

# Humanitarian Response Aid Quality Check for [name of investment]

[Please note that word count often varies between MS Word and Adobe SmartPDFs. The final length of text is what fits into the SmartPDF template]

## Instructions

This template is used for Humanitarian Response Aid Quality Checks (HAQCs) and Final HAQCs for multi-year investments, generally related to protracted crisis. HAQCs assess how well humanitarian response (relief and early recovery) investments have performed or are performing and seek to strengthen the management and performance of investments.

Relief is defined as an investment whose primary purpose is to save lives, alleviate suffering and enhance human dignity during and in the aftermath of natural disasters and human-induced crises. This includes rapid onset, slow onset and protracted crises.

Early Recovery is designed to arrest, and begin to reverse, the decline in the development trajectory of an affected country or region, and lays the foundation for longer-term recovery and reconstruction and development activities.

Drafters of Final HAQCs should interpret and apply the guidance retrospectively, so for example consider what did we do rather what we are doing.

Completed HAQC should be approved by a relevant EL2 or above and uploaded to AidWorks by 1 May.

The aid Investment Quality Reporting (IQR) Good Practice Note contains essential reading for completing AQC.

Additional information is in the Aid Programming Guide (APG Chapter 4), and AidWorks support materials page.

Please direct any questions on AQC reporting to the quality reports mailbox [qualityreports@dfat.gov.au](mailto:qualityreports@dfat.gov.au)

## Summary

Investment name					
Investment number					
Does this AQC cover several investments?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If Yes, list investments in the cluster		
Country or program					
Theme	[pre-populated by AidWorks]				
Investment allocation \$AUD		Investment start date		Reporting period start date	
Expenditure to date		Investment end date		Reporting period end date	
% expended		% time elapsed		Report drafted by	
Was this an Investment Requiring Improvement (IRI) in the previous AQC round?				Report approved by	
Yes <input type="checkbox"/>		No <input type="checkbox"/>		Date approved	

## Description

### What are we doing or did we do?

Briefly describe the investment, assuming the reader has no prior knowledge.

Include a brief background of the crisis, Australia's statement of intent, and key activities of the investment.

Briefly state how the investment aligns with the strategic objectives of DFAT's Humanitarian Strategy (2016).

Describe the rationale, implementation arrangements, key partners, duration and phasing of the investment. Include any civilian deployable capabilities and support provided by the Australian Defence Forces, if relevant.

(no more than 600 words)

## Reviews and Evaluations

### List the reviews and evaluations undertaken for this investment

Name of review or evaluation	Date finalised	Date uploaded in AidWorks	Date management response uploaded in AidWorks	Published on website?

Provide a brief summary of key findings and recommendations from any reviews or evaluations undertaken for this investment in the last 12 months. Relevant reviews and evaluations may have been led by DFAT, implementing partners or other donors. Include any After Action Reviews (AARs) and lessons exercises undertaken by whole-of-government partners.

(no more than 300 words)

## Australian Aid – Quality Criteria

Humanitarian response investments are expected to align with one or more of the strategic objectives outlined in DFAT's Humanitarian Strategy (2016), as well as the Strategy's Performance Assessment Framework where possible. Investments should support Australia's World Humanitarian Summit Grand Bargain commitments towards more efficient, effective and fit-for-purpose humanitarian aid.

For each criterion, use the focus areas in the [HAQC Ratings Matrix](#) to inform analysis and to determine ratings

### 1. Effectiveness - The investment achieved, or is achieving the outputs and outcomes that we expected?

Provide evidence and analysis drawn from M&E and discuss the extent to which we are achieving the outputs and targets expected at this point in time, and whether the investment is on track to achieve the expected outcomes.  
Use the focus areas in the AQC Ratings Matrix to inform analysis and to determine an overall rating.  
(no more than 750 words)

Overall rating

1 2 3 4 5 6

### 2. Efficiency – The investment made, or is making appropriate use of Australia's and our partners' time and resources to achieve outcomes?

Provide evidence and analysis drawn from M&E and discuss the extent to which the investment makes appropriate use of time, financial and human resources to achieve outcomes. Assess the investment's performance on Grand Bargain efficiency commitments: greater transparency (no.1); Was cash transfer programming considered as a modality and if it was not used, why not? (no.2); reduce duplication and management costs with periodic functional reviews (no.4); and increase collaborative multi-year planning and funding (no.6).  
Use the focus areas in the AQC Ratings Matrix to inform analysis and to determine an overall rating.  
(no more than 750 words)

Overall rating

1 2 3 4 5 6

### 3. Relevance – Is Australia's humanitarian response appropriate and relevant?

Rate the statement below (Grand Bargain commitment no. 2) using the six-point scale

The investment uses national and/or local systems, and/or strengthens the capacity of national/local institutions in accordance with Australia's Grand Bargain localisation commitments.

1 2 3 4 5 6

Provide evidence and analysis to support the overall assessment and indicate the extent to which the investment offers the most appropriate modality and approach to address identified humanitarian needs. Was cash transfer programming considered as a modality and if it was not used, why not? Has anything changed to affect the relevance of this investment?  
(no more than 300 words)

Overall rating

1 2 3 4 5 6

**4. Gender Equality – The investment has made, or is making a difference to gender equality and empowering women and girls?**

*(This field is pre-populated using data from the Gender theme question in AidWorks) Promoting equality between men and women is..*

<input type="checkbox"/> a principal objective of this investment	<input type="checkbox"/> a significant objective of this investment	<input type="checkbox"/> not an objective of this investment
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*Rate each statement below using the six-point scale*

Analysis of gender equality gaps and opportunities substantially informs the investment.	1	2	3	4	5	6
Risks to gender equality are identified and appropriately managed.	1	2	3	4	5	6
The investment is making progress as expected in effectively implementing strategies to promote gender equality and women's empowerment.	1	2	3	4	5	6
The M&E system collects sex-disaggregated data and includes indicators to measure gender equality outcomes.	1	2	3	4	5	6
There is sufficient expertise and budget allocation to achieve gender equality related outputs of the investment.	1	2	3	4	5	6
As a result of the investment, partners increasingly treat gender equality as a priority through their own policies and processes.	1	2	3	4	5	6

*Provide evidence and analysis drawn from M&E and discuss the extent to which the investment makes a difference to gender equality. For supplementary guidance on this criterion please refer to the Aid Programming Guide (APG) Chapter 4: Key resources /Guidance Use the focus areas in the AQC Ratings Matrix to inform analysis and to determine an overall rating. (no more than 600 words)*

**Overall rating**

	1	2	3	4	5	6
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**5. Monitoring and Evaluation - The M&E system generated, or is generating credible information that is being used for management decision-making, learning and accountability purposes?**

*Provide evidence and analysis to support the overall assessment and indicate the extent to which the M&E system generates information, which is used for improvement, learning and accountability. Where possible, state how the investment's M&E approach relates to and aligns with DFAT's Humanitarian Strategy Performance Assessment Framework. Assess the investment's performance on the Grand Bargain commitment to 'harmonise and simplify reporting requirements' in order to enhance quality of reporting to better capture results, enable learning and increase the efficiency of reporting (no.9). (no more than 300 words)*

**Overall rating**

	1	2	3	4	5	6
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**6. Protection – The investment protected, or is protecting the safety, dignity and rights of affected people?**

*Rate each statement below using the six-point scale*

Delivery partners are accountable to affected populations (including the most vulnerable) by ensuring they are aware of their rights and entitlements, have access to information and participate in decisions that affect them.	1	2	3	4	5	6
Delivery partners welcome and address feedback and complaints from affected populations through safe and responsive mechanisms.	1	2	3	4	5	6

*Provide evidence and analysis and discuss the extent to which the investment identifies and analyses protection issues and implements strategies to address these. Note Australia's responsibilities as articulated in international humanitarian and human rights law, and the particular need to protect the safety, dignity and rights of vulnerable groups. Implementation should apply Do No Harm principles. Use the focus areas in the AQC Ratings Matrix to inform analysis and to determine an overall rating. (no more than 600 words)*

**Overall rating**

	1	2	3	4	5	6
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**7. Connectedness – The investment was delivered, or is being delivered in a way which supports recovery, resilience and long-term development? Is Australia’s approach coordinated and complementary?**

<i>Rate each statement below using the six-point scale</i>						
The investment uses national and /or local systems, and/or strengthens the capacity of national /local institutions in accordance with Australia’s Grand Bargain localisation commitments.	1	2	3	4	5	6
The investment is well coordinated and coherent with other Australian funded activities in the country/region. It incorporates linkages between preparedness, humanitarian response (relief and early recovery), resilience building, recovery, reconstruction and development.	1	2	3	4	5	6
Implementation arrangements are well coordinated with other donors and support information sharing.	1	2	3	4	5	6
DFAT-funded activities complement the activities of other actors, including national and local authorities, humanitarian organisations, donors and the private sector.	1	2	3	4	5	6
<p><i>Provide evidence and analysis and discuss the extent to which the investment incorporates appropriate linkages between preparedness, humanitarian response (relief and early recovery), resilience building, recovery, reconstruction and development. Provide evidence that Australia’s implementation arrangements are well coordinated with other actors, and Australia’s assistance is complementary to that provided by other actors. Consider the role of national and local authorities and actors, humanitarian organisations, donors, the private sector and the military, as applicable. Assess this investment’s performance on Grand Bargain commitment to improve joint and impartial needs assessments (no.5). Use the focus areas in the AQC Ratings Matrix to inform analysis and to determine an overall rating. (no more than 600 words)</i></p>						
<b>Overall rating</b>	1	2	3	4	5	6

**8. Risk**

<p><i>Briefly describe key (top three) investment risks and actions taken to ensure they are actively managed (e.g. regular discussions with partners on key risk; quarterly review of risk register; review of risk management controls and treatments etc). Describe any new or emerging risks that may affect end-of-investment outcomes. Include actions to address any emerging risks in the Management Responses section. For final HAQCs drafters should refer to the FAQC risk guidance to complete this section. Use the focus areas in the AQC Ratings Matrix to inform analysis and to determine an overall rating. (no more than 400 words)</i></p>						
<b>Overall rating</b>	1	2	3	4	5	6

**9. Management Responses and Lessons**

<p><i>Discuss the extent to which progress has been made against previous management responses and describe the management responses proposed to address issues raised in this HAQC.</i></p> <p><i>Discuss key risks that may affect successfully achieving end-of-investment outcomes and what measures are proposed to avoid, mitigate and /or manage these risks.</i></p> <p><i>Discuss any negative environmental and /or social safeguard risks associated with this investment. (e.g. environmental protection; children, vulnerable and disadvantaged groups; resettlement and displacement; health and safety)</i></p> <p><i>Note any lessons that may have been applied from, or be applicable to, other relevant humanitarian responses. Consider any issues relating to the performance of and relationship with whole-of-government partners.</i></p> <p><i>(no more than 600 words)</i></p>						

**10. Other Comments and Information – this section is optional**

*Use this space to record any other information relevant to the performance of the investment, contextual information, or more detail on any significant quality issues not covered in the assessments above.*

*This text box may include any key messages to be used or to highlight in briefings, or for handover notes.*

*Also, note any additional information that has been uploaded in AidWorks, or if applicable, EDRMS file numbers where additional information can be found.*

*(no more than 600 words)*

## Key Policy Priorities

<b>Disability</b>							
<i>Rate each statement below</i>							
The investment actively involves people with disabilities and /or disabled person's organisations in planning, implementation and monitoring and evaluation.	N/A	1	2	3	4	5	6
The investment identifies and addresses barriers to inclusion and opportunities for participation for people with disabilities to enable them to benefit equally from the aid investment.	N/A	1	2	3	4	5	6
<i>Briefly describe how this investment is making a difference for people with disabilities.            For supplementary guidance please refer to the Aid Programming Guide <a href="#">(APG) Chapter 4: Key resources /Guidance.</a>            (no more than 300 words)</i>							

<b>Safeguards</b>							
<i>Rate statement below</i>							
Investment safeguard risks and impacts are actively managed, including regular monitoring and reporting	1	2	3	4	5	6	
<i>Briefly describe key negative environmental and /or social safeguard risks associated with this investment and describe actions taken to ensure safeguard risks and impacts are managed in accordance with DFAT's Environmental and Social Safeguard Policy and Safeguard Operational Procedures. Investment safeguard risks and impacts include: environmental protection; children, vulnerable and disadvantaged groups; <b>Indigenous</b> peoples and /or ethnic minorities; resettlement and displacement; health and safety.            For supplementary guidance please refer to the Aid Programming Guide <a href="#">(APG) Chapter 4: Key resources /Guidance.</a>            (no more than 300 words)</i>							

<b>Climate Change and Disasters ('Building Resilience') – this information will be used to gauge the level of risk management and action on climate change and disasters.</b>							
<i>Rate each statement below</i>							
Climate change and disaster risks associated with the investment are identified, included in the risk register, and effectively managed.	<input type="checkbox"/> Yes <input type="checkbox"/> No						
The investment is delivering results on climate change (adaptation to climate impacts and/or mitigation of greenhouse gas emissions) and disaster risk reduction.	NA	1	2	3	4	5	6
The M&E system (M&E frameworks, progress reports and evaluations) collect data on climate change and disaster risk reduction.	NA	1	2	3	4	5	6
<i>Briefly describe how this investment is addressing climate change and disaster risk reduction. Provide evidence and analysis to support the overall assessment and where appropriate, discuss alignment with partner country climate and disaster priorities.            For supplementary guidance; including an explanation of climate change adaptation, mitigation and disaster risk reduction, please refer to the Aid Programming Guide <a href="#">(APG) Chapter 4: Key resources /Guidance</a>            (no more than 300 words)</i>							

<b>Private sector</b> – this information will be used to gauge the level and nature of engagement with the private sector across aid investments.	
Refer to the AQC Good Practice note to determine eligibility and to calculate the value of private sector investment leveraged. To demonstrate how results were derived, please use the calculation worksheet which should be uploaded to AidWorks as an attachment.	
How often has DFAT directly engaged with the private sector in this investment in the past year?	1 = Not at all 2 = Once a year 3 = Every 6 months 4 = Quarterly 5 = Monthly 6 = Weekly
Has this investment contributed to private sector growth in the past year?	YES <input type="checkbox"/> NO <input type="checkbox"/>
What is the value of resources leveraged from the private sector in the current reporting period? (that can be apportioned to DFAT)	AUD\$
What is the value of resourced leveraged from other partners, excluding donor government contributions? (includes NGOs, philanthropic organisations, State Owned Enterprises)	AUD\$
Describe how the investment is promoting private sector growth and engaging the private sector in achieving development outcomes. (no more than 300 words)	

<b>Innovation</b> - this information will be used to gauge the level and nature of innovation across aid investments.	
Answer each question below	
Is the investment applying innovative programming? - “the what”	[ select ]
Is the investment applying innovative partnerships and collaboration? - “the who”	[ select ]
Is the investment applying innovative processes? - “the how”	[ select ]
Briefly describe innovations in this investment, and where available include any web references or hyperlinks. (no more than 300 words)	