volunteers program.

2.5 Lessons from APAC, SINPA and AMENCA Cooperation Agreements

Australian Partnerships with African Communities (APAC) was an A\$60 million program (2004 – 2010) which provided funding for seven ANGOs to support development in seven countries in Southern and Eastern Africa. A review of APAC in August 2009 identified several key messages to guide the future program. These are summarised in section 5.3.

A comparison of the design, implementation, and monitoring arrangements of AusAID's Solomon Islands NGO Partnership Agreement (SINPA) and the Australia Middle East NGO Cooperation Agreement 2 (AMENCA 2) programs is also included in section **Error! Reference source not found.**⁴⁹.

Highlights of the review of APAC, SINPA and AMENCA 2 include the following considerations, which are relevant to the design and implementation of AACES:

Flexibility

- *Define clear overall objectives and first year plans, but allow ANGOs and their partners the freedom to develop programs along the way.*
- *Include responsive funds that can be flexibly allocated to additional research, emergent needs etc.*

Empower in-country partners

- *Keep the concept and design process clear and simple with a strong presentation component and reduced written applications.*
- *Consider management arrangements that include in-country implementers as key decision makers.*
- *Ensure ANGO capacity building approach and value add is clearly outlined.*

Performance assessment and accountability

- *Consistent reporting formats for ANGOs to enable easier analysis across the programs.*
- *Consider the rationale for the percentage of funds allocated to the ANGO. The activities and expected results of this management allocation should be articulated in the initial application.*

Collaboration and learning

- *Use joint NGO meetings as a way to encourage peer-supported and non-confrontational ways to learn and improve practices. This needs to be purposefully structured and resourced, and both AusAID and ANGOs need to be engaged.*
- *Clarify the available skills and strengths across the ANGOs and their partners, and frame the program so that these are brought together. Do not expect every ANGO and partner to have the same strengths.*
- *Similarly ANGOs and AusAID should proactively address known weaknesses such as gender mainstreaming and performance assessment.*

Initial NGO Selection

- *Consider including both AusAID and in-country representatives on the selection panel, where these individuals have strong local knowledge.*

Review of NGO designs

⁴⁹ This summary was developed following a review of the programs' concept notes, design documents, and consultation with the respective AusAID program managers.

- *Have a one stage selection process (e.g. just at initial concept/capacity statement stage – not at design stage) to avoid competition between NGOs, and build a more trusting open relationship with AusAID that strengthens the designs.*
- *Include a structured “in-country” peer and expert review of NGO programs, but only have formal AusAID Quality at Entry (QAE) review of the overall program (i.e. not of individual NGO programs). This keeps high local input and ownership of the design review process, and ensures the review process is meaningful.*

Adequate resourcing for management

- *Provide sufficient overarching human and financial resources in order for AusAID to manage and add value to the program. APAC indicated that for a program with seven countries and seven ANGOS, at least three AusAID managers were required.*

2.6 APAC Related Research

AusAID commissioned research on the lessons from APAC⁵⁰. This research provides important guidance for increasing the effectiveness of AACES. Key messages from this research include:

- Development programs work best when they are designed from inception to address both rights and basic needs.
- Development programs need to reflect local realities.
- By focusing on marginalized groups, and increasing linkages between communities and formal structures, NGOs create a platform and a political space for the participation of people whose voice is rarely considered in formal district fora. Where these platforms have worked best they have involved community groups together with government and traditional authorities and leaders, rather than rely on a single institution to represent the people.

3 Activity description

3.1 The intention of AACES

The Australian Governments wants to see a measurable improvement for people in the three sectors of food security, maternal and child health and water and sanitation. AusAID also wants an aid program which builds the capacity of African partners and increases the visibility and engagement of Australia across the continent. Finally AusAID is seeking to build Australian community interest and understanding about the Australian government program in Africa.

AACES is intended to build from the lessons and experience of APAC to continue the engagement of AusAID in civil society work in Africa. An expanded program with civil society would enable AusAID to link its bi-lateral and multilateral programs with the direct experience and voice of people and communities across Africa, as part of a comprehensive approach to bring about the impact sought by the Africa strategy.

⁵⁰ Samuels, F, Sibale, B. & Sylvester, K. (2009) “People in Planning in Malawi: Lessons from the APAC programme in Eastern and Southern Africa”, ODI Project briefing No 18, January. And Samuels, F, James, V. & Sylvester, K. (2009) “Beyond Basic Needs: programming for marginalised and vulnerable groups”, ODI Project briefing No 19, April.

APAC demonstrated that a civil society program can contribute to capacity development of people and institutions in African countries, including CSO and government. Finally use of ANGOs in particular provides an efficient way to increase the Australian community's engagement in the program.

3.1.1 Australian NGOs

The ANGOs have a wide range of existing programs in Africa. For example in 2007 around 34% of Australian public funding raised by ANGOs was for programs in Africa. This was delivered in 39 of the 53 countries in Africa⁵¹. Coupled with their international and national partners, the ANGOs' coverage and reach into Africa is already well beyond what AusAID could hope to achieve on its own.

ANGOs already have working relationships with civil society in Africa, based upon the shared values between organisations; a key factor in effective civil society engagement. Their existing programs are based on well developed local knowledge and long term development strategies which means they can develop new programs or expand existing activities from an informed and experienced base. ANGOs also have existing relationships with government, particularly at sub-national levels, but also with some national governments.

In line with AusAID interest, ANGO programs in Africa typically focus on poor and very remote and marginalised groups who are often most disconnected from government services. Also in line with AusAID intentions, ANGOs work with partner organisations and generally seek to support capacity development of those partners.

ANGOs also offer unique opportunities for AusAID in Australia. They are typically well connected into Australian society and able to link their supporters and others to Africa programs, increasing the Australian public interest in development assistance to Africa. ANGOs involved in APAC are accredited organisations and thus have a demonstrated capacity to manage development programs. They are able to undertake research and advocacy work to link the outcomes of those programs to wider policy development and other influencing work.

At the same time there are some risks in a program delivered with the ANGOs. For some of them their in-country partners – e.g. International NGO arms - can weaken local partners through a focus on their accountability and reporting requirements at the expense of locally driven development, and through absorbing resources that could otherwise be provided directly to local CSOs. These risks need to be balanced against the likely risk of fraud or misuse of resources which can occur when large donors such as AusAID tries to engage directly with fledgling CSOs.

A further risk for AusAID of partnering with ANGOs, rather than directly with in-country organisations, is that this distances AusAID from civil society in-country and can weaken their mutual engagement and AusAID's ability to work with civil society to influence policy⁵².

AACES will need to be designed and managed in such a way as to enable the strengths of ANGOs to be maximised in the program, while also monitoring and minimizing the potential risks. A key

⁵¹ ACFID Africa Working Group comments on AusAID's Africa Framework, July 2009.

⁵² ODI, 'Multi-donor support to civil society and engaging with 'non-traditional' civil society. A light-touch review of DFID's portfolio', June 2007, F. Tembo & A. Wells with B. Sharma & E. Mendizabal.

concern will be to maximise the role and voice of local partners and organisations through the program.

3.2 Activity objectives

The overall intention of AACES, in line with AusAID's Africa program, is to contribute to measurable outcomes for people in three sectors: water and sanitation, women and children's health, and food security.

In recognition of the strengths and areas of expertise of ANGOs and their partners, there are three broad objectives proposed for the program that are expected to contribute to this intention. The first objective focuses on program delivery, the second on policy dialogue, and the third on the wider engagement by the Australian community in the Africa program. These objectives will be developed in detail in the design stage.

ANGO programs would be expected to deliberately seek synergies with other AusAID African programs and strategies during the design of their AACES activities. Synergy does not necessarily require that ANGO programs work in the same sector, location or type of intervention as other AusAID programs, but that obvious points of intersection and overlap are identified which are of interest and use to both programs.

1. The first objective focuses on increasing access to sustainable basic services for poor and marginalized people, and working to uphold the rights of those people to such services.

This first objective would specifically seek to improve the lives of people. Recognising the strengths and experience of ANGO programs in AACES the intention would be to increase the access of people to existing and improved services. It would target those people who are particularly marginalised and most likely to be excluded from services. Given AusAID's focus on gender equality and the disadvantage of many women in Africa, programs would be expected to demonstrate positive outcomes for women. Children and people with a disability are also key 'marginalised' groups.

It is expected that the ANGOs might choose to work across a variety of sectors and make use of several methods to achieve the first objective. However in line with the overall intention of AACES, the individual program will also have to be able to demonstrate their contribution to outcomes in the key sectors mentioned previously.

In line with AusAID policy and the experience in Africa, disaster risk reduction will be an important issue to consider. Disasters may pose a threat to program sustainability and will therefore need to be addressed as part of a risk management plan. Targeted disaster risk reduction programs or components could be considered for support where the links to sector outcomes can be clearly articulated.

In order to meet the first objective, it is expected that ANGOs would develop a range of strategies that lead to sustained positive change for the most marginalised people. Programs would be designed to address access to services, and human rights from their inception.

In order for access to be sustained, the programs would be expected to build capacity of stakeholders to ensure their ability to meet the ongoing needs of people. This is likely to mean working with multiple stakeholder groups, including CSO and local government. It will include

specific strategies to strengthen capacity of partner groups and to build a sustainable approach to change that can continue beyond the life of AACES.

The objective would include activities to promote voice for marginalised groups in order that their needs are considered in the development of services, and also in the ways services are delivered. Allowing the voice of marginalised people to be heard could also contribute to holding service providers, including governments, to account for any failure to meet the needs of these people.

The objective also provides space for research and policy influencing work to be included in order to communicate the needs and issues of poor and marginalised people to wider audiences such as other bilateral and multilateral donors.

Programs would be developed for the local situations based on good quality analysis of those situations, rather than simply replicating similar types of activities across multiple locations. Experimentation with innovative approaches and approaches developed from local participation and consultation would be encouraged.

2. The second objective focuses on increased effectiveness and outcomes for both AusAID and the ANGOs, through increased policy dialogue between ANGO and AusAID programs.

As part of effective **policy dialogue**, the intention would be for ANGOs to develop AACES programs which enable them to utilise their program experience and outcomes for regular dialogue with AusAID. While the ANGO programs may be multi-sectoral in their approach, the intention is that they are able to identify synergies with the other AusAID programs in Africa and therefore the areas where dialogue about particular issues would be of benefit to both AusAID and the ANGOs. Such dialogue is for the purpose of mutual improvement. It will require a commitment to research and learning and sharing of experience by both AACES agencies and AusAID.

Possible areas for dialogue might include:

- Providing information about the experience of poor and marginalised people.
- Sharing specific lessons in good gender equality practice or effective practice with people with disabilities.
- Identifying and communicating service delivery issues and lessons for consideration in program development at national and regional levels.
- Demonstrating models and examples of service delivery and access which can be scaled up for replication in larger programs.
- Contributing to accountability mechanisms for larger scale programs.
- Identifying donor harmonisation opportunities and issues.

3. The final objective focuses on increased opportunities for Australian public engagement in the Africa program.

For increased Australian **community engagement** in the African program, ANGOs would be expected to look for ways to maximise the exposure of the program in their communication processes with the Australian public.

While not expected to be a major aspect of the ANGO program this is nevertheless an important contribution to the AusAID Africa program which ANGOs are able to bring to their work under AACES. It serves the AusAID intention of building the public profile of the program and the ANGO intention of developing the Australian public recognition and understanding of their work. ANGOs would be encouraged to build on their existing links and communication strategies to expand Australian community interest and participation in and understanding of Australian government and ANGO work in Africa.

Additional strategies that enable the further development of people to people links across the program, including working with the African diaspora living in Australia, would be of considerable value.

4 Implementation arrangements

4.1 Program scope

There are several issues to be considered about the scope of AACES. While AusAID is keen to have wide country representation, the experience of APAC was that both ANGO capacity and experience and AusAID management resources need to be considered in proposals for a wider program scope.

While recognising the value of maintaining a focus on Eastern and South Africa and building on existing relations, an expanded funding base provides an opportunity to expand AusAID's geographic coverage in Central and West Africa. Proposals can focus on one or more geographic regions. In order to maximise the range of good quality activities which AACES might support, it is suggested that NGOs would not be limited in which countries they could include in their capability statement. However, ANGOs would need to demonstrate an existing and well developed program in a country from which they can build a program in line with AACES' objectives. The Selection of proposals will not be geographically based and the final geographic scope of the Program will be dependent on the quality, identified links between activities and value for money of the proposals received.

Building on the lessons of APAC, a suggested upper limit for each ANGO program would be three countries, though this would not be absolute and would depend upon the final mix of ANGOs selected. Consortiums of ANGOs and others will be considered where obvious advantages and ability to coordinate and work together can be demonstrated.

It is suggested that a maximum of eight ANGO partners/consortiums would be an optimal size for the program.

4.2 Facility modality

It is proposed that AACES will operate as a program of funding under a facility or other similar modality⁵³. The overall intention and objectives of the program would be clear and able to be assessed but any one ANGO program funded under AACES would contribute to those objectives rather than be expected to directly fulfil those objectives. Each ANGO program is likely to make its contribution to the AACES' intention and objectives in a different way.

In line with a facility modality, the emphasis will be upon flexible programming with development of each AACES program over time, in order that it is adapted with improved understanding of the way in which that program can contribute to AACES' objectives.

There will need to be a strong focus on good quality monitoring and evaluation at the objective level of the program and within each ANGO programs in order to understand and assess the quality and value of the contribution from each ANGO program to the AACES' intentions.

4.3 Partnership approach

In line with the Australian Government's commitment to a more cooperative relationship with civil society, it is proposed that the management and implementation arrangements for AACES are developed from a partnership approach. A partnership approach recognises that both AusAID and ANGOs have objectives for their work in Africa and that under AACES they will identify specific areas where those objectives overlap. As partners they will work together to achieve those shared objectives.

While the specific expectations for the partnership/s would be negotiated with the ANGOs selected for AACES, the following provide a guide for some minimum operating principles⁵⁴.

- Knowledge of, and recognition for each partners' different skills, strengths and attributes.
- Recognition of the total investment into the program, not just from AusAID funding but also ANGOs' and their implementing partners.
- Regular formal and informal dialogue and exchange directly between AusAID and the ANGOs (i.e. for this exchange to not be outsourced), and commitment towards honest, open and frank communication.
- Clearly agreed overarching objectives, but flexibility for ANGOs to respond rapidly and flexibly as context and understanding changes (e.g. the ability to roll over unspent funds across financial years, and minimal emphasis on inflexible contractual requirements).

⁵³ In AusAID, "program" is a generic term used to cover any sort of activity that includes multiple parts (more than one location, more than one organization, more than one sector or target). The word does not describe the design modality or structure used to implement the work. In contrast a facility is an actual design type (it is different to a project). A facility design has clear objectives and then multiple activities or interventions all of which are expected to contribute to these objectives. But unlike a project, facility activities are not expected to have a direct cause and effect relationship to those objectives. A facility is a flexible funding arrangement where there is strong emphasis upon learning and improvement over time. It allows for change and development of the ways in which the central objectives are being sought. It requires good quality monitoring in order to facilitate this learning and improvement.

⁵⁴ The principles have been developed through consultation with the ANGOs around minimum features of a partnership, and informed by the Pacific Leadership Program Partnering Handbook, 2008, AusAID.

- Joint monitoring of program outcomes, but with less focus on detailed activity monitoring.
- Annual joint assessment of the quality of the partnership.
- Actively looking for opportunities to link and represent each other's programs.

These principles should not just be followed at the start of the program, but require ongoing resourcing and commitment from both AusAID and the ANGOs in order to maintain and develop the partnership. Annex 6 provides more detail about the proposed approach to partnership.

Following a partnership approach has implications for ANGO and AusAID resourcing. While it is expected that AusAID will contract technical specialists to support some aspects of the program's implementation and monitoring, this cannot take the place of direct AusAID staff involvement in dialogue, management and oversight for the program.

4.4 Selection of ANGO partners

The timeframe and sequence of steps for the ANGO selection and design process is outlined in Annex 5.

The selection will be a one step process. ANGOs will be selected on the basis of capacity statements which demonstrate their ability to work towards the objectives of AACES, together with their interest in working in partnership with AusAID for this program.

The selection criteria for assessing the AACES Capacity Statements are detailed in the Request for Submissions. They include attention to the following areas:

1. Demonstration of fulfilment of baseline requirements

These requirements are the minimum requirements for consideration as a participant in AACES. Agencies which are not able to meet these requirements will not be considered for this program. They include:

- AusAID NGO accreditation
- Demonstrated experience in development work in Africa
- Demonstrated established base for new and expanded work in Africa.
- Demonstrated high quality implementation of key AusAID policies. These include in particular the policies on child protection, gender equality, disaster risk reduction and protection of the environment.

2. Description of capacity in development work in Africa (both a general statement and provision of specific examples) against the following areas:

- i. Program delivery that is: service delivery, civil society development, and advocacy and policy development and ability to work across institutions, including CSOs, local governments and other service organisations.
- ii. Policy engagement with AusAID or other donors or institutions;

- iii. Community engagement with the Australian public in relation to development work in Africa.
- 3. Identification of the strengths of the ANGO ways of working, innovative approaches to meeting the needs of people, and the potential for synergy with the broader AusAID program in Africa.
- 4. Broad outline of how AACES funds would be utilised for program delivery, policy dialogue, and Australian community engagement with attention to:
 - i. intended impacts
 - ii. proposed locations (countries)
 - iii. intended partner organisations
 - iv. ways of working/strategies
 - v. proposed capacity development strategies for in-country partners
 - vi. indicative level of funding required across the three objectives

Proposals may be redeveloped if the NGO is successful in moving to the design stage. Proposals are intended to be indicative only and further negotiations and development of the ideas, including locations and intended partners may be required during the design stage.

Consortiums of ANGOs and other Australian organisations will be considered provided there is clear demonstration of the value of having more than one organisation work together and an identified process and strategy in place for how the organisations will function as a consortium. Previous experience in working together would be preferable.

The selection will be done by a panel of AusAID staff. Interviews with ANGOs and their partners will likely form part of the selection process.

4.5 Design process

There are two parts of the design process to be undertaken once ANGOs have been selected.

4.5.1 ANGO designs

Once ANGOs are selected they will be supported to develop designs that meet the intentions of AACES. The design process for ANGO projects will not be competitive.

The design process will take place over three – four months, and financial support will be provided by AusAID for this design process up to an agreed limit. This will be negotiated with the ANGO following their selection. As a benchmark, AusAID will provide 70% of the design costs, with ANGOs being able to include in-kind contributions within their 30% contribution.

Drawing on best practice principles, the designs will be developed from strengths-based approaches to development, and primarily driven by in-country implementation partners. It is expected that the programs will build on existing relationships and activities the ANGOs support in country, but that further consultation with communities, government and other stakeholders will be required.

Particular attention is expected to be given to the inclusion of women and people with disabilities in the consultation process.

The individual designs will be guided by detailed guidelines but are expected to include:

- Objectives which provide clarity about the intentions and expected outcomes of the program
- Description of the overall program rationale, strategy and approach
- Detailed M&E strategy
- Detailed gender analysis and strategies to address and monitor gender equality
- Detailed explanation of the ANGO and in-country partner capacity development strategies and expected capacity development outcomes
- Explanation of the way in which synergies will be developed with the AusAID Africa program and expected areas and opportunities for policy dialogue
- Detailed implementation plan and budget for the first year only
- Indicative budget for the remaining four years.

AusAID will seek to closely support the ANGOS and their partners during the design process. Workshops and mentoring may be held subject to need on areas such as:

- Gender equality
- Child protection
- Disability Inclusiveness
- Monitoring and evaluation
- Design

Collaboration between the ANGOS and between in-country partners during the design stage will also be encouraged to share research, ideas and good practices, and to identify opportunities for collaboration in implementation (e.g. joint research or monitoring, capacity development, peer review etc).

The final ANGO designs will be peer reviewed in country.

4.5.2 Overall AACES design

Concurrent with the individual ANGO program designs, an overall design for AACES will be developed by AusAID with close consultation with the selected ANGOS and their in-country partners.

The AACES design will include:

- Clear objectives
- Description of the rationale and modality
- Overarching governance and management arrangements (including the role of any Secretariat)

- Roles, responsibilities and principles to underpin an agreed partnership arrangement between AusAID and the ANGOs
- Communication and reporting arrangements, including dispute resolution mechanisms
- Monitoring and evaluation arrangements (including the nature of AusAID's regular monitoring, and the focus of the Mid Term Review and Final Evaluation).

It is expected that the agreed elements in the AACES design will be reflected in the individual ANGO designs.

The overall AACES design will be reviewed by AusAID through the Quality at Entry process.

4.6 Financing arrangements

It is anticipated that the total budget for the five year program may be up to \$90 million but this will be subject to annual budgetary considerations.

Final financing arrangements will be included in the AACES design. It is proposed that the following features are included:

- Annual funding will be provided up front on the basis of an agreed annual plan and budget. The ANGOs will be required to acquit these funds on an annual basis, but will be able to carry over funds and use them flexibly across their program, where mutually agreed and within AACES intentions.
- The size of each ANGO's core grant will be negotiated on the basis of the capacity statement and subsequent design.
- A benchmark of 10% of individual ANGO budgets can be used for recurrent operational/management costs. Requests for an increase in this level will be considered on a case-by-case basis with possible justification including: expansion into a new geographic area or working in a less secure environment.
- Funding will be for five years with flexible arrangements to shift funds between years as programs develop.
- Each ANGO will be eligible to apply to a pool of funds over the life of the agreement to meet emerging needs, develop innovative initiatives or conduct research. Collaborative initiatives (including with stakeholders outside of AACES⁵⁵) will be encouraged.
- Funds will be available to cover program level performance monitoring and management (including the costs of a formal secretariat).

4.7 Implementation arrangements

Implementation arrangements will be developed jointly by AusAID and the selected ANGOs. Key features of the implementation arrangements might include:

⁵⁵This might include other local partners or stakeholders, or other ANGOs working in Africa.

- Increasing control and voice by in-country partners and communities throughout the program.
- ANGOs cooperating in a specific country situation to both share lessons and experience and also to represent each other's programs either to AusAID or to external audiences.
- Meetings between AusAID and ANGOs to discuss lessons learnt, outcomes and challenges (this may be on a country or regional basis).
- Reporting requirements which focus on outcomes and learning.

The final implementation arrangements will be developed in cooperation with the ANGOs and their partners during the design process.

4.8 Initial identification of risks

There are several risks with this proposed approach to AACES. As noted there are risks associated with use of ANGOs to manage a program of civil society engagement for AusAID. These will require monitoring and management for the life of the program.

In addition there are risks associated with a partnership approach where AusAID chooses to have less immediate control over the details of implementation. This risk is largely mitigated by the use of accredited ANGOs.

Probably a more significant risk for AusAID is the ongoing need to direct resources to the program to ensure adequate dialogue and engagement with the ANGOs and their in-country partners, and between the program and other AusAID programs in Africa. Given the growth of the AusAID program in Africa this may be unsustainable for AusAID. This will particularly affect the achievement of objective three.

Annex Two

AACES Design Guidance

AACES Design Guidance

November 2010¹

Introduction

The following principles and design requirements are intended to assist Australian NGOs and their partners as they design their activities under the Australia Africa Community Engagement Scheme (AACES). The document outlines the minimum standards and areas to be covered by all NGO designs.

Each NGO will undertake their own design process, drawing from their experience and existing programs and relationships in Africa. At the same time there are various areas where it is anticipated NGOs will share information and ideas and will seek to either work together or complement each other's work, especially in relation to Objectives Two and Three of the AACES program.

The overall AACES program will be designed concurrently with the individual NGO projects. This will allow ideas to be shared between the two levels of design. The design process will be iterative, with a focus on improvement and development along the way. Assistance will be available to the NGOs in agreed areas such as monitoring and evaluation (M&E), gender equity and strategy development.

The following document outlines the basis for the design process, representing the minimum required standards. It is expected that Australian NGOs and their partners will have much to add to these, and much to contribute to the quality of each other's designs as well as to the overall AACES program design.

Principles

The following principles should guide all NGO designs as well as the AACES program design:

Process

1. The design process should be an opportunity for both the Australian NGO and their partners to build their own capacity in design, and to strengthen relationships and understanding that will be beneficial during implementation. Rather than an overreliance on external assistance it is important that the people who are to manage this program into the future are closely engaged in the consultation and design process.
2. It is expected that there will be open and mutual exchange of ideas and information between the Australian NGOs and AusAID, and between each of the NGOs themselves during the design period. Problems and difficulties ought to be identified early so that there are no 'surprises' late in the design period. Ideas and opportunities for collaboration or improvement should be freely communicated with others, where possible.
3. Designs are expected to build on existing programs and the previous experience of NGOs. Where new research and consultation needs to be undertaken, this should be done with communities and partner organisations. This should establish the participatory and consultative approach expected to be characteristic of this program.

¹ An earlier draft of these guidelines was reviewed with the Australian NGOs and their feedback incorporated into this final version.

Content

1. The intention of AACES is to enable Australian NGOs (and AusAID) to expand and leverage the impact of their work in Africa. The designs will need to show how the AACES funded work is part of the larger program of the NGO and its partners; and how the AACES funds contribute to wider, more strategic outcomes beyond that immediate work.
2. While the analysis underpinning the designs should be thorough and draw from multiple sources and approaches, it is expected that Australian NGOs will make use of a strengths based approach.
3. Designs should show how there will be increasing involvement and control by partners and communities across the life of the program.
4. The analysis underlying the design is expected to demonstrate a clear and well researched understanding of the different needs and experiences of men and women. The proposed strategy for change should reflect how both men and women will be involved in the program as well as how they will benefit from the program.
5. In addition, other vulnerable groups, such as people with disability, children and older people should be identified in the target populations. Attention should be given to understanding their particular needs and strengths, and to developing a strategy to ensure their meaningful involvement for the life of the program.
6. The AACES design is expected to develop and change throughout the five years as the individual NGOs, their partners and AusAID learn how to work more effectively. Changes will also be introduced as opportunities for additional activities become available and as other AusAID Africa programs change. Therefore, while the designs sought are for five year programs, it is expected that the approach will be very flexible with considerable space for ideas and activities to change over time in order to better achieve the outcomes sought. These changes will primarily be managed through the Annual Plan process.
7. Designs should show how they meet AusAID's policy requirements in particular child protection, environment and climate change, gender equality, disability inclusiveness and HIV responses.

Design template

The individual Australian NGO designs for AACES are expected to be no more than **twelve to fifteen pages plus annexes**.

The designs will cover the whole five years of the program, but a detailed activity plan is only expected for the first year. As noted above, designs are expected to develop and change in response to learning over the five years, and the designs should reflect this anticipated development.

Executive summary (approximately half a page)

The executive summary should be a concise overview of the project in a form which can be treated as a stand alone document. It should outline key parameters such as proposed partnerships, length of assistance and funds to be committed. It should describe the objectives, and any critical challenges to success, and explain how the project will respond to these.

Outline of the design process (approximately one page)

This section should outline the design process for the project. The section should include the following information:

- i. A brief description of how the AACES project² fits within the broader Australian NGO strategy and program in the country/region.
- ii. Building on the first point, this section should also include an explanation of how this project will draw from and complement the other work of the Australian NGO and its partners in particular country/s in Africa, and more broadly across the Africa region. This is intended to show how this project utilises existing knowledge, experience and relationships of the ANGO and its partners.
- iii. The process and approach used to gather additional information for this design, in particular how women and other vulnerable groups were included in the design process and how other stakeholders such as communities, local government, other NGOs, etc. were involved in the design process.
- iv. How the capacity of the Australian NGO and its partners were developed through the design process, and key lessons learnt during the process.

Situation Analysis (approximately one page)

This section should explain what the situation is like now. The design process should draw upon existing information and some additional research (which might include a minor baseline study) to be able to give a short, but comprehensive picture of the current situation. It should include the following information:

- i. Current experiences of communities, in particular vulnerable groups.
- ii. What gender equality considerations need to be addressed.
- iii. Strengths and opportunities for change and improvement.
- iv. Existing services and assistance being offered already in these areas, including existing local government plans and activities and other donor programs.
- v. Analysis of needs and gaps which could be addressed by additional external assistance (beyond what people can do for themselves and what is already being offered by government and others).

Objectives (approximately half page)

In this section there should be a short explanation of what change is being sought by this project. The section should include:

- i. A general statement or description of the overall objectives/intent of the proposed project, in line with the three objective areas of AACES³. NB: this might include a separate statement for each objective, or could integrate the objectives (e.g. objective 1 and 2).
- ii. Brief explanation of how this project will contribute, directly or indirectly, to outcomes in one or more of the three AusAID sectors of water and sanitation, maternal and child health and food security (further details of actual activities will be sought in the following sections).
- iii. How the intended outcomes reflect the views and interests of communities and other stakeholders.

² In order to distinguish levels of the design process this document will refer to the whole AACES design as a program, and individual NGO designs as projects. Activities will refer to aspects of the NGO projects. It is acknowledged however that the terminology is for convenience only and may not reflect the complexity of approaches actually used in any parts of the design.

³ It is acknowledged that the specific objectives of AACES are still to be finalised. The three areas where activities will be undertaken have been broadly defined in the AACES Concept Paper.

Project Strategy (approximately two pages)

This is an important section which should demonstrate a well developed understanding of how change will take place and what actions are necessary from the NGO and its partners to achieve the intended outcomes described above. It should include the following:

- i. The rationale for choosing to work in this location, with these people.
- ii. The way in which previous experience and lessons have informed this design.
- iii. Why the proposed activities and approach are expected to lead to the intended outcomes.
- iv. A description of how the project is situated within the wider work of the Australian NGO and its partners, including how it complements and contributes to NGO's broader program; and how other work may contribute to achieving the NGO's AACES project's objectives (if relevant).
- v. The way in which this project will engage with AusAID and contribute to other AusAID supported work in Africa, and how AusAID's other work will contribute to this project (if relevant).
- vi. The way in which the project will leverage change beyond the Australian program.

Major activities (approximately three pages)

This section should explain what the Australian NGO and its partners, together with communities and other stakeholders will do under each AACES objective. While this should demonstrate the particular strategies and major activities for each objective, it is not expected to include a detailed activity plan (a detailed implementation plan for the first year will be included as an annex to this design). It is intended to show how the design covers all three objectives and how the work under each complements the other areas.

Objective one: Increased access to sustainable basic services for poor and marginalized people, and working to uphold the rights of those people to such services.

It is expected that the Australian NGOs and their partners might choose to work across a variety of sectors and make use of several methods to achieve change under this first objective. It is important to describe the major activities under this objective and explain how these fit the overall strategy as described above.

In addition attention should be given to:

- i. How the proposed activities will target those people who are particularly marginalised and most likely to be excluded from services, especially women, children and people with disabilities.
- ii. How the proposed activities will allow the voice of marginalised people to be heard and their views and needs included in service development and implementation.
- iii. How capacity will be developed in partner organisations and communities through the life of the project.
- iv. How these activities fit with the proposed activities under objectives two and three.
- v. How the proposed activities will incorporate measures to enhance sustainability or progress towards sustainability.

Objective two: Increased effectiveness and outcomes for both AusAID and the ANGOs as a result of increased engagement and exchange on program activities, policy dialogue, research and or other influencing work⁴.

The intention under this objective is that the Australian NGO and their partners will utilise their AACES project experience and outcomes for regular policy dialogue with AusAID and other donors, governments and institutions. The purpose of the objective is to provide space for research and policy influencing work to be included in activities in order to communicate the needs and issues of poor and marginalised people to wider audiences such as AusAID and other bi-lateral and multilateral donors. This objective builds upon and expands the impact of the work undertaken under objective one.

The types of activities that could be undertaken are wide ranging. Development of appropriate activities should reflect the existing experience and focus of the Australian NGOs and their partners.

There are three ways in which activities under this objective could be undertaken: 1) through individual Australian AACES NGOs; 2) through two or more Australian AACES NGOs working together; and/or 3) through Australian AACES NGOs working with other organisations who are not involved in AACES but who have expertise or experience in a particular area (e.g. gender, refugees, maternal health).

Objective three: Increased opportunities for Australian public engagement in the Africa program.

Activities under this objective are expected to focus on the Australian Government and NGO work in Africa. It is expected that Australian NGOs will build on their existing links and communication strategies to develop activities which expand Australian community interest and participation in and understanding of Australian Government and Australian NGO work in Africa.

This is not intended to be major aspect of the AACES activities (i.e. less than 3% of the project budget), but all projects should include some activities under this objective. Activities under this objective are not intended to support the fundraising of a particular NGO nor promote the work of a particular NGO in isolation from the broader AACES program.

As above, the activities under this objective can be developed in three ways: 1) through individual Australian AACES NGOs; 2) through two or more Australian AACES NGOs working together; and/or 3) through Australian AACES NGOs working with other organisations that are not involved in AACES but who have expertise or experience in a particular area (communications, youth, media, etc).

Monitoring and evaluation (approximately one page)

In this section the design should outline the proposed M&E. While a detailed plan for M&E should be included in an annex, and should address the questions included in the Guidance for AACES NGO Project Monitoring, the important features should be outlined here⁵.

These include:

- i. Explain how the M&E system will be central to the development work and will inform project management, implementation and learning by the ANGO and their partners.
- ii. Outline how the M&E system not only tracks the type and quality of activities carried out through the project, but also regularly seeks feedback from multiple sources about the benefits, problems and impacts of the intervention.

⁴ This wording has been changed to reflect the most recent understanding of the intent of the objective. In line with previous comments, it is not necessarily the final wording for the objective.

⁵ NB Further guidance on the design of M&E approaches is available in the document 'Guidance on M&E for Civil Society Programs Prepared for AusAID Program Managers', Linda Kelly, Rosalind David, Chris Roche, December 2008.

- iii. Explain how women and marginalised people (e.g. children, the elderly, and people with disabilities) will be involved in the M&E system, and how the differential impacts of the projects for women and men and marginalised people will be assessed.
- iv. Explain how the information will be used beyond internal and external reporting to AusAID, in particular how it will support accountability to communities, stakeholders and partners.

Risks (approximately half page)

A detailed risk matrix should be included in the annex. In this section identify the major risks to the proposed project. Include those risks which arise from gaps in knowledge and experience and as well as risks due to location, type of work and choice of partners and target groups. Details about management of potential risks should be included in the annex.

Sustainability and Transition/Exit strategy (approximately half page)

In this section explain what will be sustained after the end of the project. It will outline the strategy for building sustainability and how will this be managed and monitored through the life of the program. The approach to managing the transition/exit of the project at the end of AACES funding should be explained.

AusAID Policy Requirements (approximately half a page)

Child Protection: indicate how the design will address the requirements of the AusAID child protection policy.

Environment: describe how the project will identify and manage environment and climate change-related risks and opportunities must be considered and appropriate action for management identified.

Inclusive Development: outline how the project is inclusive of people with disabilities and those affected by HIV will be addressed through the project.

Resources

For the five financial years a general budget outline should be provided by year.

Annexes

The following annexes are required:

- Detailed activity and implementation plan for year one
- Detailed budget for 2011-12 (template provided)
- Detailed M&E plan (refer to further guidance for AACES NGO Project M&E Plans)
- Risk matrix (template provided)
- Relationship chart which indicates the responsibilities and accountabilities of the Australian NGO, their partners and other major stakeholders.

Other annexes can be included as appropriate.

Template for Risk Matrix

The following template is provided as guidance only. ANGOs are welcome to modify the template, or to use a different template.

Risk	Potential Impact on the project	Likelihood (1-5 where 1= very low 5 = very high)	Impact (1-5 where 1= very low 5 = very high)	Risk (=Likelihood X Impact)	Management Strategy (for Risks rated 5 and above.)	Responsibility	Is the risk assessed through the M&E system? (Y/N)
Contextual Risks							
Design risks and assumptions							
Implementation risks							

Template 3: Further guidance for AACES NGO Project Monitoring and Evaluation Plans

Monitoring and evaluation will occur at two broad levels within AACES: within each NGO project, and across the overall AACES program.

The following guidance is provided to support the NGOs and their partners think through the design of their monitoring systems for their AACES NGO projects.

As the AACES program is still being developed, this should be considered as initial guidance. Further requirements (and support) will be identified during the design period. For example if a set of AACES outcome areas are determined by the NGOs and AusAID, the NGOs might decide to collect information for a select number of agreed indicators. Additionally, the expectations for evaluation are still to be determined. It is anticipated that any evaluation of AACES (and the NGO projects) would primarily draw on the information collected through the NGO monitoring systems, but some additional information might be needed to address evaluation questions for AACES (e.g. relevance, value for money).

The NGOs should present their monitoring and evaluation (M&E) plans in a way that is meaningful for them and their partners. However, the following headings might be helpful. Make sure all of the questions are addressed somewhere in the M&E plan. If we have left out something important, please add it in and let us know.

Performance questions and or indicators

- *What are the key performance questions and indicators that you are going to monitor throughout the life of the project?*

In developing these, consider the types of information you will likely need for the following purposes:

- *improving program quality*
- *internal learning*
- *meeting accountability requirements*
- *informing external stakeholders*
- *defending the program*

Ensure the indicators and questions capture different levels of information and results including:

- *type and quality of activities carried out through the project (inputs)*
- *benefits, problems and impacts of the intervention (outputs and outcomes)*
- *changes in the context that affect the project*

Consider the draft outcome areas identified by AusAID and the Australian NGOs for AACES:

- *Access to services*
- *Awareness of rights*
- *Policy influence*
- *Capacity building*
- *Gender equality*

- Value add through collaborations
- Learning
- Australian community engagement

Ensure that your indicators and performance questions allow you to assess the differential impacts of the project for women, men and marginalised people.

Data collection, analysis, and use

- *What methods will you use to collect information, who will be involved, and how regularly will this occur?*
- *Explain how women and marginalised people (e.g. children, the elderly, and people with disability) will be involved in the M&E system.*
- *How and when will this information be analysed, and who will do the analysis? (e.g. considering the activity level, country level, and across countries).*
- *Identify how staff, partners and stakeholders will be involved in regular sense making processes to analyse and reflect on the underlying assumptions, theories of change, and results.*
- *How will this information be used and or reported (i.e. how will it inform project management, implementation and learning by the ANGO and their partners?).*

Baseline

- *If required, how a baseline study will be undertaken that involves stakeholders in collection and analysis of the data.*

Summary of roles and responsibilities for M&E

- *Who will play what role for M&E within the project? What are the specific roles and responsibilities for M&E for the different partners within the project? Be as specific as possible - i.e. which positions within which organisations.*

Partners existing strengths and weaknesses in M&E

- *How does the project draw on the existing M&E systems of the partners?*
- *What changes or additions were required to these systems?*
- *How does the project help to address the known weaknesses or challenges partners face with M&E?*

Alignment with, and accountability to local partners

- *Will you draw on other stakeholders' information processes e.g. local government records?*
- *What information will be made available to local stakeholders e.g. communities, local government.*

Improving the evaluation system

- *When will the evaluation system be reviewed, and by whom?*

Information you require from others

Is there any information you require from the wider AACES program and from other AACES NGOs to assist in your M&E?

Annex Three

Design Terms of Reference

AUSTRALIA AFRICA CIVIL SOCIETY INITIATIVE DESIGN TERMS OF REFERENCE

1. BACKGROUND

- 1.1 The Australian Government is committed to broadening and deepening engagement with Africa across a full spectrum of issues including enhanced trade and commercial investments, strengthened diplomatic links and increased development assistance. Australia is increasing its development assistance to Africa by over 40 per cent to \$163.9 million in 2009-10, with similar increases expected in future years out to 2015-16. This will support Africa's progress towards the Millennium Development Goals (MDGs) in areas where Australia has experience and expertise, including food security, maternal and child health, and water and sanitation.
- 1.2 Australian NGOs (ANGOs) have traditionally been a major delivery partner for Australian development assistance to Africa. This has been through three main channels:
- (a) the *AusAID-NGO Cooperation Program* (ANCP), which provides core funding for Australian NGOs in a number of regions including Africa;
 - (b) the *Australian Partnerships with African Communities* (APAC) program, a jointly-managed \$60 million, six year program (2004-2010) focused on basic service delivery in health, HIV, food security and water and sanitation;
 - (c) the *Periodic Funding Arrangement* (PFA), a mechanism to allow urgent humanitarian responses.
- 1.3 APAC has been an integral part of Australia's development cooperation with Africa. The program began in 2004 as a partnership between AusAID and ANGOs to respond to emerging development challenges in southern and eastern Africa. The program adopted a flexible and integrated approach to sector coverage and program implementation. The program provided funding for seven (two in a consortium) selected ANGOs under six separate NGO Cooperation Agreements. It was one of AusAID's first Cooperation Agreements with ANGOs and provided numerous insights into how AusAID and ANGOs could work together for mutual benefit.
- 1.4 The Australian Government has indicated its intention to continue its engagement with ANGOs as delivery partners for assistance to Africa. This is in part due to ANGOs' ability to: build people-to-people and community-to-community links between Australia and Africa, demonstrate Australia's commitment to development beyond the government level, increase the effectiveness of bilateral aid by promoting impact at, and providing direct experience from, the grassroots level, and strengthen civil society as an essential element of sustainable development.
- 1.5 AusAID would like to develop a new Australia Africa Civil Society Initiative (AACSI) to provide a coordinated approach to our engagement with civil society. The Initiative will cover three linked activities with a budget of up to \$90 million over five years comprising: (i) a partnership program with around 6-8 Australian NGOs to contribute to measurable outcomes for people in three sectors: water and sanitation, women and children's health, and food security [\$75-80m]; (ii) targeted small grants to civil society organisations (in Australia and Africa) to support funding of peace-building, inter-faith leadership and good governance activities [\$2-3m]; (iii) a

policy and communications activity to strengthen the knowledge base on good community development practices in Africa and increase policy dialogue between AusAID and Australian NGOs and to increase opportunities for Australian public engagement in the Africa program (not limited to those funded through the partnerships program) [\$2-3m].

- 1.6 The partnership program – to be known as the Australia Africa Community Engagement Scheme (AACES) - is the major component of AACSI. AACES aims to build on the lessons and experience of the previous NGO Cooperation Program - Australian Partnerships with African Communities (APAC). AusAID commissioned a review of APAC in September 2009 to inform the development of AACES. This forward-looking review identified 'lessons learnt' arising from APAC and made a number of highly relevant recommendations for AACES. The final APAC review report formed a key input to the AACES concept development. It was provided to the APAC ANGOs and it is expected to publish it on AusAID's website shortly.
- 1.7 The concept paper for AACES describes the rationale and arrangements for the new African ANGO Partnership Agreement. AACES will run over five years (2011 – 2015) with an initial four month design period (2010). The total budget for the five year program will be approximately \$80 million but this will be subject to annual budgetary considerations. The concept paper was peer reviewed in December 2009.
- 1.8 The objectives and success measures of AACSI will align with those of AACES and will be refined in the design stage in a consultative process between ANGOs and AusAID. The objectives will focus around the following three areas:
 - (a) OBJECTIVE ONE: increasing access to sustainable basic services for poor and marginalised people, and working to uphold the rights of those people to such services.
 - (b) OBJECTIVE TWO: increasing effectiveness and outcomes for both AusAID and the ANGOs, through increased policy dialogue between ANGO and AusAID programs drawing on implementation experience and policy engagement at all levels in Africa.
 - (c) OBJECTIVE THREE: increasing opportunities for Australian public engagement in the Africa program.
- 1.9 ANGOs will be selected for funding under AACES based on an assessment of their capacity statements and proposals. During a four month design process, AusAID will work with ANGOs and their partners to develop program designs that reflect best practice principles. The designs will be developed in close consultation with in-country implementation partners and in extensive consultation with communities, local and national governments and other stakeholders.
- 1.10 The design process will also:
 - (a) facilitate relationship building between AACES' partners and stakeholders including in-country implementation partners, communities and governments;
 - (b) identify opportunities to improve respective partners' efforts through coordination and collaboration

- (c) enable ANGOs and their partners to work in a holistic way to build local capacity and complement existing local strengths and structures.

2. OBJECTIVES

2.1 The objectives of this assignment are to;

- (a) determine the most appropriate overarching management structure for AACSI in consultation with AusAID and ANGOs, including defining the program level Monitoring and Evaluation (M&E) framework and incorporating AusAID quality criteria and risk management approaches;
- (b) support AusAID and the ANGOs to develop a Partnership Framework which will guide the design and management of AACES;
- (c) support ANGOs in ensuring they develop individual high quality activity designs that meet the objectives of AACES;
- (d) support the development of frameworks for the policy dialogue and communications components of the AACSI, incorporating the approaches and activities as defined by the AACES NGO designs but designed to enable the participation of a wider range of Australian and possibly African community based and not for profit organisations; and
- (e) design the AACSI targeted small grants scheme.

3. SCOPE

3.1 Overarching management structure design

The consultants are required to:

- assist AusAID to prepare for, and facilitate, an initial range of meetings with ANGOs which will map out and agree on the design processes for the Program level management structure as well as broad parameters for individual ANGO activity designs and agree on key dates;
- confirm or suggest modifications to the existing objectives of the program as outlined in the AACES Concept Note;
- assess the feasibility and viability of different models for managing AACSI, including whether the management framework should be at the level of AACSI or AACES;
- identify options and recommend overarching governance and management arrangements (including the roles and organisational arrangements to establish any Secretariat or other externally contracted support staff and budget);
- develop a risk management strategy for AACSI;
- develop, jointly with AusAID and the ANGOs, a M&E Framework for AACES which takes into account individual ANGO M&E Frameworks as well as the high level program M&E. The framework will include time lines for key activities throughout the life of AACES, such as the timing of the mid-term review;
- identify factors affecting sustainability and the development of sustainability strategies;
- provide advice and guidance on the way in which synergies can be developed with other AusAID sector programs; and
- provide ad hoc support as required to AusAID Canberra and various Offices in African countries.

3.2 Individual ANGO AACES activity designs

The consultants are required to:

- develop design guidelines to guide the ANGOS during the individual design process;
- provide technical guidance to the ANGOS on their design processes which could take the form of: individual or group meetings; teleconferences; and comments on draft designs;
- liaise with other technical consultants who may be contracted by AusAID in Africa to support the design process; and
- conduct workshops with the ANGOS and partners on themes to be defined, but which could include: M&E; Programming for Gender Equality; engagement with the Australian public; and opportunities for collaboration or policy engagement.

3.3 Partnerships Framework

The consultants are required to:

- participate in an initial Partnership Workshop (early October) with AusAID and ANGOS
- facilitate a process which defines the roles, responsibilities and principles that underpin an agreed partnership arrangement between AusAID and the ANGOS to be formalised in Partnership Agreements, including communication and reporting arrangements and dispute resolution mechanisms
- liaise with other AusAID programs on current good practices in Partnership development and with other consultants who may be contracted by AusAID to support this process
- develop a paper outlining AusAID funded NGO programs and activities in Africa (not limited to Africa team funded programs) to outline opportunities for greater cohesion among AusAID funded NGOs in Africa and possible inclusion within the AACSI management structure. The paper should include, but not be limited to, a brief description of the objectives of each program and its sectoral and geographic coverage; the current management arrangements; the workload impact on Posts and Desk; the effectiveness of the coordination between the Funding section and the Africa Section (if not funded by the Africa budget) and an analysis of the potential to improve coordination, including by inclusion under the AACSI management framework.

3.4 Support development of other AACSI activities

The consultants are required to:

- provide guidance to AusAID on the development of a targeted small grants for Australian and African civil society organisation to support peace-building, inter-faith leadership and good governance activities
- facilitate discussions between AusAID and ANGOS on collaboration and policy engagement under Objective Two (policy dialogue) of AACSI. The outcome will be agreed prospective areas for dialogue and an agreed process for ongoing communication and collaboration between AusAID and the ANGOS. This process could include a wider range of ANGOS than those involved in direct Partnership Agreements with AusAID.
- develop, jointly with ANGOS and AusAID, a framework (including activities and processes) to strengthen policy dialogue between AusAID and ANGOS and other relevant civil society and not for profit organisations.
- develop, jointly with ANGOS and AusAID, a framework (including activities and processes) to increase opportunities for Australian public engagement in AusAID's program in Africa.

4. DURATION AND PHASING

The exact dates for inputs will be agreed between the consultants and AusAID, in consultation with ANGOS.

Input 1: Initial consultation with AusAID and development of draft design guidelines and identify themes for initial design workshops. (1 week in mid September - early October)

- Consultation with AusAID will include: North, East and West Africa; AusAID Post in Nairobi, Operations Policy and Support Branch; NGO and Community Engagement Section; AusAID's thematic areas, such as Gender, Disability, Health and Rural Development as relevant
- Outline agreed roles and responsibilities of the Team Leader and M&E consultant noting key milestones for each consultant.

Input 2: Design mapping phase (1 week in early-mid October)

- participate in a 2-day Partnerships Workshop
- initial meetings with ANGOS to agree on timelines and process for supporting the ANGO individual designs;
- Develop and deliver workshops identified during the initial consultation with AusAID

Input 3: Design phase (up to 55 days work for each consultant spanning late October – beginning February)

- Develop and deliver workshops in Africa identified during the initial consultations with ANGOS
- Undertake in-country consultations with ANGO partner organisations in Africa
- Provide ongoing ad hoc support to ANGOS
- Prepare a draft design document for AACSI, including documents for the tender of the management component if required
- Prepare draft guidelines for small grants scheme
- Support AusAID and ANGOS to develop a draft Partnership Agreement
- Facilitate discussions and draft frameworks for the policy dialogue and communications components of the AACSI, incorporating the approaches and activities as defined by the AACES NGO designs. The framework will be designed to enable the participation of a wider range of Australian and possibly African community based and not for profit organisations.

Input 4 (1 week)

- Participate in design peer review process for the program and provide Quality at Entry assessments (and recommendations for any improvements) of proposals received from NGOs
- Finalise documentation

Background Reading

The Design team shall review relevant documentation including but not limited to:

- The final APAC Review Report of October 2009;*
- Design documentation from the Solomon Islands NGO program 'SINPA' and 'AMENCA';*

- (c) *Design and implementation documentation for the Australia – Africa Community Grants Scheme and Direct Aid Program*
- (d) *Design documentation from at least one other AusAID NGO program developed during the last 12 months;*
- (e) *AusAID Guidelines: “Managing the Development of a Design”, “Design Team Kit” and “Quality at Entry Requirements”.*

4. Specification of the team

- 4.1 The Design team shall comprise a Team Leader and M&E consultant. The Team Leader and M&E consultant shall both provide inputs to the design development with allocation of specific tasks to be jointly determined.
- 4.2 The design team will ensure these Terms of Reference are sufficient to achieve the outputs and outcomes as discussed with AusAID staff, including that timeframes are realistic and achievable.
- 4.3 The Team Leader shall be responsible for the timeliness and quality of submissions to AusAID. The Team Leader shall lead consultations during workshops with the ANGOS.
- 4.4 The Team Leader and M&E consultant shall draw on their respective experience with other NGO and civil society programs, including reference to past papers, studies and designs as appropriate.

5. Reporting/Outputs

- a) Design Guidelines to assist individual ANGO designs
- b) A two page report on each thematic workshop organised by the consultants which documents the names of participants, the key issues discussed, outstanding issues and agreed actions;
- c) A four to six page report on the consultation/design process which: documents the inputs undertaken, the types of assistance requested, the outcomes of that assistance and any problems encountered in providing this support;
- d) A framework document for AACSI as outlined above;
- e) Draft guidelines for the AACSI small grants scheme;
- f) Produce a draft strategy for Objective Two (policy dialogue) of AACSI
- g) Participate in a Technical Assessment Panel to review each ANGO program design
- h) Quality at Entry assessments (and recommendations for any improvements) of proposals received from NGOs

6. Attachments to TOR

- Australia Africa Community Engagement Scheme (AACES) Design Concept

Design Terms of Reference

- Australia Africa Community Engagement Scheme (AACES) – Request for Submissions, 25 May 2010
- Australia Africa Community Grants Scheme and Direct Aid Program Guidelines

Annex Four

Summary of NGO Project Designs

ACTION AID**EXECUTIVE SUMMARY**

Governments in Kenya and Uganda have largely relied upon, and supported, a market economy and high economic potential agriculture areas. This factor combined with slow and unaccountable decentralization processes has resulted in food insecurity among households in communities living in arid or semi-arid lands. Specifically there has been a neglect of public infrastructure, goods and services. In addition there has been poor representation of smallholder farmer's interests in policy, research and agriculture extension programs. This situation is compounded by frequent extreme weather events including floods and droughts and a lack of institutional investment in climate change mitigation and adaptation policies and programs. This program aims to address these challenges and create sustainable change for female and male smallholder farmers by:

- 1) Increasing food availability through increased productivity and diversified income streams among male and female small-holder farmers
- 2) Building strong and vibrant farming communities that are able to collectively bargain and influence food related policy and practice of the state
- 3) Creating linkages between small-holder farmers with networks or civil society groups at district, national and international level so they have a stronger and more informed base from which to claim their food related rights

4) Conducting critical analysis of laws, policies or strategies at the national, regional or international level that impede food security and evidence-based advocacy for improved agriculture policies and practices. The main outputs of the five year program include sustainable and climate resilient agricultural practice, increased food production, diversified and increased income among small-holder farmers, the establishment of vibrant and strong farmer groups and enabling the voice and interest of small-holder farmers to be reflected in food related policy and practice in Kenya and Uganda. This program will work towards achieving the Australian Africa Community Engagement Scheme (AACES) objective 1, to enable marginalized people to have sustainable access to services that they require. Project experience and learning will be used to inform AusAID policy and programs related to food security, climate change and gender to increase its ability to target and benefit small-holder farmers. Finally, efforts will be directed at engaging new and existing constituencies within Australia to understand and support food security initiatives and development assistance in Africa. The project will be implemented in the Mwingi, Mbeere and Isiolo Districts of Kenya and in the Amuru, Bukadea, Katakwi, Kumi and Nwoya Districts of Uganda. ActionAid Kenya and Uganda will manage activities through local partners, community based organizations and project management committees¹ in each location. Strategic alliances will be built with relevant government agriculture and climate related institutions. ActionAid Australia will work with ActionAid Kenya and Uganda to use evidence from the project to inform and improve AusAid's food security and climate change policy and increase understanding among Australian based farming communities of food security issues and capacities within Africa. Project experience related to inclusion of people with disabilities and to defining and measuring women's empowerment will also be used to inform AusAID policy and programming. At local level these will comprise members of the producer groups, the local Administration, ActionAid and its partners. They will feed into existing local structures.

AFAP**EXECUTIVE SUMMARY**

AFAP is an independent Australian-based organization with an operating modality that is to work in partnership with local communities and organizations to build their capacity with the ultimate goal of poverty reduction in Africa, Asia and the Pacific. The key partners in the Shared Futures Project are AFAP's longstanding NGO partners, Concern Universal (CU) in Malawi and Mozambique and Community Technology Development Trust (CTDT) in Zimbabwe. These organizations have similar values to AFAP, take a rights-based approach and work in partnership with local communities to help them meet their own development objectives. All are leading organizations in their respective areas of operation and bring their own valuable networks to the Project.

Shared Futures will take an integrated community development approach that is based on the premise that development issues are not isolated to any one individual sector. The primary objective of the Project, in line with objective one of the overall AACES Program, is to achieve measurable improvements to the sustainable livelihoods and well-being of approximately 13,000 marginalised households in 39 communities in Southern Malawi (Thyolo District), in 45 communities in Mozambique (Niassa and Maputo Province) and in 45 communities in Eastern Zimbabwe (Mashona land East) by promoting appropriate and proven technologies in the food security and nutrition, WASH, and health sectors. The Project is underpinned by strategies aimed at building sustainability and capacity locally. These capacity building efforts will be two-pronged, focusing both on strengthening local initiatives and Community Based Organizations (CBOs), and encouraging the women and men living in local communities to advocate on their own behalf. The advocacy component of the Project will work toward strengthening the level of accountability and capacity of existing service providers such as various district and provincial extension department staff so they are better able to engage with and meet the needs of the communities they are serving.

Involvement in the AACES program will enable AFAP to build on and scale-up our existing engagement with the Australian community. We will also be developing a school campaign to raise awareness and understanding of the issues which face Africa. Shared Futures will also provide an opportunity for Australian engagement through the placement of Australian volunteers and University interns throughout the life of the Project.

The key risks to the success of the Project are political and economic stability, weak governance, severe weather (drought and flood), and the capacity of Project partners to manage a program characterised by significant diversity. Risks will be managed by effective monitoring of the Project using both proven and innovative M&E System/s. All Project partner organizations in Africa have previous proven experience in managing diverse, multi-sectoral programs and guiding such programs through political and economic upheaval. Weather risks will be managed by Project activities that build community resilience to severe droughts and floods, as well as an improved capacity to work with others to develop disaster management strategies.

Gender issues are a major focus of the Shared Futures Project and it is intended that gender will be mainstreamed during Project implementation. Risks around gender issues will be managed through

Summary of NGO Project Designs

drawing on the proven experience of AFAP and our AACES project partners in the area of gender and gender mainstreaming, and by ensuring that gender issues are monitored effectively in our M&E systems.

ANGLICORD**EXECUTIVE SUMMARY**

This integrated project supports the objectives of the Millennium Development goals four and five to reduce child mortality and improve maternal health. It will do this by targeting key health determinants which impact on the lives of nomadic and marginalized women from communities in Ethiopia and Kenya. Key focus areas will be increasing access to health services, improving conditions of daily living and supporting policy dialogue between stakeholders to achieve sustainable positive outcomes. This project will result in:

- expanded and improved community-based health services and capacity directed at primary health care needs of women and children,
- Increased capacity of women and children to access services and resources that impact on their quality of life and equity⁶¹
- AusAID, ANGOs and aid stakeholders making investments that are targeted at improving Mother and Child Health for nomadic communities, and
- Raised awareness within the greater Australian community leading to public support to address Mother and Child Health challenges in nomadic communities.

Anglicord together with the Nossal Institute for Global Health (Nossal) and Australian Volunteers International (AVI) will work together with the Afar Pastoralist Development Association (APDA) in Ethiopia, and the Mother's Union of the Anglican Church (MUACK) in Kenya to implement the project. The consortium's members bring complementary strengths in community development, research and evaluation and the placement of technical expertise and will engage with other agencies including national and local government, NGO and academic institutes. The in country partners have a long standing relationship with Anglicord and the project will benefit from lessons learnt from previous joint project work.

A community led approach is at the centre of the AACES design. The community led processes are directed at not only improving the communities' capacity to address their needs but also to influence policy and increased access to services. The range and scope of activities delivered by the project are expected to change and grow over the five years with a peak in the third year. Changes will be supported by evidence gathered from evaluation findings. Evaluations will take place annually.

It is anticipated that the combination of strategies, use of a strengths based methodology, annual evaluation of outputs, and effective partner relationships will lead to sustainable improvement in the health of women and children and a reduction in maternal and infant mortality in the target communities.

⁶¹WHO defines (World Health Organisation, 2008. *Social determinants of health: Final Report of the Commission on Social Determinants of Health*) the social determinants of health (SDH) as the conditions in which people live and which are mostly responsible for the unfair and avoidable differences in health status within and between countries. Among the measures to address these inequities are efforts to improve daily living conditions, such as access to water, nutritious food, education, and livelihoods, as well as initiatives to understand and measure the problem and address inequalities in distribution of power, money and resources. Many of these issues were raised by community members and stakeholders during the design consultations.

CARE**EXECUTIVE SUMMARY**

CARE's Women's Empowerment through Improved Resilience, Income and Food Security Program (WE-RISE) will work in Tanzania, Ethiopia and Malawi to improve the quality of life for chronically food insecure rural women (CFIRW). In each country, WE-RISE will be implemented in areas experiencing chronic food insecurity resulting from changing and erratic weather patterns, limited agricultural resources and inputs, and where institutions, practices and norms disadvantage and limit the participation and opportunities of women, especially single and widowed women. CARE will work directly with local NGO partners based in each location, as well as district government departments and extension services.

The design of WE-RISE has built on CARE's and its partners existing experience and analysis. At a global level, CARE's Women's Empowerment Strategic Impact Inquiry (WEIMI), conducted over 5 years across 24 countries, identified key domains which need to be addressed simultaneously to achieve women's empowerment. The research demonstrates the link between women's empowerment and the reduction of poverty. Regionally, within Africa, CARE has long promoted Village Savings & Loans Associations (VSLA) as a methodology for enhancing the economic wellbeing of women and their families, as well as strengthening individual's self-confidence and communities' social capital. Similarly, CARE Malawi has developed the ScoreCard method for building accountability and dialogue between communities and duty bearers. The ScoreCard is gradually being rolled out to other NGOs and other countries, and under AACES, the further adaptation of ScoreCard in Ethiopia and Tanzania will be possible.

Under Objective 1 of AACES, CARE will firstly build women's individual agency⁶² and the well-being of their households, using VSLA as the entry point for activities such as training in literacy, business, savings, improved farming techniques, post harvest management, value-adding and off-farm income generation. The critical issue of climate variability will be tackled through DRR interventions, irrigation and watershed management, and appropriate inputs and technologies. Secondly, WE-RISE will address the structural⁶³ barriers within local level institutions such as planning committees, micro-finance institutions and farmers groups. Thirdly, the program will challenge existing cultural norms that limit women's economic and social activities.

The work under Objective 1 will feed directly into AACES Objectives 2 & 3, namely strengthening AusAID's policy and programming in Africa, and increasing Australian public engagement. A five year impact study on the drivers of women's empowerment will be conducted and results shared with AusAID and other stakeholders; while lessons learnt and successes will shape a public engagement campaign (to be defined in year 1 and delivered in subsequent years).

The AACES timeframe of five years provides an opportunity to test assumptions and achieve measureable change especially in areas such as increasing agricultural yields and incomes. Nonetheless, it is recognized that five years is short when trying to achieve sustainable institutional, attitude and behaviour change. While this will be the program's major challenge, CARE has made a longer term commitment – 10 to 15 years – to the impact groups and AACES will hopefully provide the springboard for more far-reaching change.

62 **Agency** mean skills, knowledge, resources and aspirations

63 **Structures** are formal & informal Institutions that are more responsive to women's priorities

CARITAS**EXECUTIVE SUMMARY**

Caritas Australia (CA) is the Catholic agency for international aid and development. CA's AACES program was developed by building on the strengths of our current partnerships and programs in Africa. Over the next five years through AACES, CA will support nine rural communities in six Dioceses⁶⁴ in Tanzania (Mbulu, Mahenge and Njombe) and Malawi (Lilongwe, Blantyre and Mzuzu) to address their development aspirations in partnership with the National Offices of Caritas Tanzania and CADECOM Malawi, government at various levels, as well as other AACES partners and key development actors. CA is requesting a 7,899,823 AUD commitment from AusAID for the period July 2011- June 2016, and is planning its own contribution.

Our objectives align closely with those being evolved by AusAID in the overall AACES program:

- To support marginal communities in Malawi and Tanzania to enhance their quality of life through improved food security and access to water, sanitation and hygiene services.
- To better capture and communicate the process of community led change in Africa, in order to influence policies of AusAID and other development stakeholders, and contribute to improved services for marginalised people.
- To increase our target audience awareness of the development challenges facing Africa and their knowledge of the community development work undertaken by the Australian development sector in Africa.

CA's aim in AACES is to facilitate holistic and sustainable community led development to improve the lives and livelihoods of about 24,000 direct⁶⁵ program participants, by fully involving the most marginalised (women, the elderly, people living with HIV/AIDS, disabled, orphans and vulnerable children) in our Integrated Community Development (ICD) program which is an holistic, inter-sectoral approach. The sustainability of this approach is achieved not only through high participation of communities themselves, but through close liaison with government and other key players in service delivery. Coupled with the Strengths Based Approach (SBA), ICD enhances human dignity and enables communities to fully realise their own vision and potential.

CA has been trialling and implementing ICD programs for almost a decade in Africa. In Malawi and Tanzania we have focused on food security and WASH. In response to community priorities, the ICD approach has evolved to include related activities (such as postharvest handling, value addition and marketing; nutrition and hygiene) while at the same time promoting gender equity, environmental conservation, HIV/AIDS awareness training in child protection, disaster risk reduction and alternative income generating activities.

⁶⁴ In Malawi and Tanzania the administrative areas of the Catholic Church (Dioceses) encompass two or more Government Districts. We tend to speak in terms of 'Dioceses' as our in country partners work according to these units however liaise and collaborate with the relevant District Government authorities.

⁶⁵ We are planning on involving 24,000 people as direct beneficiaries, in the 5 year course of AACES however this number will escalate by an undetermined factor as indirect participants also benefit through hand-on schemes, the expansion of group sizes and less formal passing on and adoption of learnings etc.

Summary of NGO Project Designs

A number of strategies have been implemented in other Caritas programs around the globe. These will be adapted to address the specific challenges facing our partner communities in Malawi and Tanzania. We will bring this experience, our learnings and policy recommendations to AusAID and the wider development community, so that others may likewise benefit. Similarly we will educate sections of the Australian public about the challenges and successes of African communities aspiring to their own development goals, so that they may be better global citizens.

MARIE STOPES**EXECUTIVE SUMMARY**

The proposed project involves a partnership between Marie Stopes International Australia (MSIA), Marie Stopes Kenya (MSK) and Marie Stopes Tanzania (MST). The overall goal of this project is to contribute to increased access to and uptake of equity sensitive sexual and reproductive health (SRH) services by marginalised populations in Kenya and Tanzania. Under the Australia Africa Community Engagement Scheme (AACES) Objective 1, the project will aim to understand the nature and magnitude of health disparities created through marginalisation and deliver services that respond to these disparities. Much of this work will involve expanding service delivery through mobile outreach and social franchising. Other activity areas under Objective 1 include mainstreaming and operational research. Under AACES Objective 2, the project will seek to work in collaboration with the wider AACES program and the Australian Non-Government Organisation (ANGO) sector to engage in sectoral, thematic and programmatic policy dialogue with the Australian Agency for International Development (AusAID). Under AACES Objective 3, MSI International (MSI) will aim to increase Australian public awareness of factors contributing to unacceptably high rates of maternal mortality and morbidity in Africa. The project will last for five years (July 2011- June 2016). The success of the proposed work to be undertaken under Objective 1 rests largely upon the participation of key project partners such as Government, the private sector and community based organisations (CBOs). The design of the project has allowed for development and strengthening of new and existing relationships with these three groups of project partners. Similarly collaboration and engagement with the AACES partnership is a critical factor in the achievement of Objectives 2 and 3. The design acknowledges the importance of engagement with these project partners and outlines mechanisms to ensure that this engagement is meaningful, productive and sustainable in terms of processes and outcomes.



EXECUTIVE SUMMARY

The Oxfam Australia Africa Community Engagement Scheme (AACES) program focuses on Water, Sanitation and Hygiene (WASH) and public health in two Southern African countries – Zambia and South Africa. Both countries have large rural populations where WASH services are lacking despite progressive policies and the good intentions of both country governments². The overall goal of the program is to improve the health and quality of life of the poor and vulnerable in targeted areas of Zambia and South Africa. The proposed budget for the design and implementation of the five year program is AUD\$7 million. The objectives for the Oxfam program are:

- a. Increased access to, and the effective use of, improved integrated and sustainable water supplies, and sanitation and hygiene (WASH) services;
- b. Reduced WASH-related inequalities in gender and vulnerable groups;
- c. Strengthened capacity of stakeholders to manage and implement WASH programs on a sustainable basis;
- d. Improved WASH governance and effectiveness; and
- e. Document and share learning that informs policy, public engagement and program development and growth.

In Zambia, the program will build on Oxfam experience of implementing WASH programs³ and will be aligned with Zambian Government standards and institutions' efforts to provide services over the full five year period. In South Africa the program will be delivered through existing non-governmental partners dealing with food security, HIV and child protection to address identified WASH needs. Initially the program will be building on specific identified needs across current programs in South Africa, with the key learning, pilot activities and research informing a longer term integrated WASH response. The program approach can be summarised as working through existing partnerships and seeks to: strengthen the effectiveness of government programs; strengthen WASH management (including accountability and transparency by all government officials); and strengthen WASH capacity of beneficiaries, communities, and other private / public stakeholders. Additionally, the program aims to assist partners to advocate for better services including improved service delivery through: increased community awareness around WASH issues; mobilisation of beneficiaries/ communities or creation of networks to secure real commitments; encouragement of demand-driven, sustainable solutions; securing

increased financing and increasing the prioritisation of WASH by government structures; developing and strengthening institutional and human capacity; and promoting and capturing learning that is used to influence policies and strategies.

¹ The Oxfam program will be implemented across two Oxfam Affiliates - Oxfam Australia (OAU) in South Africa and Oxfam Great Britain (OGB) in Zambia. Details and relationship included within Annex 5.

² Zambia and South Africa are both signatories to MDG 7, target c which aims to increase water and sanitation coverage. See

http://www.wssinfo.org/en/40_MDG2008.html .

³ Including the AusAID funded Water and Sanitation Initiative (WSI)

PLAN**EXECUTIVE SUMMARY**

Promoting Rights and Accountabilities in African Communities (PRAAC) is a 5 year program that will be implemented by Plan International and partner organisations with communities in specific locations in Uganda, Zimbabwe and Kenya. The key target groups for the program are marginalised women of all ages and marginalised male and female young people (aged 10-14 years up to 24 years). In this program marginalisation is considered to be context specific and people may be marginalised for multiple reasons including chronic poverty, gender and age, HIV, disability. The program will work with all members of targeted communities to ensure marginalised women and marginalised young people are able to claim rights and access services. Plan's actions to end child poverty and promote child rights cannot be separated from actions to promote gender equality, they are inherently linked¹. In improving the situation of the PRAAC target groups, there will also be deliberate secondary positive impacts for children under 14. PRAAC has four end-of program outcomes:

- People active in addressing inequalities for marginalised people
- Appropriate services to marginalised people available
- Increased engagement between civil society and government to ensure rights are upheld
- Mutual improvement of AusAID and NGO programs in Africa.

These four outcomes collectively aim to ensure improved social and economic outcomes for marginalised people, as well as stronger and more inclusive communities and an enabling legal and institutional environment. The PRAAC program outcomes align with the three objectives for the broader AACES program. Through addressing gender inequalities such as women's control over resources (particularly inheritance of land) and physical security (freedom from violence) of women and girls, PRAAC will contribute to two of the three MDGs (maternal health, food security) prioritised by AusAID's Africa program. The PRAAC program theory of change contends that to enable marginalised people to claim rights it is necessary to work in a multi-pronged manner, working intensively with stakeholders of targeted communities including rights-holders, duty bearers and civil society service providers to ensure that services are on offer with mutual accountability. In addition to working at the community level, we propose that it is also necessary to influence specific policies and practices that affect marginalised people's ability to claim rights at an institutional level (this could be at the district, national or regional level). Both the place-based and the policy influence processes are underpinned by a strategy of developing civil society capacity to engage with government at crucial points across multiple sectors. Overall, PRAAC has a multi-sectoral focus. The program design includes a common set of outcomes, strategies, key target groups. While all three countries adopt a holistic approach to strengthening communities to enable marginalised people to claim rights, each country program has different emphases. Stronger emphasis is placed on legal rights and services in Uganda, on rights to health and health services in Kenya and gender equality (particularly protection from gender based violence) in Zimbabwe. The program will operate at three geographical scales. It will work with targeted communities to build on their existing strengths and assets to develop and implement community strengthening and inclusion plans to ensure that marginalised women and marginalised young people are able to claim rights and access appropriate services. This place-based work is expected to include a wide range of activities developing the capacity of community members and duty bearers to provide services and protect the

rights of marginalised people. At the same time the program will work with marginalised people and groups to promote their capacities, social support and economic participation, for example through group-managed saving and loan associations. Secondly, it will work at district and national levels (and over time expected to work at a regional level) to influence targeted policies and create an enabling institutional and legal environment. Thirdly, it will work at a cross-national and international level to foster mutual learning and dialogue about good development practice. PRAAC takes a contemporary approach to learning based on a clear program theory of change and a learning based monitoring and evaluation framework. These innovative approaches have underpinned the design process and will continue to be further developed during implementation. Our intention is to engage with AusAID's broader Africa program as it continues to develop. Policy and program dialogue areas of interest include issues relating to protection of women's land and inheritance rights, community-based social safety net approaches to food security and the contribution of addressing domestic violence and legal rights of women in efforts to improve maternal health. Gender equality, policy engagement and civil society strengthening approaches are expected to be areas of interest to AACES partners, both AusAID and ANGOs and their partners. The Australian community engagement component will focus on developing a new approach to linking young people in PRAAC program areas with Australian young people who are active in their own communities, based on mutual interests in social justice.

¹ Plan's Policy on Gender Equality 'Building an Equal World for all Children' March 2011 (extending and strengthening Plan International's previous gender policy)

WATERAID**EXECUTIVE SUMMARY**

Under the AACES program, WaterAid will work across three regions in Sub-Saharan Africa: Southern Africa through its work in Malawi; Eastern Africa through its work in Tanzania; and West Africa through its work in Ghana. WaterAid Australia will be working in partnership with WaterAid Tanzania, WaterAid Malawi and WaterAid Ghana, and their respective local partners to help some of Africa's poorest people overcome poverty through improving access to safe water, hygiene and sanitation (WASH). Funding required for this project is AU\$8,843,187m over a five year period from July 2011 to June 2016.

The primary objective of WaterAid's AACES project is to improve access to water, sanitation and hygiene in underserved communities and schools in rural and urban areas of Tanzania, Malawi and Ghana. This will be undertaken through a combination of service delivery, capacity building, and policy and influencing activities. Service delivery activities include: the construction and rehabilitation of water supply facilities and services; the construction of sanitation facilities; and the coordination of hygiene promotion activities and materials. Capacity building activities include: training and mentoring of implementing partners, community members, community organisations, committees, government departments, schools and pupils; and, the forming and support of community WASH committees and school clubs. Policy and influencing activities include: engaging in policy dialogue with Governments, NGOs, AusAID and other institutional donors; and undertaking research and documenting WASH learnings and evidence.

The specific objectives of the project are as follows:

1. Marginalised people, especially women and girls in underserved communities and schools in Tanzania, Malawi and Ghana have increased access to sustainable, accessible, appropriate and affordable water, sanitation and hygiene facilities and services.
2. Communities and community organisations have strengthened capacity to effectively participate in decision-making related the design, delivery, maintenance and monitoring of water, hygiene and sanitation services and facilities.
3. Partner organisations, institutions, governments, service providers and other WaterAid programs have increased capacity to effectively deliver safe water, improved hygiene and sanitation which is sustainable, accessible, appropriate and affordable.
4. WASH knowledge base increased and used for evidence based policy inputs through the undertaking and documenting of research, best practice and learnings.
5. Increased investment and prioritisation of WASH at district, national and regional levels.
6. WASH integrated and prioritised in the plans and actions of organisations involved in poverty reduction programs.

There are numerous challenges critical to the success of the project. These include the participation of key stakeholders, especially the most marginalised; the sustainability of WASH facilities and services; the capacity of the WASH sector to engage, prioritise and deliver WASH services; and the availability and capacity of local partners and service providers. WaterAid has planned a number of activities and strategies to respond to these issues, including the use of participatory and strengths based approaches to ensure the meaningful engagement of key stakeholders; research activities to identify marginalised people and their needs; gender and age specific focus groups, and consultations with Disabled Persons Organisations (DPOs) to inform on WASH design to ensure sustainable access and appropriateness of

Summary of NGO Project Designs

facilities and services; research activities on sector budget requirements to ensure long-term and adequate funds are known and available to continue the support and provision of WASH services; and the strengthening and support of governments, community members, community organisations and implementing partners to increase their capacity to deliver sustainable WASH.

WORLD VISION**EXECUTIVE SUMMARY**

The East Africa Maternal Newborn and Child Health (EAMNCH) Project will improve maternal, newborn and child survival. This will be achieved through improved health system access, sustainable nutrition, and market diversity in selected communities in Kenya (Kilifi district), Rwanda (Gicumbi districts), Tanzania (Kilindi district) and Uganda (Kitgum district). This is a five year project (July 2011 – June 2016) with a total budget of \$9 million. The project will be implemented through a partnership led by World Vision Australia (WVA), involving World Vision (WV) National Offices in each country. Ministries of Health and other in-country partners will support the achievement of project outcomes improving the quality, supply, and community demand for Maternal Newborn and Child Health (MNCH) services; promoting the adoption of positive MNCH practices and contributing to a more favourable policy environment that facilitates MNCH improvements in Africa. This project also seeks to provide opportunities for the Australian public to better engage with development issues in Africa. Maternal under-nutrition (caloric intake and essential micronutrients) contributes to the mortality rates of infants and children under five. This project includes focusing on the provision of essential nutrition for pregnant and lactating women, and addressing causal factors contributing to maternal and child undernutrition and will be conducted in collaboration with local communities, governments and other key social actors. Targeting the causes of under-nutrition for pregnant and lactating women will improve both these women's health outcomes, and foetal development. Low birth-weight children have increased short and long-term risks of infection and disease, so this approach will also contribute to reducing child and infant mortality in the target communities over the longer term. Interventions undertaken in this project seek to strengthen existing health systems and services - such as obstetric and antenatal care - to increase their accessibility and utilisation. Complimenting these activities, nutrition education will be undertaken together with market research to better understand the availability and utilisation of nutritious food, identifying links with nutrition outcomes and relevant areas for further interventions. These activities will, over the longer term, improve access to health services, increase nutritional awareness, and result in behaviour change that will reduce maternal and infant mortality and disability. Ensuring government participation and commitment to MNCH improvements will be critical to project success and ensuring sustainable outcomes, but is a significant challenge given limited governmental resources and competing priorities. For this reason, the EAMNCH design has focused significantly on developing engagement and partnerships with key government stakeholders and demonstrating the benefits of best practice, whilst building demand for services at the community level so governments can be more informed by local issues and evidence.

Annex Five

AusAID Guidelines for funding to non-accredited NGOs



A Basic Standard for Engagement with Not-For-Profit Organisations

The Statement of International Development Practice Principles (Attached) has been developed in consultation with the Australian Council for International Development (ACFID). It is **founded on the good development practice and experience of accredited Australian Non-Government Organisations** (NGOs) and other international development agencies over the last three decades.

The Statement takes account of the Accra Action Agenda on Aid Effectiveness, and in particular, encourages a participatory approach to development. 'Not for profit' organisations are strongly encouraged to work in partnership with others thereby reducing the burden on communities and governments with whom they work. The Statement seeks to articulate the minimum standards and commitment that AusAID expects from all 'not-for-profit' organisations that it funds. It will form an annex to funding agreements with not-for-profit organisations that are not accredited with AusAID.

The Principles are **not aimed at accredited Australian NGOs** which have already undergone a rigorous accreditation process.

Statement of International Development Practice Principles

This Statement of International Development Practice Principles (The Principles) promotes the active commitment of **all non-accredited, not-for-profit organisations funded by AusAID** to the fundamentals of good development practice, and to conducting their activities with integrity, transparency and accountability.

The Principles are founded on a premise of ‘do no harm’ and drawn from good practice principles in the international development not-for-profit sector and international development community more broadly. In line with Aid Effectiveness principles, when planning interventions, not-for-profit organisations are encouraged to consider: what other agencies are doing in the chosen area of focus; where their organisation can add value; and how they can join with others to increase the impact and sustainability of their activities.

Where relevant, AusAID encourages eligible Australian organisations to work towards becoming Australian Council for International Development (ACFID) Code of Conduct signatories.

International Development Principles

Lessons drawn from best practice NGO and civil society programs recognise the importance of working in partnerships, building creative and trusting relationships with people of developing countries and supporting basic program standards which:

- > give priority to the needs and interests of the people they serve and involve beneficiary groups to the maximum extent possible in the design, implementation and evaluation;
- > promote an approach that includes all people in a community and ensures the most vulnerable, including people with disability, women and children, are able to access, and benefit equally, from, international development assistance;
- > encourage self help and self-reliance among beneficiaries;
- > avoid creating dependency through the facilitation of active participation and contributions (as appropriate) by the most vulnerable;
- > respect and foster all universally agreed international human rights, including social, economic, cultural, civil and political rights;
- > are culturally appropriate and accessible;
- > seek to enhance gender equality;
- > recognise and put in place processes to mitigate against the vulnerability of not for profit organisations to potential exploitation by organised crime and terrorist organisations;
- > have appropriate mechanisms in place to actively prevent, and protect children from harm and abuse; and
- > integrate environmental considerations and mitigate against adverse environmental impacts.
- > Promote collaborative approaches to development challenges including through working in partnerships and avoiding duplication of effort

All non-accredited, not for profit organisations receiving funding from AusAID commit to apply these principles of good development practice, and adhere to the organisational integrity and accountability standards set out on the following page.

Organisational Integrity and Accountability for Development

AusAID funds and resources are designated for the purposes of **international aid and development** (including development awareness). They can not be used to promote a **particular religious adherence, missionary activity or evangelism, or to support partisan political objectives**, or an individual candidate or organisation affiliated to a particular political movement. AusAID reserves the right to undertake an independent audit of an organisation's accounts, records and assets related to a funded activity, at all reasonable times.

In all of its activities and particularly in its communications to the public, AusAID expects not-for-profit organisations it works with to accord due **respect** to the dignity, values, history, religion, and culture of the people it **supports and serves**, consistent with principles of **basic human rights**.

Not-for-profit organisations working with AusAID should:

- > not be a willing party to wrongdoing, corruption, bribery, or other financial impropriety in any way in any of its activities;
- > take prompt and firm corrective action whenever and wherever wrongdoing is found among its Governing Body, paid staff, contractors, volunteers and partner organisations;
- > have internal control procedures which minimise the risk of misuse of funds and processes and systems that ensure funds are used effectively to maximise development results;
- > establish reporting mechanisms that facilitate accountability to members, donors and the public;
- > have adequate procedures for the review and monitoring of income and expenditure and for assessing and reporting on the effectiveness of their aid;
- > have a policy to enable staff confidentially to bring to the attention of the Governing Body evidence of misconduct on the part of anyone associated with the Organisation, including misconduct related to the harm and abuse of children;
- > be aware of terrorism-related issues and use their best endeavours to ensure that funds do not provide direct or indirect support or resources to organisations and individuals associated with terrorism and/or organised crime;
- > Ensure that individuals or organisations involved in implementing activities on behalf of the Organisation are in no way linked, directly or indirectly, to organisations and individuals associated with terrorism and/or organised crime.

AusAID Funding Agreement Requirements

Each AusAID funding agreement also comes with obligations for both AusAID and the Organisation being funded. These are spelt out in detail in the funding agreement. The Principles will not affect or diminish the obligations or liabilities of the Organisation under the funding agreement.

Broadly speaking, any Organisation funded by the Australian Government, through AusAID, is **required to comply with relevant and applicable laws, regulations and policies**, including those in Australia and in the country/ countries in which they are operating. In particular, the Organisation needs to observe the contractual requirements regarding Child Protection and Counter Terrorism.

Additional Information and Related Links

Further information AusAID's Child Protection Policy, Counter Terrorism and other applicable laws and policies can be found on AusAID's website at:

http://www.ausaid.gov.au/business/pdf/Lists_of_Laws_and_Guidelines_for_Contractors.pdf

http://www.ausaid.gov.au/publications/pdf/child_protection.pdf

Further information on terrorist organisations listed under Division 102 of the Criminal Code Act 1995 (Cth) and the DFAT Consolidated List of persons and entities subject to UN sanctions regimes maintained in accordance with the Charter of the United Nations Act 1945 (Cth) can be found at:

http://www.dfat.gov.au/icat/UNSC_financial_sanctions.html#3

<http://www.nationalsecurity.gov.au/agd/www/nationalsecurity.nsf/AllDocs/95FB057CA3DECF30CA256FAB001F7FBD?OpenDocument>

Further information on AusAID Accreditation and the ACFID Code of Conduct can also be found at:

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

<http://www.acfid.asn.au/code-of-conduct>

Further information on Aid Effectiveness can be found at:

http://www.oecd.org/departement/0,3355,en_2649_3236398_1_1_1_1_1,00.html

http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html

Annex Six

Principles and behaviours that will be included in the AACES partnership agreement

Principles and behaviours that will be included in the AACES partnership agreement

Principles and behaviours that will be included in the AACES partnership agreement

Principle	Associated behaviours
Trust	Practice open and communication between each of the NGOs and with AusAID. Address and seek to eliminate any suspicions or miscommunications.
Flexibility	Practice and exhibit understanding of the complexities involved in each of the projects and in AusAID work. Recognize and respect differences between agencies and between NGOs and AusAID. Recognise and respect different approaches to monitoring and evaluation. Recognise that change will happen over time and the programs and projects will adjust to work for this change.
Accountability	Ensure that accountability is mutual between organisations as well as flowing both upwards to donors and down to communities and people.
Respect	Recognise and value in the different systems and identities between NGOs and AusAID and use this to inform the program. Look for common ground between organisations, building consensus where possible through consultation. Respect the boundaries of each organisation. Recognise that some systems cannot be modified and that each NGO and AusAID will have limits to in their possible engagement in the partnership. Work to build positive relationships with each other. Where possible orderlies jointly define processes and systems for the program including those for monitoring and review. Ensure regular and shared review of the partnership and its value towards the efficiency and effectiveness of the program. Respect and utilise all of the program documentation, both NGO projects and AusAID documentation. Respect the right of individual NGOs and/or AusAID to opt out of particular publication/ communication. Ensure that are common in agreed protocols for any representation of the

Principles and behaviours that will be included in the AACES partnership agreement

	<p>program.</p> <p>Develop protocols for use of photos and a sharing of information beyond AACES NGOs.</p>
Collaboration	<p>Ensure there are clear roles and responsibilities assigned to all tasks.</p> <p>Agree communication processes in particular for any public communication about the program.</p> <p>Ensure that any planning and communication are undertaken in advance in order to provide reasonable time for arrangements and changes.</p> <p>Support new members either from NGOs or AusAID to understand the partnership approach of the program</p>
Transparency	<p>Ensure all agreements and dealings for the program are known and understood by all.</p> <p>Recognise that individual NGOs will have specific agreements with AusAID which may not be able to be shared with other partners.</p>
Learning	<p>Ensure that each of the organisations is committed as an institution to the partnership.</p> <p>Ensure that each of the organisations is committed as an institution to their learning approach of the program.</p> <p>Recognise that program and project failure is an opportunity to learn and therefore should be transparently and openly communicated within the program.</p>
Commitment to the cause of poor and marginalised people	<p>Ensure that all who work undertaken in projects and across the program is gender and culturally appropriate.</p> <p>Individuals will seek to work in ways that avoid dominating all patronising behaviours.</p> <p>Both the NGOs and AusAID will seek to communicate and educate you staff about the intention and approach of AACES.</p>

Annex Seven

Risk Matrix

Annex 8: Risk Matrix

Risk event	Likelihood	Consequence	Risk Rating	Risk Management	Responsibility
Due to unstable or corrupt political regimes duty bearers are likely to be distracted away from focus on service delivery.	3	4	High	The NGO projects will need to be regularly analysing and considering political influences upon communities and duty bearers.	
Community people including those people who are marginalised, will find it more difficult to establish and maintain their rights to services in situations where governments are unstable or corrupt.	3	4	High	The NGO projects will need to adjust to provide additional support in situations where changing political influences limit the accountability of government to people.	
Changes in climate and extremes of weather impact upon water supply and viability of foods.	4	3	High	The NGO projects will need to monitor the ongoing impact of variations in climate upon the sustainable progress in each location.	
Ongoing discrimination and marginalisation due to ethnicity as well as limited social and economic power will continue to limit the provision of services for people despite capacity development of duty bearers and service provision systems.	3	3	High	The various NGO projects will need to look at multiple approaches to challenging disempowerment in these contexts.	
Given the complex nature of this program, AusAID or the NGOs struggle with implementation.	3	3	High	Ensure the design document is clear and detailed. Ensure regular monitoring and evaluation of project outcomes as well as project management.	Steering committee

The complex design is not able to be understood by new staff in either AusAID or the NGOs.	2	3	High	Ensure that each Australian NGO takes responsibility for induction of new staff for the program. AusAID to take responsibility for induction of new program staff	Australian NGOs AusAID
Marginalised people find it difficult to engage with the NGO projects and difficult to change their behaviour and values within the short life of the program.	2	4	High	Regular monitoring of NGO programs to identify progress towards outcomes and any barriers to engagement with marginalised people	Australian NGOs and partners
Changed attitudes and behaviours of duty bearers is not achieved in all NGO projects	2	4	High	Regular monitoring of NGO programs to identify progress towards outcomes and to identify any barriers to changes in attitudes and behaviours of duty bearers	Australian NGOs and partners
AusAID staff not willing or able to successfully engage with NGO information and communications	2	5	Extreme	Monitoring of activities under objective two with reference to successful engagement between AusAID and NGOs. Direct discussion with AusAID as required.	Steering committee AusAID
NGOs will limit and censor the information they provide to AusAID	2	5	Extreme	Monitoring of activities under objective two with reference to NGO behaviour. Direct discussion with NGOs as required.	Steering committee Australian NGOs
NGOs will limit and censor the information they provide to each other	2	5	Extreme	Monitoring of activities under objective two with reference to communication and shared action between NGOs.	Steering committee Australian NGOs

				Direct discussion with NGOs as required.	
NGOs find it difficult to communicate their lessons and findings in a way which is accessible to a donor	3	5	Extreme	Support for NGO communication through additional technical assistance as required	Resource facility
Other influences and decision-makers within AusAID limit the utilisation of the learning, information and examples from the AACES program	3	5	Extreme	Regular monitoring of activities under objective two will be undertaken to identify any specific problems. Senior representatives of Australian NGOs will meet with AusAID staff to discuss the value of the program and how it can be better utilised within AusAID.	Steering committee Australian NGOs
AACES public communications are misinterpreted by either the Australian public or by others who may be critical of the aid program.	3	2	Medium	Public communications will be guided by AusAID guidelines as well as internal Australian NGO guidelines. Should any misinterpretation arise AusAID and Australian NGOs will meet together to discuss appropriate responses.	Australian NGOs AusAID
Attempts to be transparent and accountable about Australian aid could be misinterpreted as self-serving.	3	2	Medium	Public communications will be guided by AusAID guidelines as well as internal Australian NGO guidelines. Should any misinterpretation arise AusAID and Australian NGOs will meet together to discuss appropriate responses.	Australian NGOs AusAID

AusAID or NGOs will find it difficult to adhere to agreed partnership protocols and principles	3	4	Extreme	<p>The partnership agreement will be readily monitored and deviations from the protocol some principles identified. Where necessary the dispute resolution mechanism will be utilised.</p> <p>The steering committee will also give attention to any additional assistance which is required to operationalise the partnership protocols and principles.</p>	Steering committee
The partnership approach increases program management tasks for AusAID and/or the NGOs	3	2	Medium	<p>The partnership agreement will be monitored and attention given to the value of this approach over the whole life of the program.</p> <p>The resource facility will be utilised for program management tasks as far as possible</p>	Steering committee resource facility
The partnership process will not be as well understood by new people working on the program and therefore may fail to reach its full potential	4	3	High	<p>The partnership agreement and associated protocols will be documented following implementation of the program. This will become required reading for all new people engaging with the program.</p> <p>In addition the partnership approach will be monitored throughout the life of the program to ensure its value to program outcomes</p>	Steering committee resource facility
The program management required to administer the funds and contracts for the engagement with other Australian organisations is too much for AusAID in	4	2	High	AusAID will monitor the management required to administer this fund. Arrangements will be changed to fund implementation and management if required.	AusAID

Canberra to manage.					
The engagement with other Australian organisations risks the reputation of AACES should a particular activity not be successful.	3	2	Medium	AusAID will monitor key outcomes of particular activities in agreement with other Australian organisations. AusAID will manage the relationship with other Australian organisations to ensure that they are progressing according to identified objectives and outcomes.	AusAID
The engagement with other Australian organisations could fail to provide the additional learning and challenge which is sought and could simply become a funding mechanism with limited outcomes.	3	2	Medium	As above AusAID will manage the relationship with other Australian organisations. They were monitored to ensure that activities undertaken are progressing according to identified objectives and outcomes.	AusAID
The proposed management arrangements will not be sufficient to maintain this complex program.	2	5	Extreme	The steering committee will readily oversee the key program level management requirements of the program. Additional assistance is required the resource facility will be tasked to provide this.	Steering committee resource facility
Monitoring and evaluation will not be resourced sufficiently and with sufficient technical skill for it to meet program needs	2	5	Extreme	The design document outlines the minimum monitoring and evaluation tasks required for this program. AusAID and Australian NGOs will undertake to resource both program and their projects to meet the requirements as outlined in the design document. Should further resources be required, the resource facility will be tasked to provide these.	AusAID Australian NGOs resource facility

L = Likelihood (5= Almost certain, 4= Likely, 3= Possible, 2= Unlikely, 1= Rare)

C = Consequence (5= Severe, 4= Major, 3= Moderate, 2 = Minor, 1= Negligible)

R = Risk level (4= Extreme, 3= High, 2= Medium, 1= Low)

