



Project Design, Monitoring and Evaluation Policy

Introduction

The purpose of this policy is to outline Edmund Rice Foundation Australia's (ERFA) approach to the design and assessment of the projects it supports in developing nations.

ERFA recognises that:

- well-designed, effective and well-managed projects are indispensable if ERFA is to achieve its objectives and mission and see its vision realized
- well-designed, effective and well-managed projects are indicators of ERFA's own effectiveness, professionalism and commitment
- monitoring and evaluation are essential performance management practices for assessing project effectiveness

"Partner" Definition

Edmund Rice Foundation Australia (ERFA) is a company limited by guarantee. The objects of the company are set out in clause 3 of ERFA's constitution. Clause 3 (f) reads as follows:

To develop partnerships with overseas aid agencies or formal arrangements with other delivery agents related to the Company but resident in Developing Countries for the implementation of the objects in paragraph (a).

One of ERFA's roles is to act as trustee of the Edmund Rice Overseas Aid Fund.

Throughout its policies and official documentation ERFA uses the term **Partners** for those organisations with which it has formed alliances in developing countries for the receipt of overseas aid funding for the in-country delivery of education, health and development projects. These are not partnerships in the legal sense. Rather they are alliances for funding that ERFA has formed with in-country organisations with whom ERFA has communicated its vision, mission, values, policies and expectations with respect to sustainable development and whose own vision, mission, values, policies and development goals are congruent with those of ERFA.

Section 1: Project Design

1.1 Definition

Project design involves the identification of communal problems and their causes and consequences and the planning of interventions to address these issues. The design process integrates two main components:

- Identifying and understanding a community's needs
- Designing and documenting solutions

1.2 Project Design – Processes & Principles

Generally, the process of project design is undertaken by ERFA's in-country partners. To be eligible for ERFA funding, project proposals must be forwarded to ERFA for appraisal. The processes of project design and appraisal are to be carried out according to a set of agreed principles.

ERFA expects the following principles to guide project design.

Identifying and understanding community needs:

- Projects are to be designed in partnership with their target community
- Projects are to be designed in response to identified and documented community needs
- Identification and assessment of community needs involves research and analysis to accurately identify and understand community needs and their causes and consequences
- Project designs should evolve from wide community engagement and participation, which facilitates joint identification and assessment of community needs, especially for those groups in the community most in need
- The community engagement process should enable communities to gain insight into any differences between their perceived and real needs and to reach a common understanding
- Projects must be designed to strengthen local community capacity through their implementation stage, which is essential to ensure project sustainability
- In addition to target communities, research and analysis should include engagement with other relevant stakeholders such as civic authorities, civic organisations, community leaders and other relevant NGOs

1.3 Project Documentation

ERFA requires project proposals to include the following documentation:

- Project title / location / governing authority / project manager or managers
- Project duration
- Background information – i.e. relevant historical, political, economic, social and environmental situation in the country or region
- Statement of development needs – i.e. why the project is necessary - outline of the needs which the project is designed to address and the process by which these needs were identified and assessed
- Project goal – overall aim of the project and statement of development objectives and expected outcomes – i.e. the results to be achieved
- Project plan – key project activities (i.e. outputs through which the results will be achieved), implementation steps and schedule, physical resources required and personnel required for project delivery
- Beneficiaries – details of those who will benefit from the project, how they will benefit and evidence of their involvement in the identification and assessment of community needs and the designing of solutions
- Cross-Cutting Issues – identification of relevant cross-cutting issues and how these will be addressed
- Project budget
- Sustainability strategies – likely sources of support for the project longer term
- Risk identification and risk management strategy
- Proposed monitoring and evaluation plan

1.4 Project Appraisal

ERFA criteria for appraisal of project proposals:

- Relevance and alignment with ERFA's vision and mission

- Internal logic of the project design (i.e. evaluation of how proposed project activities will enable achievement of project goal)
- Feasibility of partner capacity (evaluation of existing partner resources and skills) with the scope of the project
- Consistency of project proposal with identified target community's needs
- Assessment of project sustainability strategies
- Consideration of related cross cutting issues
- Assessment of proposed monitoring and evaluation arrangements
- Evaluation of ERFA's capacity to attract funding for the project

1.5 Partner Capacity Assessment

An essential element of project design is ERFA's assessment of its partners' capacities to implement the projects for which they are applying for funding. ERFA's assessment of in-country capacity to implement projects is focussed at the project level and takes place at the project funding application stage. The criteria that must be met and the accompanying documentation required, to enable ERFA to assess project partner capacity, are set out in the *Project Implementation Partner Capacity Assessment Checklist* (see Appendix 1). These criteria and their accompanying documentation mirror ERFA's funding application requirements.

1.6 Project Flexibility

ERFA recognizes the importance of flexibility when, for a variety of reasons, an implemented project may not be working according to plan. ERFA acknowledges the importance of advising relevant donors of any necessary adjustments to a project's design and the reasons for these.

Section 2: Assessing Project Performance – Monitoring & Evaluation

ERFA recognizes two main objectives in assessing project performance:

- **Accountability:** monitoring and evaluation build greater transparency and accountability in the use of project resources
- **Learning:** future project planning and development are improved when guided by lessons learned from project experience

2.1 Monitoring and Evaluation – Key Principles

ERFA acknowledges that the following principles should guide all monitoring and evaluation (M&E):

- M&E should be planned at project level
- M&E processes should be conducted in cooperation with project partners using participatory methods
- M&E enable assessments to be made as to whether projects are achieving set targets
- M&E processes should seek to strengthen partner systems and staff capacities
- M&E should provide opportunities for project partners to learn and develop good practice and improve future project design
- Information generated through M&E should provide both ERFA and project staff with a clearer basis for decision-making
- M&E should be designed to meet the information requirements of primary stakeholders including accountability to donors

2.2 Monitoring and Evaluation – Understanding the Difference

While the terms monitoring and evaluation are often interchanged or grouped together, they are fundamentally quite distinct management tools, though closely related and mutually supportive. A key difference is that they are carried out at different stages of the project cycle.

2.3.1 Monitoring

Monitoring involves systematic tracking of project progress throughout the project cycle to ensure that the project is on track. The functions of monitoring are to:

- ensure that programs are being effectively implemented and disbursed funds are accounted for
- provide opportunities for two way exchange of learning and verification of program progress against agreed objectives
- provide opportunities to assess the organisational health and capacity of partners
- provide opportunities to assess future project needs and follow-up on known issues such as project risk, stakeholder concerns and cross-cutting policy issues

2.3.2 Evaluation

Evaluation is time specific and is undertaken to establish whether a project has reached its objectives and delivered what was expected according to its original plan. Hence, evaluation is usually undertaken at the end of a project or at a specific point in time to assess a project's achievements. The objectives of evaluation are to assess:

- **Relevance:** has the project engaged proactively with real problems in the local community
- **Efficiency:** are available resources being used wisely and is the project developing strategies for continuous improvement
- **Effectiveness:** are desired outputs being achieved
- **Impact:** is the project having a positive, long-term impact on improving the quality of the lives of the community
- **Sustainability:** is the project sustainable
- **New Knowledge:** what new knowledge has emerged about effective development practice

2.4 ERFA Project Monitoring

All ERFA funded projects are required to submit Quarterly Monitoring Reports for the 1st, 2nd and 3rd Quarters, which must be submitted on the approved ERFA form, available online. These Quarterly Reports are prepared by in-country project leadership or their delegated officer and enable ERFA to monitor the projects it funds, and enable ERFA to ensure that projects are accountable for funding received. These Quarterly Reports require:

- a summary of the main activities and developments that have occurred in the previous 3 months
- a financial report of income and expenditure for the 3 month period

Appendix 2: Template - Quarterly Monitoring Report to ERFA - Overseas Projects

2.5 ERFA Project Evaluation

All ERFA funded projects are required to submit an Annual Acquittal for the year ended, which is to be submitted on the approved ERFA form, available online. The Annual Acquittal requires project partners to report in detail on a number of criteria, including the key evaluation criteria listed above: relevance, efficiency, effectiveness, impact, sustainability and new knowledge. Hence, the Annual Acquittal is a key tool which ERFA utilizes in its annual evaluation of project management and performance.

Annual Acquittals must include an audited financial statement for the year ended and in their acquittals projects are required to report on:

- the development activities undertaken
- human rights promoted, enhanced or protected
- progress achieved towards long-term goals
- persons and groups who have benefitted
- local participation in project design and implementation
- details of difficulties encountered and consequent changes found necessary to the project as planned, to overcome contingent problems
- management of risk and identification of any new areas of risk

Appendix 3: Template - Annual Acquittal Report to ERFA - Overseas Projects

Section 3: Field Monitoring & Evaluation

All ERFA funded projects are subject to field monitoring and evaluation visits by ERFA staff and/or representatives. Field monitoring may focus specifically on an issue particular to the project, a set of standard compliance issues or may be an in-depth evaluation of the project.

Appendix 4: Template - ERFA Field Monitoring and Evaluation Report

Section 4: Partnerships

4.1 ERFA's in-country partner for the projects ERFA supports in Africa is the Christian Brothers Africa Province. ERFA works closely with the Christian Brothers East Africa District (EAD) Development Office, which assists local projects with their funding applications to ERFA. EAD Development Office also liaises with local ERFA funded projects regarding the completion and submission of their quarterly reports and annual acquittals.

4.2 ERFA's project partner for the projects ERFA supports in the Asia / Pacific is the Christian Brothers Oceania Province (CBOP). The CBOP Co-ordinator Developing Nations has responsibility for liaison between CBOP leadership and its Asia / Pacific projects. The CBOP Co-ordinator Developing Nations also undertakes field monitoring and evaluation trips on behalf of ERFA at the projects it supports in East Timor, Papua New Guinea and the Philippines.

4.3 ERFA's project partners for the global *Our Way into the Future* initiative are the Congregational Leadership Team of the Christian Brothers (CLT) and Edmund Rice Development (ERD). The *Transition Support Team* is a group of individuals tasked with implementing the initiative for the CLT. Funding is being provided by ERD and ERFA. The CLT has responsibility for managing delivery of the project and for the completion and submission of their quarterly reports and annual acquittals.



Project Appraisal & Partner Capacity Assessment Checklist

Project Title		Project Location	
Assessor/s		Assessor/s Position/Role	
Date of Assessment		Assessed for Funding for (e.g. 2016)	

ERFA appraises projects and assesses partner project capacity according to the following criteria.

Documentation Required

	Criteria	Submitted	Approved	Comments
1	Identity of Governing Authority	Yes / No	Yes / No	
2	Project Manager/s	Yes / No	Yes / No	
3	Project Manager/s relevant project management knowledge, skills & experience	Yes / No	Yes / No	
4	Object of Project	Yes / No	Yes / No	
5	Project Genesis / History	Yes / No	Yes / No	
6	Targeted Beneficiaries	Yes / No	Yes / No	
7	Evidence – Local Community Consultation	Yes / No	Yes / No	
8	Planned Implementation Steps / Timeline	Yes / No	Yes / No	
9	Project Budget – Income & Expenditure	Yes / No	Yes / No	
10	Level of ERFA Financial Support Requested	Yes / No	Yes / No	
11	In-country Bank Accounts for receipt of funds	Yes / No	Yes / No	
12	Project Risk Management Analysis	Yes / No	Yes / No	
13	Evidence of In-country Approvals Received	Yes / No	Yes / No	
14	Acceptance of ERFA Policies	Yes / No	Yes / No	

	Criteria	Submitted	Approved	Comments
15	Child Protection Policy	Yes / No	Yes / No	
16	Evidence of In-country staff & Volunteer PD	Yes / No	Yes / No	
17	Agreement re ERFA Reporting & Acquittal Requirements	Yes / No	Yes / No	
18	Agreement re ERFA Recognition	Yes / No	Yes / No	

Applications for funding for capital works must include the following:

	Criteria	Submitted	Approved	Comments
1	Evidence of Call for Tenders	Yes / No	Yes / No	
2	Copies of 2 Quotations (minimum)	Yes / No	Yes / No	
3	Copy of Contract/s Entered Into	Yes / No	Yes / No	
4	Copy of Building Plans	Yes / No	Yes / No	
5	Copy of Architect's Certification	Yes / No	Yes / No	
6	Copy of Builder's Certification	Yes / No	Yes / No	
7	Copy of Building Approvals	Yes / No	Yes / No	
8	Construction Timeline	Yes / No	Yes / No	

Recommendations – Project Appraisal & Partner Capacity Assessment

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PURPOSE

The purpose of this Monitoring Report is to ensure that ERFA funded activities are being implemented in accord with project / program objectives as stated in the approved funding application. This Report should:

- Show that funds used to date are accounted for
- Show that projects / programs are being implemented effectively
- Verify project / program progress against agreed objectives
- Assess emerging future needs and follow up of known issues.

Any variance from the project / program application should be noted and reasons for the variance provided.

Name of Project / Program

Date

City/Location

Country

Quarterly report for (name the relevant quarter of the calendar year)

Year

This Report prepared by

Position

INCOME & EXPENDITURE

Please attach a statement of income and expenditure for the Quarter with respect to ERFA funds received.

ACTIVITIES & DEVELOPMENTS

Please provide some detail of the activities and developments that have occurred with respect to ERFA funded projects / programs.

OUTPUTS	M	F	OUTCOMES
Planned & Achieved Activities undertaken during the Quarter	Direct Beneficiaries (Numbers of beneficiaries reached within the quarter)		Impacts observed / reported for the target group and general community

OUTPUTS	M	F	OUTCOMES
Planned & Achieved Activities undertaken during the Quarter	Direct Beneficiaries (Numbers of beneficiaries reached within the quarter)		Impacts observed / reported for the target group and general community

Comment on any significant challenges or areas of risk encountered during the Quarter and actions taken to address these.



Report on progress of capital works (if applicable).

A large, solid grey rectangular area intended for reporting the progress of capital works, if applicable.

Comment on any future needs which have emerged during the Quarter and/or follow up of issues which had emerged previously.

A large, solid grey rectangular area intended for commenting on any future needs that have emerged during the quarter and/or for following up on issues that had emerged previously.

Outline any variations from the Project Funding Application and the reasons why these have become necessary.

A large, empty grey rectangular area intended for the user to provide details about variations from the Project Funding Application and the reasons for these changes.

How have you publicly recognised the Edmund Rice Foundation (Australia) for its support during the last quarter?

A large, empty grey rectangular area intended for the user to describe how they have publicly recognized the Edmund Rice Foundation (Australia) for its support during the last quarter.

Foundation Office

EMAIL foundation@edmundrice.org FAX 03 8359 0137 PH 03 8359 0115
POST P.O. Box 819 Parkville, Victoria 3052



Name of Project / Program

Date

City/Location

Country

This Report prepared by

Position

BUDGET & EXPENDITURE

1. Please attach a statement of income and expenditure for the past year related to each project.
2. This statement of income and expenditure will be included in the audit of the financial statements for the past year of the total program:
Yes No If No, please provide clarification.

3. An audited set of financial statements for the past year will be forwarded to Edmund Rice Foundation (Australia) when completed:
Yes No If No, please provide clarification.

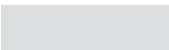
ACTIVITIES

1. Which development activity undertaken in the project in the past year with ERFA funds would you rate as most successful?

LONG TERM VISION AND OUTCOMES

1. Which human rights does this program seek to promote, enhance or protect?

2. What progress has been made towards achieving the long-term vision and outcomes identified for this program or specific project (please provide evidence of this)?



3. Please explain who has benefited so far and how (in particular highlight how women have been empowered and how children have benefited)?

Number of children	Number of women	Number of men

4. How has the local community been involved in the management, direction and evaluation of the project over the past year (include any consultation, mentoring, professional development and training of local leadership and staff as well as activity undertaken in the community such as microfinance initiatives and training to enhance employment opportunities)

5. What policies/procedures and training are in place for protection of the environment where the project operates (eg water, waste disposal, protection of flora/fauna) and what training/awareness raising has been undertaken for those involved in the project?

CHALLENGES

1. What are the specific changes/improvements that have been introduced into the project and/or what has been identified for change/improvement over the next 12 months?
2. What evidence is there that any changes brought about achievements?
3. What influence does change in any of these areas have on the project cycle and the achievement of long-term outcomes?

RISKS

1. Have any of the risks identified at the beginning of the project cycle actually happened? What has been done as a result?
2. Are there new risks to achieving the desired project outcome and what strategies are in place to address these?

ERFA FUNDING COMPLIANCE

1. Is there a current Child Protection Policy (CPP) in place?:
Yes (if Yes, please attach) No If No, please provide clarification.

 2. What is the name of the on-site Child Protection Officer? Date their last CPP training was undertaken

 3. Has CPP training been provided to staff and volunteers in the last 12 months?:
Yes If Yes, what date and who facilitated training? No If No, please provide clarification.

 4. Have there been any serious allegations of breaches of the CPP by staff, volunteers or program participants in the last 12 months?:
Yes If Yes, please provide clarification and information on how the incident has been dealt with No


 5. Are you familiar with the ERFA Complaints Handling Policy available on the ERFA website at www.erf.org.au?
Yes No

 6. Is there a project Complaints Handling Policy in place?
Yes No

 7. Are complaints handling procedures visible for all associated with the project in both English and the local language?
Yes No

 8. Are you familiar with the ERFA Non-Development Activity Policy on the ERFA website at www.erf.org.au?
Yes No

 9. Is the project engaged in non-development activities (such as evangelical or partisan political activities), and if so, have these been accounted for separately to development activity in the financial statements?
Yes, engaged in non-development activities outlined below and separately accounted for in financial statements

No, not engaged in non-development activities
- 



Field Monitoring & Evaluation Report

Representative:	
Position:	
Date of trip:	

Partner Details:

Partner Name:	
Contact Details:	
Country:	
Relevant Australian Partners:	
Responsible Manager:	

Summary of Visit

Date	Activity	Notes

Section 1. Organisational Report

Please provide detailed information about activities related to the organisation such as: discussions with staff about strategic plans; observations about organisational processes etc.

Date	Activity
Notes	

Date	Activity
Notes	

Checklist:

Please indicate documents that were discussed, requested and sighted

1.1 Governance and Legal

		Requested	Sighted	Comments
	Registration	<input type="checkbox"/>	<input type="checkbox"/>	
	Constitution	<input type="checkbox"/>	<input type="checkbox"/>	
	Board Minutes	<input type="checkbox"/>	<input type="checkbox"/>	
	MoU	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

1.2 Structure and Management

		Requested	Sighted	Comments
	Strategic Plan	<input type="checkbox"/>	<input type="checkbox"/>	
	Implementation/Action plans (annual)	<input type="checkbox"/>	<input type="checkbox"/>	
	Organisational Chart/Structure	<input type="checkbox"/>	<input type="checkbox"/>	
	Recruitment Processes	<input type="checkbox"/>	<input type="checkbox"/>	
	Operations and Staff Manuals	<input type="checkbox"/>	<input type="checkbox"/>	
	Communications processes	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

1.3 Policies

		Requested	Sighted	Comments
	Child Protection	<input type="checkbox"/>	<input type="checkbox"/>	
	Counter-Terrorism	<input type="checkbox"/>	<input type="checkbox"/>	
	Disability	<input type="checkbox"/>	<input type="checkbox"/>	
	Environment and Climate Change	<input type="checkbox"/>	<input type="checkbox"/>	
	Family Planning	<input type="checkbox"/>	<input type="checkbox"/>	
	Gender and Development	<input type="checkbox"/>	<input type="checkbox"/>	
	HIV/AIDS	<input type="checkbox"/>	<input type="checkbox"/>	
	Human Rights	<input type="checkbox"/>	<input type="checkbox"/>	
	Welfare, Evangelism and Partisan Political Activities	<input type="checkbox"/>	<input type="checkbox"/>	

1.4 Finance Systems

	Requested	Sighted	Comments
Finance Manual/Procedures	<input type="checkbox"/>	<input type="checkbox"/>	
External Financial Audit	<input type="checkbox"/>	<input type="checkbox"/>	
Annual Organisational Budget	<input type="checkbox"/>	<input type="checkbox"/>	
Annual Organisational Report	<input type="checkbox"/>	<input type="checkbox"/>	
Accounting and Ledger system	<input type="checkbox"/>	<input type="checkbox"/>	
Procurement Policy/Process	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	

1.5 Partner Documents

	Discussed	Agreed	Comments
Long term Milestones	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	

1.6 Other Documents

	Requested	Sighted	Comments
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	

Last Counter Terrorism check: / /

Describe Communication Channels

--

Child Protection Activities and Incidents

--

Feedback from Partners on Relationship with ...

--

General Comments

Recommendations

Section 2. Project Report

Please complete this section for each project

Program Details:

Program:	
Major Financier:	
Sector:	<input type="checkbox"/> Advocacy and Rights <input type="checkbox"/> Governance <input type="checkbox"/> Climate Change <input type="checkbox"/> Health <input type="checkbox"/> Education (Vocational) <input type="checkbox"/> HIV/AIDS <input type="checkbox"/> Education (children) <input type="checkbox"/> Income Generation <input type="checkbox"/> Environment/Conservation <input type="checkbox"/> Maternal and Childhood <input type="checkbox"/> Disability <input type="checkbox"/> Water, Sanitation and <input type="checkbox"/> Food Security/Nutrition Hygiene <input type="checkbox"/> Gender <input type="checkbox"/> Other: _____

Project Details:

Project Name:	
Project Code:	
Project Manager:	
Specific location:	
Project start date:	
Proposed project end date:	
Budget in AUD\$:	
Funds Transferred:	

Field Activities for Project:

Please provide detailed information about activities such as site visits; interviews with stakeholders; observations about the project etc. Add more boxes if needed.

Date	Activity
Notes	

Date	Activity
Notes	

Date	Activity
Notes	

Date	Activity
Notes	

Checklist:

Please indicate documents that were requested and sighted

2.1 Project Agreements Requested Sighted Comments

	Project Contract	<input type="checkbox"/>	<input type="checkbox"/>	
	MoUs or contracts with additional partners	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

2.2 Implementation & Management Requested Sighted Comments

	Logframe/proposal	<input type="checkbox"/>	<input type="checkbox"/>	
	Project Schedules/Activity Plans	<input type="checkbox"/>	<input type="checkbox"/>	
	Risk Management Analysis	<input type="checkbox"/>	<input type="checkbox"/>	
	Project Roles and Responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	
	Communication channels	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

2.3 Monitoring & Evaluation Requested Sighted Comments

	Monitoring and Evaluation Matrix	<input type="checkbox"/>	<input type="checkbox"/>	
	Monitoring Reports	<input type="checkbox"/>	<input type="checkbox"/>	
	Evaluation Reports	<input type="checkbox"/>	<input type="checkbox"/>	
	External Evaluation	<input type="checkbox"/>	<input type="checkbox"/>	
	Case Studies	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

2.4 Finance Requested Sighted Comments

	Project Budget	<input type="checkbox"/>	<input type="checkbox"/>	
	Financial Acquittals	<input type="checkbox"/>	<input type="checkbox"/>	
	Spot Check	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

2.5 Other Documents Requested Sighted Comments

		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

Major project amendments

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Successes

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Difficulties and Challenges

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Lessons Learnt

Sustainability of Project

Comments on Project

Recommendations for Project

Section 3. Further action:

Action	Responsible	Date due

Declaration:

I declare this report is complete and accurate

Full Name: _____

Position: _____

Signature: _____

Date: _____