

# Monitoring and Evaluation Framework

Australia China Environment  
Development Program  
(ACEDP)

October 2009

# Glossary

ACEDP	Australia China Environment Development Program
ACEDS	Australia China Environment Development Strategy
ACR	Activity Completion Report
AIDS	Acquired Immune Deficiency Syndrome
AMC	Australian Managing Contractor
AusAID	Australian Agency for International Development
CCPS	China Country Program Strategy
EAT	Environment Advisory Team
GoPRC	Government of People's Republic of China
HIV	Human Immunodeficiency Virus
KRA	Key Result Area
M&E	Monitoring and Evaluation
MEF	Monitoring and Evaluation Framework
PCO	Project Coordination Office
PDD	Project Design Document
PLR	Policy Landscape Review
QAA	Quality Assurance Advisor
TL	Team Leader
TOR	Terms of Reference

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# 1.0 Australian China Environment Development Program (ACEDP) and M&E

The Australian China Environment Development Program (ACEDP) is a five-year, \$25m Australian Government, AusAID initiative commenced in July 2007 with the objective of supporting and improving policy development in China in the area of environmental protection and natural resources management. The primary focus of the ACEDP is on water resources and integrated river basin management, but there is flexibility to address other emerging environmental priorities by agreement between the two governments. ACEDP aims to facilitate enduring partnerships between Australian and Chinese agencies, institutions and individuals engaged in national environmental policy development and implementation through a combination of high level policy dialogue, capacity building measures and collaboration on discreet activities that demonstrate good environmental governance.

The goal of the ACEDP is *to support China's policies for a better environment (to balance the needs of environment and human development in China)*

ACEDP has three main components, each with a specific objective:

Component 1 – Environmental Governance and Dialogue: *to demonstrate methods and applications of improved environmental governance in China and to develop and enhance the environment policy dialogue between China and Australia.*

Component 2 – Integrated River Basin Management: *to assist with the practical application of Integrated River Basin Management principles in China.*

Component 3 – Program Management: *to provide strategic direction to, and effective coordination and efficient management of, the Environment program.*

The program does not have one specific partner but rather a collection of partners each engaged on specific activities – Ministry of Water Resources, Ministry of Environmental Protection, National Development and Reform Commission and State Forestry Administration in China and, the Australian Government Department of the Environment, Water, Heritage and the Arts, Australian Government Department of Agriculture, Fisheries and Forestry, Australian Government National Water Commission, Australian Government Murray Darling Basin Authority and the Commonwealth Scientific and Industrial Research Organisation in Australia.

## 2.0 Overview of ACEDP M&E Framework (MEF)

In developing the ACEDP MEF, an initial assessment was undertaken to determine current GoPRC M&E systems, Program Coordination Office (PCO) awareness of M&E principles and practices and expectations for M&E from an AusAID perspective. The assessment included a detailed review of the Project Design Document (PDD) in terms of its stated goal, purpose and outcomes. Meetings were held with respective partner agencies to determine levels of capacity and desired outcomes from their participation in the program. Discussions were also held with AusAID in Beijing and Canberra to

discuss priority approaches and also the level of financial and human resources required to implement effective M&E.

The assessment process is ongoing and has resulted in a series of revisions to the ACEDP MEF based on continuing consultations with partner agencies and PCO staff. These processes included a Policy Landscape Review (PLR) in August 2008, followed in February 2009 by an external AusAID review and a performance assessment by the Environmental Advisory Team (EAT) and the Quality Assurance Advisor (QAA).

Figure 1 below outlines some of the initial mapping for M&E used to discuss the program with partner agencies and PCO staff. The purpose was to demonstrate some of the potential outcomes that could be anticipated as the program emerged over the five-year period. The process also highlighted the flexible approach required for ACEDP to allow for new and emerging needs to be captured over time with the long-term impact of improving environmental protection in China.

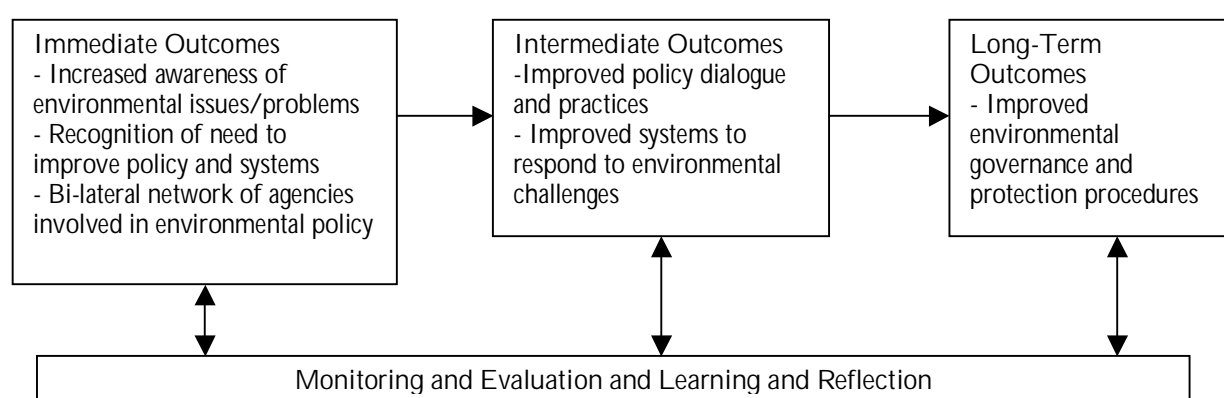


Figure 1: Logical Flow of Outcomes

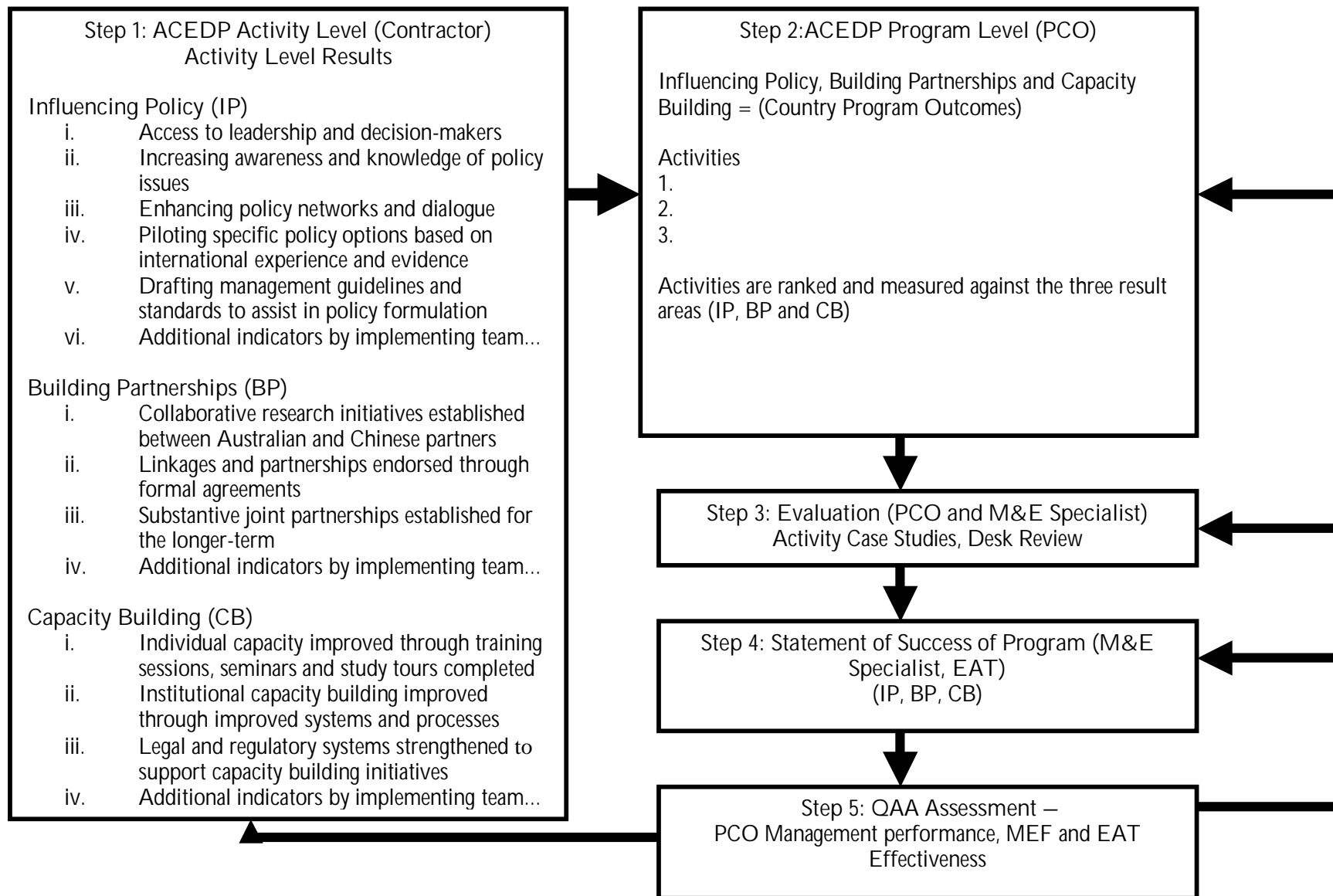
A recent review of AusAID funded activities in China recognised a need to demonstrate tangible linkages of all AusAID funded activities to the current China Country Program Strategy (CCPS). The CCPS contains three broad result areas – influencing policy, building partnerships and capacity building (at both a technical and managerial level). As a result, the ACEDP MEF has been reviewed accordingly.

The revised M&E framework for ACEDP is a simple framework aimed at generating results that can be assessed and understood by a range of stakeholders (toolbox approach). The framework provides a series of standardised indicators at the activity level that link to broader key result areas as defined in the CCPS. Flexibility is built into the framework by providing scope for individual indicators to be defined, so long as they link to the broader defined CCPS result areas.

The approach relies on quality narrative and evidence-based reporting that will be prepared by each activity implementing team. PCO staff will review the reporting and assess the results against the activity framework. More detailed evaluation and case study processes will be employed each year (involving the ACEDP M&E Specialist) to evaluate specific activities and to measure the overall achievement of activities against the key result areas in the CCPS.

Diagram 1 below outlines the proposed structure of the revised ACEDP MEF and identifies the key components of the M&E process as a whole:

Diagram 1: ACEDP M&E Framework and Information Flow



## 2.1 Overall ACEDP MEF & Information Flow

The following key steps, summarise the M&E process for ACEDP in line with the information flow in Diagram 1:

### *Step 1- ACEDP Activity Level (Contractor) Results*

A series of performance indicators are included to guide the development of individual results frameworks for each activity. The indicators are clearly linked to the key result areas and these are reflected in individual activity results frameworks. There is also opportunity for implementing teams to include additional or entirely new indicators if required (so long as the indicators link to the respective result area). Reporting at the activity level is the responsibility of the implementing team (contractor) and should be evidence based where possible.

For activities that involve a study tour or training event – a training plan and post-training evaluation will be required as part of the M&E plan.

### *Step 2 - ACEDP Program Level (PCO)*

At the program level, PCO staff will aggregate results and information derived from the reporting processes of respective activities. This will be done by PCO program officers collecting pertinent information from narrative reports and producing a qualitative 'statement of success/failure' for each activity. PCO program staff will quantify results where possible to validate the statement. A data sheet will be prepared by the PCO (for each individual activity) that will collect the information and raw data on an ongoing basis during the course of activity implementation and will be used to support and verify findings. Results will be tabulated in a table and will form the basis of evaluation by the M&E Specialist.

### *Step 3 - Evaluation*

As part of the preparation of the six-monthly report process, the ACEDP M&E Specialist will visit the program on a six monthly basis. The purpose of the visits will be to review activity performance and data collection processes (Steps 1 & 2) and at specified times, undertake more detailed evaluations and prepare case studies against outcomes. Specific activities to be evaluated will be discussed in consultations among the PCO, AusAID, EAT and QAA.

### *Step 4 - Statement of Success/Failure of Program Performance*

The M&E Specialist will aggregate the performance of all activities against the CCS outcomes on an annual basis (taking into consideration findings from the evaluation), and prepare, in consultation with the PCO, a 'statement of success/failure' against each of the CCPS outcomes. This will involve consultations with the EAT and, where required, the use of thematic experts to verify the technical validity of the statement.

### *Step 5 - QAA Assessment*

The QAA specialist has a defined role to review the systems and processes related to the Program. This will include a review of management performance (including PCO performance, role of EAT, selection processes etc) on an annual basis and a review of the MEF to ensure its application and relevance remain linked to the priority result areas. The QAA role will be very specific and scheduled on an annual basis with separate terms of reference to be developed by the Program Manager.

## 2.2 Activity Level M&E Methodology

Activity monitoring is a key function of activity management. It is essential that activity-monitoring systems be established that address the information and reporting requirements of a range of stakeholders – namely the PCO and activity implementing teams.

Activity monitoring for the ACEDP will be primarily the responsibility of the implementing team (contractor). The PCO will have responsibility for quality control and to provide where necessary, logistical support and advice. This approach places greater emphasis on implementing partners to reflect and review their own progress and allows the PCO to provide more of a coordinating function. A key feature is to ensure that all activities are carefully designed and reviewed through the Annual Planning Process and to allocate resources for priority activities accordingly.

All activities funded by ACEDP will have developed a specific Activity Design Document (ADD) – guidelines included as [Attachment 1](#). The ADD represents the commencement of the M&E process since activities at this stage have been approved through a rigorous selection process involving the PCO, EAT and endorsement by AusAID/MOFCOM. The ADD is broken into five main sections – analysis, scope, engagement of civil society, work plan and activity management. Each ADD will have a Results Framework included outlining the key objectives and expected results over the life of the activity.

Once financial arrangements and contracts are finalised for ADD's, the implementing team/contractor will meet with respective program officer staff in the PCO to finalise the results framework from the ADD to guide implementation, management and reporting. A copy of the results framework format is provided as [Attachment 5](#).

To ensure there is no confusion over the definition of terms when being applied to respective activity implementation, the following definitions for program level indicators and activity level result indicators are provided (see Table 1).

### *Result Area Definitions:*

*Influencing Policy:* The main focus of influencing policy for the ACEDP centres on [agenda setting](#) and [policy formulation](#). ACEDP agenda setting efforts have focused on increasing access to leadership and decision-makers, increasing awareness and knowledge of emerging policy issues and introducing new ideas into policy debate. In terms of policy formulation, ACEDP focuses on increasing knowledge and awareness of policy options adopted internationally and proposing specific policy options based on Australian experience or evidence through either policy research or operations/pilot research.

*Building Partnerships:* A partnership can be seen as a special form of collaboration between organisations. They are often context specific and can take many forms. A partnership can be defined as ' a collaborative relationship between entities to work towards shared objectives through a mutually agreed division of labour'<sup>1</sup> A key element

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<sup>1</sup> Adapted from 'Aligning Assistance for Development Effectiveness: Promising Country Experience' World Bank (2003) –from Sue Dawson's partnership Paper.

for partnerships under ACEDP is that they are not end in themselves but rather a process towards the achievement of key program outcomes. The focus of partnerships under ACEDP is in developing new partnerships and strengthening existing relationships to influence improved policy outcomes.

Key factors defining a partnership in the ACEDP include:

- Executive support from both the Chinese and Australian Agencies
- Alignment of Chinese and Australian systems
- A high degree of trust between both partners
- Good understanding of the Australian Government system in partner agency selection
- Jointly agreed purpose and definition of partnership outcomes.

*Capacity Building:* AusAID's definition of capacity building is "the process of developing competencies and capabilities in individuals, groups, organizations, sectors or countries which will lead to sustained and self-generating performance improvement" (2004). This definition highlights an important point, that capacity building may happen at various levels such as individual, organisational and system level. The emphasis of capacity building within ACEDP is more toward exposing Chinese counterparts to new ideas and concepts, building a more experiential base for development in China, and building very specific technical skills to enhance the performance of institutions and/or systems.

In this context it is helpful to use standardised indicators to remove confusion or misunderstanding and to highlight what is to be measured.

Activity Level Results	Potential Indicators (Examples only to guide planning)	Definition
<b>Influencing Policy</b>		
Access to leadership and decision-makers		Influencing policy should be seen as a process or progressing from a current basis to something more positive and tangible. The process also involves exposing partners and counterparts new ideas and concepts that can be tested and to provide guidelines on how to strengthen current policy processes
Increasing awareness and knowledge of policy issues	- Demonstrated understanding of policy reform requirements - Application of knowledge to policy process	
Enhancing policy networks and dialogue	- Networks established	
Piloting specific policy options based on international experience and evidence	- New pilot activities implemented - Best practice applied to activities	
Drafting management guidelines and standards to assist policy formulation	- Guidelines drafted and implemented - Policy process improved	
Additional indicators by implementing team...		
<b>Building Partnerships</b>		
Collaborative research initiatives established between Australian and Chinese partners	- No of new initiatives commenced - Counterparts report improved policy dialogue	Partnerships occur at different levels within ACEDP and should be viewed as developing new partnerships and/or strengthening existing arrangements. M&E for partnerships will occur in two stages – evidence of partnership
Linkages and partnerships endorsed through formal and informal associations and agreements	- No of new partnerships initiated	
Substantive joint partnerships established for the longer term	- No of ongoing partnerships formed that extend beyond life of program	

Additional indicators by implementing team...		characteristics evident during activity implementation and evidence of ongoing partnerships beyond activity timeframe.
Capacity Building		
Individual capacity improved through training sessions, seminars and study tours	<ul style="list-style-type: none"> <li>- New capacity building initiatives commenced</li> <li>- Application of skills to work practices</li> <li>- Results of training evaluation</li> </ul>	Capacity building for ACEDP is about improving technical and managerial capacity to develop new or strengthen existing partnerships and/or contribute to improved policy dialogue and formulation. For ACEDP capacity building has a more supporting role rather than a clearly defined outcome
Institutional capacity improved through strengthened systems and processes.	<ul style="list-style-type: none"> <li>- Agencies implementing improved systems and activities</li> <li>- Manuals, handbooks, standards of practice adopted by agencies as a result of activity</li> </ul>	
Legal and regulatory systems strengthened to support capacity building initiatives.	<ul style="list-style-type: none"> <li>- Strengthened regulatory systems supporting policy processes</li> </ul>	

Table 1: Activity Indicator Definitions

## 3.0 Activity Evaluations and Case Studies

As activities emerge during the life of the program, there will be a need to assess the performance of these activities and identify their contribution to the broader program result areas (influencing policy, building partnerships and capacity building).

The M&E framework will also play a role in guiding the selection of activities to be funded and evaluated. Selection criteria are currently operational and have been developed to provide a basis for the selection of activities and associated guidelines to help develop proposal concepts and design documents. The M&E framework has a role to ensure that selected activities can be effectively measured and do contribute to broader result areas.

### 3.1 Rationale

The rationale for the case study approach is to provide some in-depth analysis for selection of activities and their respective impacts and contribution to higher-level result areas. The information derived from the studies will be used in the identification and planning of future activities for the next activity planning cycle.

### 3.2 Scope

In consultation with the ACEDP program manager and AusAID a total of four activities will be reviewed each year. A total of 20 days per year has been set aside to conduct these case study evaluations, including some preparatory work in Australia.

### 3.3 Approach and Methodology

The proposed approach for the case studies will be participatory with an initial desk-review of activity reports and where appropriate completion reports. A semi-structured interview will be prepared to discuss program achievements and outcomes with both Chinese and Australian partners.

Activities will be selected through a consultation process between the PCO, AusAID and EAT. The evaluation can either be along result areas (e.g. look specifically at activities that primarily seek to build partnerships) or look at activities across geographical areas.

### *3.4 Use of Thematic Experts*

If required, thematic expert(s) will be engaged for the case study evaluations. This will only occur if the case studies are selected by theme rather than individual activities. For example, if river basin management activities are selected then a river basin thematic expert may be engaged to assist in the drafting of questions for the review and provide analysis to the M&E specialist around the interpretation of the results. The thematic expert(s) will also be engaged to rate activities against result areas contained in the CCPS. The dual approach of a horizontal focus on thematic area along with a vertical approach against result areas (IP, BP and CB) will contribute to an in-depth and robust approach to the evaluation process overall.

The thematic expert(s) will also provide a statement of success/failure for specific activities and to ratify the use of current indicators and where necessary, suggest improvements.

The M&E Specialist will develop specific TOR for these inputs. Up to ten days input per year is planned for this assistance.

## 4.0 Reporting

Reporting for the ACEDP is a simple process that has been standardised across all activities funded under the program. The following reporting tools will be used:

- Monthly update by PCO project staff on the Activity Tracking System to track activity progress, identify issues and their resolution.
- Brief Inception Report prior to commencement of activities (Attachment 2) to be completed by implementing contractor.
- Six-monthly report (Attachment 3) to be used for larger activities over \$500,000. The same format will be used for completion reports for small activities. The implementing contractor will initially complete this report with quality assurance provided by PCO staff (along with comments).
- An Activity Completion Report ACR (Attachment 4) to be used for longer-term activities. The implementing contractor will complete this report and PCO staff will assess against the activity framework.
- Separate reports will be prepared for evaluations and case studies as required. The M&E specialist along with PCO staff will prepare the report.

Additional reports for the ACEDP include the Annual Plan and the six-monthly progress report. These documents will be prepared by the PCO and submitted to AusAID/MOFCOM for approval. The Annual Plan will contain information on agreed pipeline activities and any lessons learned from existing activities (this may require involvement of the EAT).

The Annual Plan will also include M&E information relevant to the planning period while the six-monthly report will discuss achievements against the program level MEF and individual activity results frameworks.

It is imperative that efforts be made to ensure the content of all reports is consistent with the views of both Chinese and Australian counterparts so as to maintain sustainable partnerships and relationships. The ACEDP website will be an important means of conveying information to stakeholders on the types of activities being funded and progress against agreed performance criteria.

## 5.0 Future Resourcing Requirements

The original PDD required three-months of M&E input over the five year implementation period. Consultations between the PCO, AusAID and the ACEDP M&E Specialist recognised that this amount of input was too restrictive given the scale and scope of activities to be funded.

The current approach is to allocate approximately 87 days per year for the remainder of the program for M&E. This includes inputs by the M&E Specialist, the EAT, the QAA and thematic expert(s) – particularly for Annual Progress Review and detailed case studies.

M&E overall for ACEDP requires input from a number of individuals and it is necessary to coordinate inputs around key deliverable dates for the program. For example, as already indicated the M&E Specialist will visit six-monthly to assist with the preparation of six-monthly-progress reports. The visit will also coincide with the Annual Progress Review (APR) which involves the EAT along with some thematic expert(s). The QAA advisor will review program management systems and processes annually.

ACEDP reporting will feed into AusAID reporting requirements, specifically for the Quality at Implementation (QAI) report in January/February each year and the Annual Program Performance Report (APPR) in April/May of each year. Visits by technical and thematic experts will be scheduled to coincide with these dates.

## Attachment 1: ACEDP Activity Design Document Guidelines

*Note: The PCO revises these guidelines on a regular basis and applicants should ensure they download the latest version from the ACEDP website*

### Introduction

These guidelines describe a design method and resulting documentation for activities to be included in the Australia China Environment Development Program (ACEDP).

In March and September of each year the PCO, in collaboration with the EAT, assesses new or complementary proposals for inclusion in the ACEDP program pipeline. Upon endorsement of the pipeline by AusAID/MOFCOM, proposing agencies are required to produce an Activity Design Document, following these guidelines. The guidelines comprise of four parts that are described in detail below.

An ADD should be succinct, accurate and comprehensive. It should provide the reader with a clear understanding of what the activity aims to achieve, how it will achieve that and what its outcomes and its risks are. It is anticipated that an ADD would be between 5-10 pages, depending on complexity, plus attachments. The ADD must have an Executive Summary of not more than half a page.

The ADD must be the joint product of Australian and Chinese efforts – achieved either through a joint expert team or through extensive collaboration and negotiations between Chinese and Australian partner agencies.

### PART 1 – Analysis

Part 1 of the ADD analyses the reason for the proposed activity and appraises its feasibility. It follows several logical steps

- A description of the current situation in the ACEDP project that the ADD aims to complement or address
- A rationale of why assistance is required or a 'theory of change'
- An analysis of opportunities/constraints in relation to social impact management, public participation and gender mainstreaming (refer to ACEDP SP&G Framework)
- An analysis of risks and mitigation strategies
- An analysis of likely natural disaster impact in the project area and mitigation strategies.

### PART 2 – Scope

Part 2 of the ADD defines and describes the scope of the proposed activity

- It must clearly show how the activity either contributes to higher policy or program level outcomes of existing ACEDP activities (i.e. complementary), or
- How it adds value to program outcomes as a new and stand-alone activity
- The activity must be fully owned by the respective counterpart and/or recipient agency. Only they are in a position to determine what is realistic in the national

policy context, what can be achieved within the institutional framework and what resources are required

- Scoping the activity must therefore be a true joint effort, involving both Chinese and Australian expertise
- The output is a 'Results Frame' that links inputs to outputs and outcomes; that identifies milestones and that must be compatible with the ACEDP Monitoring & Evaluation Framework, in particular with its six policy outcomes.

### Part 3 – Engagement of Civil Society

For any project that involves formulation / implementation of environmental protection policy and that (i) has direct implications for public well-being / livelihood; (ii) requires public compliance/cooperation and/or; (iii) seeks to inform /influence behaviour, the ADD should incorporate provisions in the workplan and budget for the development and implementation of a plan to engage civil society representatives during project implementation. The ADD should clearly state

- The purpose of the proposed public participation
- The person(s) responsible for planning and implementing public participation and their relevant experience in that process
- The level of capacity building that may be required to support that person(s)
- Outline key components of a Public Participation Plan as part of the ADD
- Identification of any secondary sources to address public concerns / social impacts, eg lessons learned from previous projects, statistical analyses, etc
- Identification of pertinent legislation and regulations.

### Part 4 – Work Plan

Part 4 of the ADD converts the project scope to a detailed costed Work Plan

- This requires breaking down the project scope into discreet tasks and identification of the resources required to carry out these tasks
- It includes sequencing these tasks, determining their duration and estimating costs
- The Work Plan will provide a summary description of the tasks required to achieve activity outputs, the quality required, communication, organisation and staffing, risk response and, where applicable, procurement plans
- This results in an overall project budget, disaggregated by Chinese and Australian inputs / tasks.
- The Work Plan must be fully compatible with the 'Results Frame'.

### PART 5 – Activity Management

Part 5 of the ADD is concerned with project execution. The ADD should describe the organisational structure and processes required to implement the Work Plan, either as an integral part of an existing ACEDP activity or as a new activity. This will include

- Description of the activity implementation team – disaggregated by Chinese and Australian members

- The proposed contractual arrangement between the activity manager and the ACEDP –only if this is not a tendered activity
- The partnership arrangements between the activity team and other agencies and organisations, and a description of the form of agreement that establishes these arrangements
- Supervisory and quality control mechanisms such as steering committees
- Identification of milestones and the specific measurable outcomes that must be achieved to meet these milestones
- Monitoring and evaluation procedures that must be consistent with the ACEDP M&E Framework
- Social Impact Management, Public Participation and Gender Mainstreaming procedures an that must be consistent with the ACEDP SP&G Framework
- Description of integration with other ACEDP activities.

## Attachment 2: Inception Report

### 1. General Information

1.1 Activity Name
1.2 Project Code
1.3 Activity Location(s)
1.4 Implementing Partner and Counterpart

### 2. Introduction to Activity

Please provide a brief overview of the activity

### 3. Approach and Methodology

#### 3.1 General Approach to Activity

How will activity tasks and milestones be approached and what strategies employed. How does the activity link to the three broad result areas – influencing policy, building partnerships and capacity building?

#### 3.2 Methodology and tools to be used in implementing the activity

Outline key steps and tasks in implementing the activity and what tools will be used to achieve a successful outcome.

#### 3.3 Proposed Workplan

Discuss the activity workplan and key features and how the workplan will assist in achieving activity outputs and objectives.

#### 3.4 Budget Variation Proposal

Discuss any required changes to the activity budget and discuss rationale and reasons for any change.

### 4. Comments on ADD and suggested changes

Provide feedback on the ADD and recommend any potential changes needed to improve implementation and management (if appropriate)

### 5. Opportunities and constraints in activity implementation

Identify key opportunities and constraints and discuss how these will impact upon activity implementation and management and discuss strategies to address them

### 6. Monitoring and Evaluation and Reporting

Outline the key steps in monitoring activity tasks and milestones and discuss proposed reporting approaches and timelines.

Annex 1 – Scope of Services

Annex 2- Activity Workplan

Annex 3 –M&E Plan

Annex 4 –Budget Estimate

Attachment 3: Activity Progress Report Format (for activities Longer than Six-Months) Final Completion Report (for activities less than Six Months)

*Note: The activity progress report is to be used for six-monthly reporting for ongoing activities under ACEDP. The report format will also be used for small-scale activities that do not require a detailed completion report or have an implementation period of less than six-months. When a larger scale activity is completed PCO staff should use the Activity Completion Report format in Attachment 4)*

1. Executive Summary

2. Background and Context to Activity (Short outline of activity history and linkage to ACEDP objectives/outcomes.)

3. Key Results of Activity (Provide details for each relevant key result area related to activity)

<i>Name of Output/Result</i>	<i>Date of Implementation</i>	<i>Date of Target</i>	<i>Achievement to Date</i>	<i>Remarks</i>
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(Discuss and analyse key activity achievements objectives/outcomes –using ACEDP key result areas as a guide. i.e. what has the activity contributed program key result areas). Also identify inhibiting and contributing factors to achievements.

3.1 Influencing Policy

3.2 Partnership Building

3.3 Capacity Building

3.4 Cross-cutting issues (i.e. gender)

#### 4. Activity Implementation

4.1 Progress (outline progress for the period – is the activity on schedule? If not what are the implications?)

4.2 Sustainability (factors contributing to sustainability overall)

4.3 Activity Expenditure (outline expenditure for the period – significant underspend/overspend –amount and % variance)

#### 5. Program Management

5.1 Management Arrangements (Discuss management arrangements between implementing partner and PCO. Where management approaches effective and efficient? Also include administrative issues – staffing etc.)

5.2 Lessons Learned (What lessons have been learned to date and what impact have these lessons had upon the activity – i.e. what has changed?)

## Attachment 4: Activity Completion Report (ACR)

### Executive Summary

- A brief outline of the activity
- List of key outcomes against the three ACEDP program level outcomes (drawing on the Activity Results Frame)
- Development impact
- Sustainability
- Conclusion (especially validity of the activity rationale)
- Lessons learned

### 1. Background

#### 1.1 Context and rationale

- Why was the activity selected – i.e. what need/issue was it addressing?
- What were the expected benefits from the activity?
- Relevance to AusAID country strategy?

### 2. Implementation Performance for the Activity

#### 2.1 Activity achievements

Report activity achievements against the activity results framework/logframe. Also detail the contribution of activities and inputs towards the result areas of influencing policy, building partnerships and capacity building. Data can be presented in a narrative or tabular form as below:

Activity Objectives	Performance Indicators	Overall Activity Achievements
<i>Detail agreed outputs (influencing policy, building partnerships, capacity building)</i>	<i>Detail agreed targets</i>	<i>What has been achieved over the life of the Activity?</i>

Explain activity achievements (e.g. extend of overall achievements as compared to design and how and why it has deviated from planned) and discuss actions required to improve future performance. Outline strengths and weakness of the activity's achievements.

#### 2.2 Unexpected Outcomes

Were there any positive outcomes achieved that were not expected or planned for? What actions contributed to these positive outcomes? Were there any unintended negative outcomes? What actions could have been taken to avoid any negative outcomes?

### 2.3 Development impact at Outcome Level – Influencing Policy, Building Partnerships, Capacity Building

(Has the activity had a positive impact on development, particularly in relation to influencing policy, building partnerships and capacity building in line with the CCPS? Outline strengths and weaknesses of impacts on the activity. If there is insufficient evidence of achievement of outcomes at the end of the Activity, provide an explanation of factors leading to lack of evidence)

#### 2.3.1 Influencing Policy

#### 2.3.2 Building Partnerships

#### 2.3.3 Capacity Building

2.4 Cross-cutting Themes (Gender) Were attempts made to include and mainstream gender? If attempts were made, what were the results? If not, what steps could have been employed to promote greater gender representation?

### 2.5 Monitoring and Evaluation

Has the activity been effectively monitored and evaluated? What strategies and tools were used to monitor and evaluate the activity? Did activity M&E processes derive clear and tangible results against outcomes?

**3.0 Activity management** - How effective was the management of the activity? What linkages were established/strengthened with the Partner Government(s) as a result of this Activity? What will be required to ensure sustainability of these linkages? Provide evidence (documentary and anecdotal) of how well this Activity contributed to strengthened relationships or attitudes toward Australia in Partner Countries.

Were risks effectively managed for the activity? What risks emerged during the activity's implementation and how were they dealt with?

Did the activity provide value for money? Please attach a final income and expenditure statement for the activity

#### **4.0 Sustainability**

Is the program sustainable? Over the coming two to three years what benefits would you expect to see continuing as a result of this Activity? Please discuss the key features that promote sustainability and what steps are in place to encourage sustainability.

(Note: effort should be made to support claims with a description of factors that are in place that could reasonably be considered to result in the realisation of expected benefits or impacts).

**5.0 PCO Comments and Analysis** (comments to be provided by relevant PCO program officer based on information provided from counterpart, sub-contractor and internal management processes on the overall success/failure of the activity. Please highlight evidence and sources of information)

## 7. Conclusions, Recommendations and Lessons Learned

### 7.1 Conclusions and Recommendations

This section should:

- Note major strengths/achievements and/or weaknesses/failings
- Discuss factors for success or failure
- Note any actions/measures which should be incorporated into future activities of similar nature
- Make a conclusion as to the overall achievement of the activity

### 7.2 Lessons learned for future activities

Drawing on the conclusions, succinctly state the lessons learned from the activity that may assist in improving the quality of future activities.

Lessons Learned

Impact upon Activity

## Attachment 5: ACEDP Results Framework

Activity Goal			Performance Indicators	Means of Verification (for Performance Indicators)	Activity Inputs	Critical Assumptions	
	Influencing Policy	Strategic Objective 1 <i>(please state the SO below)</i>	<i>Do not insert performance information against the SO. The intermediate results are the indicators of success</i>				
		Intermediate Result 1.1 <i>(results required to achieve the SO)</i>					
		Intermediate Result 1.2					
	Building Partnerships	Strategic Objective 2	<i>Do not insert performance information against the SO. The intermediate results are the indicators of success</i>				
		Intermediate Result 2.1 <i>(results required to achieve the SO)</i>					
		Intermediate Result 2.2					
	Capacity Building	Strategic Objective 3	<i>Do not insert performance information against the SO. The intermediate results are the indicators of success</i>				
		Intermediate Result 3.1 <i>(results required to achieve the SO)</i>					

Note: The results framework is a logical tool use to clearly state the expected results of the program and provide a logical process on how to attain those results. Step one involves identifying a key Strategic Objective (SO). The SO forms the standard by which the activity is willing to be judged in terms of its performance. So it needs to be high-level yet specific enough to be assessed. Intermediate Results (IR) are the results required to achieve

the SO. There can be one or more results for each SO. IR should have specific performance indicators and inputs to track progress and measure results. A key point to note is that activities are unlikely to focus on all three results areas (influencing policy, building partnerships and capacity building). The results framework should be modified to fit the activity. For example, if there is no direct capacity building element in the activity then that section should be deleted. At all times there needs to be causal linkages between the IR and also between IR and SO. Also to note –keep the framework very simple and manageable.