

Human Appeal International Australia

Project Management Policy

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This Policy is issued under the authority of the Board of Directors holding responsibility for the entities that comprise the Human Appeal International Australia Group and should be read together with related documents within the HAIA Group Policy Framework, which sets out the scope, context and definitions common to our policies, procedures and practices.

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Policy Statement

1. This Policy Statement:
 - a. Sets out the principles that Directors of HAIA Group, Domestic and Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity both Domestically and Internationally, will follow in relation to proposed and sponsored HAIA Group projects (Projects);
 - b. Recognises HAIA Group as a major charity under Australian Law who must comply with the laws, rules and regulations in this regard including those governed by:
 - i. The Australian Charities and Not-for-profits Commission (ACNC);
 - ii. Department of Foreign Affairs and Trade (DFAT);
 - iii. Australian Taxation Office (ATO);
 - iv. Australian Securities and Investment Commission (ASIC);
 - c. Recognises Directors of HAIA Group, Domestic and Internationally based HAIA Group staff, third-party partners, international contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity both Domestically and Internationally are also subject to the domestic laws of the jurisdictions in which the HAIA Group operate.

2. HAIA Group's development program adopts the approach that focuses on communities' strengths, capacities and assets. It facilitates, rather than dictates, a community's development by helping community members to recognise their collective strengths. HAIA Group encourages them to pool their assets and work together towards the common goal to bring about permanent sustainable development. In assisting communities:
 - a. We help them gain access to basic essentials, such as clean water, food, housing, and electricity;
 - b. We help reduce the vulnerability of poor people affected by natural disasters, conflict, and environmental degradation – events which are becoming widespread;
 - c. We help disadvantaged communities respond to new challenges, through providing training and access to simple and effective technologies enabling creation of small businesses and income generating solutions and help producers to improve their production, processing, and marketing.

3. The partnerships with the In-Country Partners ensure that we are well placed to facilitate community development projects. The success of these projects depends on the effective co-operation between HAIA Group and its In-Country partners within the different stages of a project, whether it is in designing, appraisal, monitoring, or evaluation. We share our knowledge and expertise, pass it on to our partners, and learn from them for better future projects.

4. HAIA Group believe that investing time and effort in setting up a decent design will result in a better outcome.

General Principals

5. Directors of HAIA Group, Domestic and Internationally based HAIA Group staff, third-party partners, international contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity both Domestically and Internationally; and those visiting HAIA Group sponsored projects are to adhere to the following broad principals, whether articulated in a contractual arrangement or not, when participating in HAIA Group sponsored charitable activities:
 - a. Have consideration for the principles grounding the application of a human rights-based approach to HAIA Group objectives namely; Legitimacy, Empowerment, Transparency, Participation, Multi-level engagement, and information sharing across the HAIA Group platform;
 - b. Have consideration for the principals grounding the safeguarding of children;
 - c. Have consideration for the level and breadth of risk that presents itself when undertaking HAIA Group sponsored projects especially, in countries deemed *High-Risk*;
 - d. Ensure charitable funds supplied by HAIA Group are only expended on nominated proposed or sponsored projects, in the terms of any contract and supporting documentation applicable to each project, as amended from time to time by written authorisation of a HAIA Group *Responsible Person*;
 - e. The use of **Cash** is to be limited to a maximum of five thousand (5,000) USD or its equivalent per supplier per project;
 - f. Treat project recipients fairly and respectfully;
 - g. Ensure that any activity accords with HAIA Group's not-for-profit status and that all activities go towards furthering its charitable purpose;
 - h. Be as transparent as possible in relation to charitable activity undertaken on behalf of HAIA Group;
 - i. Ensure that any activities undertaken do not exploit or disadvantage *Vulnerable Individuals*;
 - j. Ensure they are not misleading any participants engaged to complete the project;
 - k. Ensure they are not misleading the public in relation to administration costs and charitable activity undertaken on behalf of HAIA Group;
 - l. Ensure that any charitable activity undertaken on behalf of HAIA Group is conducted in a way that is:
 - I. in HAIA Group's best interests;
 - II. Protective of HAIA Group's reputation;
 - III. Reasonable;
 - m. Not wasteful or excessive;
 - n. Provide timely reports to HAIA Group on the projects they are undertaking including adverse activity such as fraud, theft, and project supply chain disruption;
 - o. Provide timely feedback to HAIA Group on how they are spending the funds allocated to them for the projects they are undertaking and how that expenditure is impacting on and making a difference to others;
 - p. Handle information and records generated because of that activity, properly and in accordance with the law;
 - q. Be aware of the laws that govern any activities in the jurisdiction in which the projects are active;.

- r. Ensure them all elements of this policy and its related procedures are complied with in a timely manner.

Breaches of this Policy

- 6. Any breaches of this policy are to be handled in accordance with the provisions of the HAIA Group [Governance Policy and Procedures](#).

Definitions

- 7. The following terms are defined for the purpose of this policy:
 - a. *The HAIA Group* – Is a reference to all entities that operate under the HAIA Group structure to achieve the defined charitable purpose;
 - b. *The HAIA Group Board* – Those directors in common appointed to each of the HAIA Group entities that make up the full board of the HAIA Group;
 - c. *HAIA Group Board member* – Is a member of the constituted HAIA Group Board;
 - d. *HAIA Headquarters* – *The building occupied by HAIA at 119 Haldon Street Lakemba NSW 2195;*
 - e. *Third Party Partners* – Those parties including entities and independent contractors and sub-contractors that have entered a signed relationship with HAIA Group;
 - f. *Vulnerable Individuals* – are people under the age of 18, or those who may be either unable to take care of themselves – due to their age, an illness, trauma, disability, or some other disadvantage – or unable to protect themselves against harm or exploitation. The vulnerability may be permanent (for example, an aged-related vulnerability) or temporary (for example, a woman forced to move to a shelter due to personal circumstances);
 - g. *Business Entities* -Include partnerships; Business Trading names; corporations, Not-for-profit and Non-government organisations, and Government Organisations;
 - h. *Material Consequences* – circumstances that will result in the expenditure of a large number of resources including human resources to resolve or will impact significantly on the organisation's reputation.

Charitable Activities Undertaken by HAIA Group

- 8. HAIA Group only undertakes charitable activities in the form of sponsored projects as advertised on the HAIA Group website.

Charitable Activities Not Undertaken by HAIA Group Outside Australia

- 9. The following list of fund-raising activities are not currently sanctioned by the HAIA Group Board of Directors outside Australia:
 - a. Fee-for-service work;
 - b. Public events with admission fees;
 - c. Door-knocking;
 - d. Roadside collections;
 - e. Raffles (or other games such as bingo);
 - f. Running opportunity shops or selling items (such as merchandise or having a bake sale);
 - g. Use of third-party fund raisers;
 - h. Social impact bonds;

Showing Respect to Project Participants

10. In this policy, respect is defined as 'ensuring project participants never feel pressured to provide services'. Directors of HAIA Group, Domestic based HAIA Group staff, third-party partners, domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity, are permitted within this policy to approach potential participants and 'sell them' or 'persuade them' on the idea of providing services for projects but are not to engage overt 'pressure tactics'. Third-party partners, international contractors and/or sub-contractors are not to behave in such a way as to dissuade project participants from support to other or future projects.

Vulnerable People,

11. In accordance with this policy, vulnerable people are people under the age of 18, or those who may be either unable to take care of themselves – due to their age, an illness, trauma, disability, or some other disadvantage – or unable to protect themselves against harm or exploitation. The vulnerability may be permanent (for example, an aged-related vulnerability) or temporary (for example, a woman forced to move to a shelter due to personal circumstances). People in vulnerable circumstances may include:
 - a. Those with intellectual disabilities that affect comprehension or understanding;
 - b. Those with physical or mental health issues;
 - c. Those who do not fully understand the language being spoken;
 - d. People experiencing financial difficulty;
 - e. People experiencing stress or anxiety, including stress caused by the HAIA Group sanctioned project;
 - f. Anyone under the influence of alcohol or drugs;
 - g. Those who are unable to care for themselves;
 - h. The elderly;
 - i. The young.
12. Third-Party partners, international and domestic contractors and/or sub-contractors engaged in HAIA Group proposed or sponsored projects are to ensure they have contemporary policies and procedures in place that set out the minimum level of qualification their staff must have if they are to engage with Vulnerable Individuals and procedures on how those staff are supervised when doing so.
13. Directors of HAIA Group, Domestic and Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity both Domestically and Internationally are to consider a person's circumstances when assessing the extent of the person's vulnerability and how it may impact on the projects for which they are to be engaged. Some people in vulnerable circumstances may still be capable of making an informed decision if they have extra care and support.
14. When dealing with people in vulnerable circumstances Directors of HAIA Group, Domestic and Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity both Domestically and Internationally seeking to engage them are to:

- a. Speak clearly, slowly and use terms that the person can understand;
 - b. Make it clear who they are and that they are undertaking a project on behalf of HAIA Group;
 - c. Repeat important pieces of information, in particular the consequences of a decision impacting the persons involvement in the project;
 - d. Continually check that the person understands what is being said and is happy to continue;
 - e. Refrain from placing pressure on the person be sought for the project;
 - f. Politely accept any refusals to participate without reservation;
 - g. Ask the person if they need to consult someone else about the decision to participate;
 - h. Provide an opportunity for the donor to seek advice on donating or pledging a bequest;
 - i. Provide the person with relevant information and options for participating later so they can consider their decision in their own time.
15. In this policy,
 ‘Having the capacity to make a decision to participate in HAIA Group charitable activity, means that a person is able to, either alone or with support, fully understand the information presented to them, carefully consider the information and the consequences of their decision, and communicate their decision clearly’.
16. Where an assessment on vulnerability is in the balance and the outcome is likely to impact on the good governance of HAIA Group and a Director of HAIA Group, Domestic or Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity, thinks that a potential participant may be in vulnerable circumstances and not able to make a confident and informed decision to participate at the time of the interaction, HAIA Group and a Director of HAIA Group, Domestic and Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity is not to proceed with the engagement offer.
17. Where it is established a vulnerable person without informed consent is participating in HAIA Group charitable activity on behalf of a Director of HAIA Group, Domestic or Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity, this event is to be reported to a member of the HAIA Group Board who will, based on the particular circumstances, determine if termination of that person from the project should occur or not.

Conflicts of Law, Rules, or Regulations between Jurisdictions

18. Where conflicts in relevant law, rules, or regulations between jurisdictions occur, final determination on what will be done to mitigate or prevent such conflicts, rests with the HAIA Group Board. Where such a conflict is anticipated or has occurred, the circumstances are to be described in sufficient details in a [Conflict of Law, Rules, or Regulations Status Report](#), as described in the [HAIA Project Management Procedures](#) and forwarded to HAIA Group headquarters through the relevant reporting channels as soon as possible for determination. Contravention of Laws Rules and Regulations pose an unacceptable risk to the reputation of the HAIA Group and can

have even greater impact on parties involved, therefore, no Director of HAIA Group, Domestic or Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity is to undertake any activity that will, or is likely to contravene any law, rule, or regulation until such time the conflict has been appropriately resolved and written authority to undertake related activity has been received from the appropriate authorised person.

External Conduct Standards

19. As the HAIA Group undertake most of their activities offshore, they are governed by the ACNC's *External Conduct Standards*, which came into effect on 23 July 2019. The HAIA Group Board has the overall responsibility to have all International HAIA Group proposed or sponsored project participants understand and comply with these standards.

External Conduct Standard 1

20. External Conduct Standard 1 requires a registered Charity to:
- a. Take reasonable steps to ensure its activities outside Australia are consistent with its purpose and character as a not-for-profit;
 - b. Maintain reasonable internal control procedures to ensure that funds, equipment, supplies and other resources are used outside Australia in a way that is consistent with the charity's not-for-profit purpose and character;
 - c. Take reasonable steps to ensure that funds, equipment, supplies and other resources provided to third parties outside Australia (or within Australia for use outside Australia) are applied:
 - i. In accordance with the charity's not-for-profit purpose and character;
 - ii. With reasonable controls and risk management processes in place.
21. It also requires charities comply with Australian laws in the following areas while operating overseas:
- a. Money laundering;
 - b. Financing of terrorism;
 - c. Sexual offences against children;
 - d. Slavery and slavery-like conditions;
 - e. Trafficking in individuals and debt bondage;
 - f. People smuggling;
 - g. International sanctions;
 - h. Taxation;
 - i. Bribery.
22. A charity is required to maintain reasonable internal control procedures to ensure compliance with these laws.

External Conduct Standard 2

23. *External Conduct Standard 2* requires a charity to obtain and keep records for its operations outside Australia. The records must include information necessary for a charity to be able to prepare a summary of its activities and related expenditure outside Australia on a country-by-country basis.

24. The records must be kept for each financial year in which a charity:
 - a. Operates outside of Australia; or
 - b. Gives funds or other resources to third parties for use outside Australia.

External Conduct Standard 3

25. *External Conduct Standard 3 requires a charity to take reasonable steps to:*
 - a. Minimise any risk of corruption, fraud, bribery or other financial impropriety by its Responsible Persons, employees, volunteers and third parties outside Australia;
 - b. Identify and document any perceived or actual material conflicts of interest for its employees, volunteers, third parties and Responsible Persons outside Australia.
26. The standard also requires the Charity to ensure a process is in place allowing staff, volunteers, third parties and beneficiaries to report suspected wrongdoing without fear, recrimination or disadvantage.

External Conduct Standard 4

27. *External Conduct Standard 4 requires a charity to take reasonable steps to ensure the safety of vulnerable individuals overseas. It applies where individuals are:*
 - a. Being provided with services or accessing benefits under programs provided by the charity (whether directly or through collaboration with a third party);
 - b. Engaged by the charity or a third party in collaboration with the charity, to provide services or benefits on behalf of the charity or third party.

Charitable Purpose

28. HAIA Group aims to strengthen humanity's fight against poverty and social injustice through the provision of immediate relief and establishment of self-sustaining development programs.

HAIA Group Board Member Responsibilities

29. Ultimately the HAIA Group Board has total responsibility for all domestic and international activity and the actions undertaken on its behalf by Directors of HAIA Group, Domestic or Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity.
30. The HAIA Group Board members must:
 - a. Have a clear understanding of what domestic and international activity is being undertaken on their behalf;
 - b. Ensure there are appropriate and lawful processes in place to manage the activity being undertaken on their behalf;
 - c. Ensure that the money (less reasonable expenses) is put towards proposed and sponsored projects and pursuing the charity's charitable purpose;
 - d. Ensure information collected from all HAIA Group Charitable activity is received, stored, and used appropriately in accordance, with the current policy framework;
 - e. Ensure Directors of HAIA Group, Domestic or Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity comply with processes put in place by HAIA Group.

Third Party Relationships

31. The HAIA Group Board strives to foster public trust and ensure good conduct in all their aid and development work. The HAIA Group Board has overall responsibility to promote legal and ethical behavior, and to monitor the actions of Directors of HAIA Group, Domestic or Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity to ensure no wrongdoing or impropriety. As set out in this document, HAIA Group Charitable activity is undertaken where there is a heightened risk of corruption, fraud and bribery, and they expect all who are associate with their projects act, and be seen to act, in a way that is honest and transparent.
32. The HAIA Group Board is responsible for the good governance and management of all third-party relationship associated with their international activity. Before entering any third-party arrangement, the HAIA Group Board should, based on circumstances, consider:
 - a. The identified need to enter the third-party relationship having regard to the goals and how forming the proposed relationship might support or provide new opportunities to HAIA Group;
 - b. The processes that would be affected by the proposed relationship;
 - c. The synergy between the vision, mission and values of the parties being considered for partnership and those of HAIA Group and ensure that that align;
 - d. The synergy between the expectations of the purpose and operation of the partnership of the parties being considered for partnership and those of HAIA Group and ensure that that align;
 - e. Undertaking due diligence to help determine:
 - i. The likelihood of bribery, fraud, or corruption;
 - ii. Possible damage to the reputation of HAIA Group;
 - iii. Any apparent conflicts of Interest;
 - iv. Unfavorable financial history;
 - v. Any ramifications to HAIA Group on the third parties' lack of capability to do what is required from the relationship;
 - vi. Nontransparent or suspicious corporate structures and ownership;
 - vii. Insufficient internal technical capabilities and business support capacity.
 - viii. Existing adverse reputation and legal issues;
 - ix. The proposed partner's supply chain at first, second and third tier level;
 - x. Conflicting commentary in third party annual reports and submissions;
 - xi. Perspectives of the intended third-party senior executives, managers, and staff;
 - xii. The extent of the social media presence of the intended third-party;
 - xiii. the intended third-party's employment policies and practices including those relating to subcontractors;
 - xiv. the intended third-party's training and monitoring of its staff;
 - xv. the intended third-party's methods, including how it deals with vulnerable people;
 - xvi. the intended third-party's workplace health and safety policies and records;
 - xvii. the intended third-party's policies and processes to address complaints;
 - xviii. the intended third-party's policies and processes relating to whistleblowers;
 - xix. the intended third-party's compliance with all relevant legislation at federal, state and local government levels;

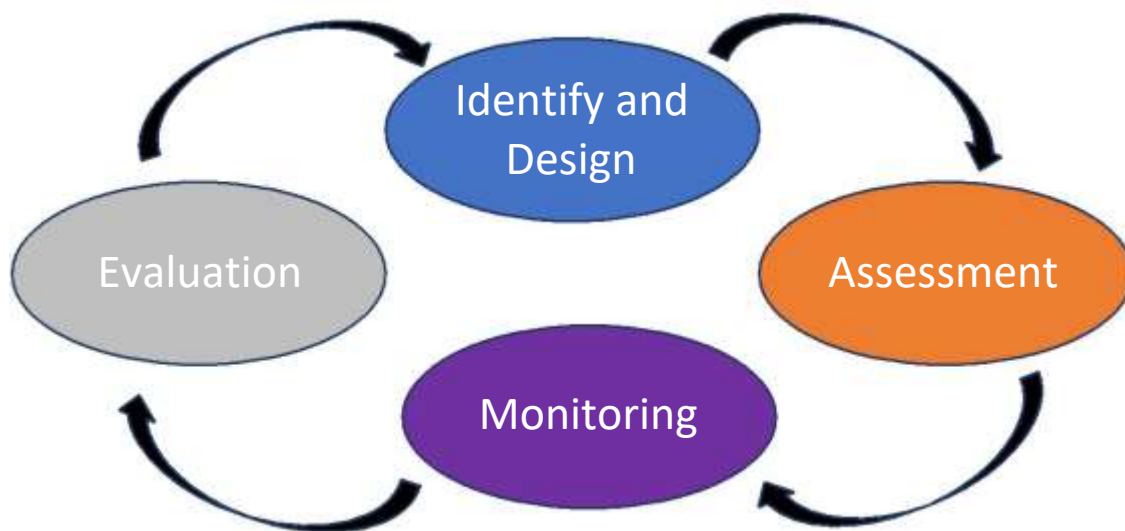
- xx. the suitability and experience of the intended third-party's senior management;
 - xxi. the intended third-party's financial management and business stability;
 - xxii. the intended third-party's processes for quality assurance;
 - xxiii. the intended third-party's policies for data protection including donor and financial information security;
 - f. Problems that may arise in an ensuing supply chain in relation to exploitation and abuse;
 - g. Any failure in transparency that may be created because of the relationship;
 - h. The impact on HAIA Group if disputes occur;
 - i. Any adverse effects on beneficiaries;
 - j. Damage to the Reputation of HAIA Group;
 - k. Financial cost to HAIA Group of the intended relationship including setup and litigation costs;
 - l. Any possible negative effect on HAIA Group staff and registered volunteers;
 - m. Possible failure to achieve the mission and aims of the proposed relationship.
33. Whilst compliance with this policy may identify risks in relation to a possible third-party relationship, the HAIA Group Board has total discretion to enter the relationship based on HAIA Group's risk appetite at the time.
34. The HAIA Group Board must ensure that all third-party arrangements are governed by written and signed contractual arrangements binding those parties to the HAIA Group charitable purpose and policy framework in place at the time.
35. The HAIA Group Board is to conduct reviews, in an appropriate and timely manner, of the arrangements involving Third Party relationships to:
- a. Address issues that arise;
 - b. Identify irreconcilable issues;
36. The HAIA Group Board is to ensure that all activities involving third parties are transparent and allow for reconsideration and renegotiation.
37. The HAIA Group Board has total discretion to extend or renew an existing third-party relationship. When considering the finalisation, extension or renewal of an existing third-party relationship the HAIA Group Board should determine:
- a. If the relationship has achieved its goals;
 - b. That finalisation is appropriate due to expiration of time;
 - c. If the original intent or structure of the agreement has shifted significantly;
 - d. If there is a need to adjust existing goals with the third parties;
 - e. If there is a need to pursue new goals with the third parties.
38. The HAIA Group Board is to ensure that any third-party relationship is capable of being terminated at any time on the discretion of the HAIA Group Board based on risk or failure to meet the agreed requirements.
39. Identifying projects is undertaken by HAIA Group as a two-way process. On one hand, HAIA Group has over two decades experience in international research, studies and development for underdeveloped communities, which are utilised to initiate and tailor certain projects. On the other hand, HAIA Group makes use of the effective partnership with In-Country partners, who are

indigenous in their communities. Through our partnership, they are directed to respond and react to their communities' needs.

40. Currently HAIA Group have long-standing third-party partnerships with In-Country offices who are engaged on contractual basis to help design and implement charity activities on behalf of HAIA Group outside Australia.
41. When contemplating a project proposal, HAIA Group Management are to continually collaborate with In-Country and other third-party partners who are indigenous in their communities. Each project is to be subjected to several stages of development irrespective of the longevity and urgency of the project, namely:
 - a. Identification and design;
 - b. Assessment;
 - c. Monitoring;
 - d. Evaluation.

Project Identification and Design

Project Design



42. HAIA Group co-operate with our in-country partners and work within communities one step at a time to understand and examine what resources are currently available and what type of skills the locals possess. The next element is designing a tailor-made project, which satisfies the need of the community.
43. Development to communities in need will only be achieved through careful strategic planning, timelines, skills, training, and resources. Local communities not only form an integral part of the building and planning process, but also play a significant role in sustaining the project in tandem and in sync with our in-country partners. Additionally, projects are to be customized to ensure that other external factors such as; climate, environment and transportation are taken into consideration. There will be room for feedback and discussions from all parties involved.

44. The HAIA Group Board and HAIA Group management consider themselves to be ‘responsible persons’ of integrity and able to make independent and objective decisions focused on achieving aid and development objectives. The HAIA Group Board and HAIA Group management also understand they have a duty to carefully manage any real or perceived conflicts of interest because reputational damage can affect the whole sector. For this reason, relevant Directors of HAIA Group, Domestic or Internationally based HAIA Group staff, third-party partners, international and domestic contractors and/or sub-contractors and volunteers engaged from time to time by HAIA Group to undertake charitable activity, are to participate in the *Identification and Design, Scoping, Design and Implementation* of proposed or sponsored projects in accordance with this policy and associate procedures.

45. Project Identification and design is the first very essential phase of the project life cycle. By paying attention to the key issues when developing a project within a program framework and turning stakeholder ideas into appropriate project objectives, the foundation is laid for the success or failure of a project proposal (application). This phase covers not only technical project management aspects but also content and qualitative aspects. Focus on aspects such as:

a. Ensuring the application of relevant human resources

A precondition of qualitative project development is to apply relevant human resources. There are three aspects to best describe the best-practice (competence) profile of individuals dealing with project development:

- i. the relevant skills and ability to use the relevant methods;
- ii. the right attitude;
- iii. the necessary knowledge.

If charity staff do not have these skills yet, the charity management must be open to finding and offering learning and skill development opportunities to its staff or source these skills externally.

46. In view of the quality focus about result orientation learning, project management should place more focus on project quality over any technical project management aspects. These include:

a. Skills (To know how):

- i. Facilitation of discussion skills;
- ii. Communication skills including languages (English plus program area languages);
- iii. Project management skills;
- iv. cooperation and intercultural skills;
- v. creativity;
- vi. analytical skills;
- vii. IT skills.

b. Attitude (To know Why):

- i. User friendly approach;
- ii. Open minded;
- iii. Applicant friendly;
- iv. Creative;
- v. Team member orientated;
- vi. Diplomatic;
- vii. Patient;
- viii. Stress resistant;

- ix. Innovative;
- x. Result oriented.

c. Knowledge (To know What):

- i. The overall program framework;
 - ii. Thematic knowledge (about the program's priorities);
 - iii. Territorial knowledge (about the program area and relevant regional and/or macro-regional strategies);
 - iv. Languages spoken in the program area;
 - v. Knowledge about other programs with either geographical or thematic links to one's own program.
47. It is incumbent on HAIA Group Senior Management to Involve Domestic or Internationally based HAIA Group staff as actively and hands-on in project generation as possible to build capacity and capability. The outcomes should be translated into reports not only on how and to which extent the charities staff are involved in project generation but also incorporated into human resources (education and work experience) profiles.
48. HAIA Group's Senior Management should combine a top-down and bottom-up approach in relation to project generation. Through a combination of different project generation activities conducted by the Charity (general/targeted/ thematic) top-down and bottom-up approaches can be combined, and potential project partnerships be supported in getting the right partners on board as well as to define the right scope and content of the project. This and especially the top-down approach naturally demand beforehand a 'gap analyses on the program level, also considering the remaining financial resources in the program's priorities and the fulfilment of program indicators. At the same time, political influence on project generation in the top-down approach should be avoided.
49. HAIA Group's Senior Management should focus project development support on quality and results. By avoiding focus on project development support on purely technical issues and ensure a strong focus on content and quality better outcomes will be achieved. This could result in the need to focus your guidance to project developers on the thematic level with implications to the human resource set-up of the charity and its partnerships. Naturally, this result orientation should also be considered when sourcing partnerships. Project proposal submissions should clearly define and describe which results are sought to be achieved.
50. HAIA Group's Senior Management should promote the use of "pre-assessment" to ensure a better-quality project application especially when seeking approval of more complex projects. Asking project developers to submit a 'project concept note' or a (simplified) draft project application/ description to the Charities Senior Management for a pre-assessment can be used to:
- a. Support the project partnership to better define the project's scope;
 - b. Better focus and ensure a concentration on results;
 - c. Improve the quality of the application;
 - d. Reduce the administrative burden because on the one hand partnerships don't spend time in drafting applications with weak potential for approval and which might fail in the worst case already in the technical admissibility check. At the same time, it prevents HAIA Group

Senior Management and Board spending significant human and time resources in the assessment of such (hopeless) applications.

51. HAIA Group's Senior Management should maintain a focus on streamlining processes and simplify procedures where possible which includes the diminishing of paper-based processes. Other area where administrative burden maybe reduced include:
 - a. reducing co-financing to the absolute minimum;
 - b. Avoid political influence in the project development.

Distribute Best Practices of Project Development

52. To enable future project developers to learn from experiences, from success and also failures of other project developers, best practices of project development (e.g., from the perspective of the project developers themselves) could be collected and made available, e.g., on the program's website. Naturally, physical meetings and exchanges with more experienced project actors are another option
53. A project start-up meeting is to be convened whenever HAIA Group Management or its partners contemplate a new project. The start-up meeting attendees may vary depending on the scale and complexity of the proposed project. Mandatory attendees at this project start-up meeting include:
 - a. The HAIA Group Executive Director;
 - b. A senior Management representative of any intended partnership;
 - c. The nominated Project Manager;
 - d. Staff representing all relevant technical areas of the project which may include:
 - i. Representatives from the project implementation team;
 - ii. Finance team;
 - iii. Procurement team;
 - iv. Communications team;
 - v. Internal sector specialists;
 - vi. Monitoring and evaluation team
 - e. External expertise if deemed appropriate.
54. The purpose of this meeting is to ensure that key Monitoring and Evaluation requirements of the project are met and that key changes (objectives and results) that the project aims to achieve are well understood by all participants involved with the project.
55. The decision to commence scoping a project in accordance with HAIA Group's charitable purpose is to sit with the HAIA Group Board where the overall value of the Project is likely to exceed \$500,000 Australian dollars or its foreign equivalent or where the HAIA Group Board has determined it is prudent for them to make that decision. In all other circumstances, HAIA Group Senior Management are responsible for the decision to commence scoping a project.
56. The HAIA Group Board may terminate at any time a project in the scoping, design or implementation stage. Such a decision and the reasons for the decision are to be minuted in a HAIA Group Board meeting. The HAIA Group Board is to seek external legal advice on any contemplated decision to terminate a project once a contract relating to that project has been signed.

57. Nothing in the HAIA Group policy framework restricts the HAIA Group Board from engaging more than one partner in as given jurisdiction.
58. During the Identification and Design phase of any proposed HAIA Group sponsored project, consideration is to be given as broadly as possible to the inclusion and representation of those who are defined in this document as *Vulnerable Individuals* and those who are affected by the intersecting drivers of marginalisation and exclusion, including but not restricted to, race, religion, ethnicity, indigeneity, disability, age, displacement, caste, gender, gender identity, sexuality, sexual orientation, poverty, class and socio-economic status.
59. During the Identification and Design phase of any proposed HAIA Group project, consideration is to be given as broadly as possible to assessing the risk to child safety the project may have, and how it will be monitored and evaluated at all stages of the project.
60. During the identification and design of a proposed project HAIA Group Management, In-country Partners and respective community members who are likely to benefit are to consider:
- a. The needs of the community in which the proposed project, if successful, would be implemented;
 - b. The collective strengths within the community in which the proposed project, if successful, would be implemented;
 - c. Complementing the existing work of other services providing assistance and if not complimentary having regard to HAIA Group charitable purpose, co-ordinate with those service providers the implementation of any project that is approved and sponsored by the HAIA Group Board;
 - d. Strategies to encourages the community in which the proposed project, if successful, would be implemented, to pool their assets and work together towards the common goal to bring about permanent sustainable development;
 - e. The needs, rights, and barriers to the inclusion of those who are *Vulnerable Individuals* and those who are affected by marginalisation and exclusion in context-specific ways;
 - f. The humanitarian assistance principles of humanity, impartiality, independence, and neutrality;
 - g. The type of skills the members of the local community possess;
 - h. The nature of resources already available;
 - i. What additional resources would be required to support the proposed project;
 - j. Where those additional resources are likely to be sourced and anticipated timeframes in obtaining them;
 - k. Other external factors including but not limited to:
 - i. Climate;
 - ii. Environment;
 - iii. Transportation.
61. Depending on the scope and cost of the project being proposed, any project proposal should include the following sections:
- a. Background information;
 - b. Project Location;
 - c. A 'Needs analysis';
 - d. Aims and Goals;
 - e. Details of the beneficiaries;

- f. Costing and financials;
- g. Timeline for project completion;
- h. Sustainability, - images or designs;
- i. An exit strategy

Project Manager

62. The HAIA Group Board, on a recommendation from HAIA Group Senior management is to appoint a project manager from within HAIA Group, HAIA Group partner employees or an external consultant with the relevant expertise who will provide, amongst other responsibilities, input into the effective identification, scope, and design of any proposed project. If ultimately accepted as a HAIA Group sponsored project and, to ensure continuity, the appointed project manager will continue to have responsibility, tactically, for the ongoing implementation, appraisal and review during the life of the project subject to any significant changes in circumstances.
63. The selection of a project manager for a HAIA Group proposed or sponsored projects is to be based on the most appropriate HAIA Group, HAIA Group partner employees or an external consultant with the relevant expertise for that project based on experience, competency, and technical requirements of the project. The HAIA Group Board may at any time decide to change a HAIA Group proposed or sponsored project manager.
64. The nominated project manager is responsible for, amongst other things:
 - a. Receipt of the HAIA Group charitable funds remitted for a proposed or sponsored HAIA Group project and documenting and filing of receipts and invoices generated in expending those funds;
 - b. Tactical implementation, monitoring and appraisal of the proposed or sponsored HAIA Group project;
 - c. Timely updates, to the HAIA Group Senior management or where appropriate, the HAIA Group Board, dependent on the duration and complexity of the project, of all expenditure of the project;
 - d. Timely updates to the HAIA Group Senior management or where appropriate, the HAIA Group Board on all aspects of the project including issues such as:
 - i. Project creep;
 - ii. Budget variances;
 - iii. Implementation variances;
 - iv. Resource variances.
 - e. Monitoring of all risk controls associated with the project including infiltration by organised crime and providing immediate recommendations to HAIA Group Senior Management when one or more of those controls fail resulting in unacceptable risk. This incurs the implementation of the project's exit strategy;
 - f. Communicate to all relevant stakeholders the objectives of the proposed or formally sponsored HAIA Group project, ensuring that all HAIA Group employees, volunteers and third parties it collaborates with are committed to the project in particular to the safety of children and the protection of *Vulnerable Individuals*;
 - g. Monitoring of Occupational Health and Safety responsibilities on the Project.
65. The appointed project manager may, dependent on the size and complexity of the proposed or sponsored HAIA Group project delegate the execution of elements work for they are responsible

but remains responsible for the accuracy, comprehension and timeliness of the work being delegated.

Monitoring and Evaluation Plans

66. Integral to the project Identification and design is the development of a comprehensive *Monitoring and Evaluation Plan* commensurate with the size and complexity of the project being contemplated. Each Project is to be supported by an appropriate *Monitoring and Evaluation Plan endorsed by the HAIA Group Board*. The *Monitoring and Evaluation Plan* provides a clear vision on how the organization is expected to learn, reflect, and understand the project's impact and the context in which it takes place. A *Monitoring and Evaluation Plan* helps project participants reflect on how the project contributes to their respective learning and strategic plans.
67. The *Monitoring and Evaluation Plan* is the project participants' roadmap to successful implementation of *Monitoring and Evaluation* activities in the project. The *Monitoring and Evaluation Plan* gives clarity and guidance on:
- a. How evaluation questions directly link to programmatic goals;
 - b. Variables needed to measure in order to provide answers to monitoring and evaluation questions of the project;
 - c. Data collection tools for measuring variables, including timeline and responsibility for data collection;
 - d. Processes for data collection and data management, including methods and software to be used;
 - e. How resulting data and information will be used, including identifying the different readers or consumers of monitoring and evaluation products and how they will use these to make decisions, inform future programming, influence policy and learning;
 - f. Staffing needs and other resources needed to implement M&E activities
68. The *Monitoring and Evaluation Plan* is a living document that should be referred to and updated on a regular basis. While the specifics of each project's Monitoring and Evaluation Plan will look different, they should all follow the same basic structure and include the same key elements. *Monitoring and Evaluation Plans* helps staff decide how they are going to collect data to track indicators, how monitoring data will be analyzed, and how the results of data collection will be disseminated both to the donor and internally among staff members. The *Monitoring and Evaluation Plan* must be developed at the beginning of the project, soon after the project startup meeting. It must be developed before any project activities are done and before any monitoring activities are done. A *Monitoring and Evaluation Plan* will help make sure data is being used efficiently to make the project effective and enable to reporting on results at the end of the project.
69. Due to the critically a *Monitoring and Evaluation Plan* has to the success of any project, planning, formulation and authoring skills and resources need to be carefully identified and applied. Having regard to the size and complexity of the project being contemplated these resources may need to be identified outside those currently available to HAIA Group and its partners.

Identify the Project Goal, Objectives and Results:

70. The first step in creating a *Monitoring and Evaluation Plan* is to identify the project goal, objectives and results. Possible Questions to ask when defining a project goal may include:

- a. What problem is the project trying to solve?
 - b. What steps are being taken to solve that problem?
 - c. How will program staff know when the project has been successful in solving the problem?
71. Once the project's goal, objectives and results are defined, the indicators for tracking progress towards achieving the goal, objectives and results can be formulated. Project indicators should be a mix of those that measure process, or what is being done in the project, and those that measure outcomes. Process indicators track the progress of the project. They help to answer the question, "Are activities being implemented as planned?"
 72. A further element of a *Monitoring and Evaluation Plan*, it is articulating the methods for gathering data and how often various data will be recorded to track indicators. This should be a discussion between project staff, stakeholders, and donors. These methods will have important implications for what data collection methods will be used and how the results will be reported. The source of monitoring data depends largely on what each indicator is trying to measure. The project will likely need multiple data sources to answer all of the programming questions.
 73. Another defining element of the *Monitoring and Evaluation Plan* is the succinct description and allocation of roles and responsibilities. It is important to decide from the early planning stages, who is responsible for collecting the data for each indicator. This will probably be a mix of those staff responsible for *Monitoring and Evaluation* of the project and project implementation staff. Everyone will need to work together to get data collected accurately and in a timely fashion. Data management roles should be decided with input from all team members, so everyone is on the same page and knows which indicators they are assigned. This way when it is time for reporting there are no surprises.
 74. Whilst this policy is not intended to definitively describe all elements that maybe included in a *Monitoring and Evaluation Plan* an element of the *Monitoring and Evaluation Plan* that is beneficial is how and to whom data will be disseminated. Data should always be collected for particular purposes in accordance with *HAIA Group's Privacy Policy*. It is important that a plan on how the data and information collected as a consequence of *Monitoring and Evaluation* activities will be utilized and disseminated, both within the project team and externally be set out in the *Monitoring and Evaluation Plan*.
 75. The HAIA Group Board expects that an appropriate *Monitoring and Evaluation Plan* is to be developed before baseline or any other studies done under the project. Further, all staff involved in implementation of the project must print and always carry with them a copy of the approved *Monitoring and Evaluation Plan* when implementing activities.

Assessment and Funding Decisions

76. The assessment of the technical maturity and the quality of the project application provides the responsible committee with the basis for its decision on the strategic relevance of each application and on the projects to be co-financed.

Technical Admissibility Check

77. The relevant decision makers should take into consideration the following best practice:

- a. Insist that project proposals be received electronically and/or limit the papers to be submitted to absolute minimum;
- b. Request the use of an e-signature where available;
- c. Avoid a rejection only for “technical” mistakes for example ‘loose quality’ or poor structure of the submission. The aim is to put more emphasis on the quality of projects than on technicalities. It should be avoided that qualitatively good projects are rejected only for technical reasons as good project ideas might get lost (as no quality assessment will be done due to rejection).

Quality Assessment

- 78. Anticipate elements of a quality assessment will have occurred during the Technical Admissibility check. Whilst emphasizing quality also check that, the project is properly planned and able to manage its implementation.
- 79. Any project proposal to be placed before the HAIA Group Board for consideration should include.
 - a. Background information;
 - b. Specific location information;
 - c. A comprehensive needs analysis the scope of which should be determined by the size and duration of the project;
 - d. Articulated aims and goals of the project;
 - e. Details of anticipated resources required;
 - f. Details of Intended beneficiaries;
 - g. Explicit costings and financial assumptions;
 - h. Implementation timelines;
 - i. Expected completion date;
 - j. Predictions on sustainability;
 - k. Applicable images or designs;
 - l. A proposed exit strategy.
- 80. Smaller, less complex projects to be determined by HAIA Group Senior Management are also to be considered based on a formal proposal, which may contain some or all of the elements set out above based on risk.

Project Implementation and Support.

- 81. Once an application has been approved, the management will support and monitor the project owners in the implementation of their project. As the success of the Program very much depends on the success of its projects, the progress of each project towards its aim and objectives is of equal interest for both project and program. A good relation and supportive communication between the Management’s contact person and the project manager are therefore of high importance.

Focus Support to (and monitoring of) Projects on their Results and Quality

- 82. Some relevant aspects in this regard are:
 - a. Don’t get lost in detail;
 - b. Ask the projects in the progress report to describe the progress towards achieving objectives and results rather in an analytical than descriptive way (e.g., “How do you evaluate your progress?”);
 - c. Pay extra-attention to this self-evaluation by the projects;

- d. Involve external experts where the necessary thematic knowledge is not available in HAIA Group.

Define and promote what is understood by your program as ‘quality’

83. To ensure a fair and equal project support and monitoring a joint understanding of all HAIA Group staff involved in this process of what is meant with ‘quality’, hence what is expected from the projects beyond the purely practical-administrative project implementation (‘money flow without corrective measures’) is absolutely essential. ‘Quality’ could be described as ‘concreteness of results’ or ‘capacity of reaching targets’.

Rather Support than Control Projects

84. The work of the charity with regard to project implementation and monitoring consists of two components, which only in combination ensure success – support and control. ‘Support’ is in this instance can be interpreted as the qualitative and ‘control’ as the technical side. The ‘support’ should aim at helping the projects to achieve its objectives and results. Whereas ‘control’ would focus on practical implementation aspects as reporting, spending rate or alike.
85. The HAIA Group staff supporting, and monitoring project implementation need to have the relevant skills to ensure a quality and result focus. Relevant skills may include:
 - a. Thematic knowledge regarding the program’s priorities;
 - b. Capitalization skills;
 - c. The ability to broaden issues beyond the project/program perspective;
 - d. Project management skills;
 - e. Flexibility and problem solving oriented (creativity to come up with solutions);
 - f. Team spirit;
 - g. Communication, management and coordination skills;
 - h. Desirably a basic knowledge of procurement law and financial rules.

Use of External Experts and the Simplification of Procedures and Reporting

86. HAIA Group Senior Management and the HAIA Group Board should consider using external experts where very specific thematic or other knowledge is required and such competence lacking within the charity. Simplify procedures especially with regard to reporting and payments are desirable. Besides flat rates, pre-payments could be a good way to ensure cash flow especially for smaller project actors. One model is a 50% pre-payment upon receipt of the partner reports by the FLC bodies or upon receipt of the progress report, naturally not for the very first and not the very last report.

Explanation to all project partners the responsibility and duty of the Lead Beneficiary

87. Sometimes Lead Beneficiaries face problems with their project partners not submitting documents or not reporting in time. The reason for this might lie in the fact that project partners don’t have a clear understanding of the Lead Beneficiary’s responsibilities and why the Lead Beneficiary requires the one or the other information, report etc. By increasing the understanding of ‘why’ the project partner is asked by the Lead Beneficiary for the one or the other, also the willingness and speed of response might increase. This could be done e.g., by a seminar for all project partners of one call about the “Lead Beneficiary responsibility” or by regular (once per year/milestone) or one-time meetings of the HAIA Group with project partners from one project, or upon request by a partnership.

Adapt number of reporting periods and deadlines to individual needs of projects

88. Instead of having fixed reporting periods like January-June/July-December, reporting periods could start individually on the first day of project implementation. Based on the project “set” of milestones, projects could be offered the opportunity to choose reporting based on the donor requirements.

Participate in Project Meetings

89. Participation of HAIA Group Senior Management in project meetings, and not only project’s Steering Group meetings, provide a good opportunity to follow the development of the project implementation and to have a more quality insight than just from reading the progress reports. Naturally, this opportunity is limited by human, financial and time resources.
90. All completed project proposals are to be appraised by either HAIA Group senior Management or the HAIA Group Board. This appraisal process should include:
- a. A thorough review and evaluation considering HAIA Group’s:
 - i. Vision;
 - ii. Mission;
 - iii. Aims;
 - iv. Objectives.
 - b. Consultation with the proposed Project Manager;
 - c. Consultation with significant donors to confirm the proposed project meets with their approval regarding:
 - i. Costing;
 - ii. Project timelines;
 - iii. Proposed completion date.
91. If during the appraisal process elements of the proposed project do not adhere to HAIA Group’s vision, mission, aims and/or objectives then discussions with the In-Country partner are to take place to make amendments to resolve those conflicts. Failure to resolve those conflicts must result in the termination of the project proposal. The termination of a project proposal in a community does not preclude the In-Country partner from submitting an alternative project based on community needs however, the new project proposal must conform with this policy as if the alternative project proposal was an original proposal.

Project Monitoring.

92. Monitoring is the systematic process of collecting, analyzing and utilization of information to a project’s progress toward attainment of its objectives and guide the management in decision-making. Monitoring focuses on when and where a project’s activities have occurred, who delivered them and how many people (beneficiaries/ participants) and entities or organizations were reached. Monitoring is done during program design, start-up, and continues during implementation.
93. HAIA Group defines monitoring as a continuous process of collecting and analyzing data to compare how well a project is being implemented against expected results. Essentially monitoring is a measure of performance. Most NGOs use a logical or results framework as a management tool to track progress against targets and improve interventions. Results frameworks require a minimum amount of information to measure performance against results:
- a. Clear articulation of the results;

- b. Starting point or baseline detailing what the situation is at the outset;
 - c. Targets against which to measure progress towards the attainment of the results;
 - d. Indicators to measure progress (quantitative and qualitative)
94. Monitoring is sometimes referred to as process, performance evaluation. At HAIA Group, monitoring is done for these main purposes:
- a. Learning effectively from programming experiences to adjust current practices and improve practices and activities in the future;
 - b. Ensure internal and external accountability of resources used and results obtained and help ascertain value-for-money derived from HAIA Group's resources;
 - c. Help management of HAIA Group taken informed and evidence-based decisions on future projects and programs;
 - d. Empowering of beneficiaries or participants of our programs;
 - e. Sharing evidence of real change and impact from HAIA Group's projects and programs.
95. Monitoring focuses on measuring these aspects of a project or program:
- a. *Outputs*: quantity and quality of implemented. Key questions are: What do we do? How do we manage our activities?
 - b. *Outcomes*: processes and changes from the project. A key question would be: What were the real effects and changes as a result of implementation of activities and projects?
 - c. *Impact*: processes external to the project. A key question would be: Which broader, long-term effects were triggered by activities implemented in combination with other external and environmental factors.
96. Some best practices in monitoring:
- a. Monitoring data should be well focused to specific audiences and uses (only what is necessary and sufficient);
 - b. Monitoring should be systematic and based upon pre-determined project indicators and assumptions;
 - c. Monitoring should HAIA Group look at unanticipated changes in the project – changes in its context and assumptions and risks;
 - d. Monitoring must be timely so that information obtained can be used to make decisions that can lead to adjustment and improvement of the project implementation;
 - e. As much as possible, monitoring should be participatory- involve key stakeholders. This can reduce costs and build community understanding and ownership of the project activities;
 - f. Feedback mechanisms: monitoring findings must be shared with other stakeholders-beneficiaries, donors, government and other CSOs.

Create Synergies between Projects by having a Proper Coordination

97. There are many advantages in having a proper coordination between projects:
- a. The management coordination, efficient use of resources (cost of premises, cleaning etc.);
 - b. The possibility to coordinate activities (common trainings, courses etc.);
 - c. The exchange of information and good practices, the “one-stop-agency” for potential beneficiaries, the intercultural effect and a common location (impact) and sense of collective.
98. However, there are also challenges in having such joint office which are:
- a. A possibly complicated management structure;

- b. Many exceptions;
 - c. Fragmentation (e.g., one invoice paid by four projects);
 - d. Different approaches and requirements set by each project (e.g., reporting times per year);
 - e. Language (challenge in work with the hosting institution, translation of documents etc).
99. Relevant HAIA Group staff and registered volunteers, In-country partners, and their staff and, local community members benefiting from the project, all have a responsibility in relation to the good governance and success of any HAIA Group sponsored project during the monitoring stage. These responsibilities include:
- a. Timely updates to the HAIA Group Board in accordance with the [HAIA Governance Policy](#) on all aspects of the project including issues such as:
 - i. Project creep;
 - ii. Budget variances;
 - iii. Implementation variances;
 - iv. Resource variances;
 - b. Identification of external influences that are likely to impact on the success of the project;
 - c. Continued eligibility of the Charity's beneficiaries Instances of unethical or illegal behavior;
 - d. Instances of noncompliance with HAIA Group Policies or contractual arrangements;
 - e. Appropriate liaison with relevant Government authorities.

Project Evaluation.

100. Evaluation is considered by the HAIA Group Board to be the methodical and objective assessing of a current or completed project, in a systematic way, to judge the quality or worth of the project being assessed, providing evidence that can be used to improve it or improve the design of future interventions. This evaluation may relate to project design, implementation and results individually or collectively. The aim of an evaluation is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability.
101. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. During evaluations information from monitoring activities done is used to ascertain and understand the ways in which the project progressed and stimulated desired change. Ideally Evaluations should help draw conclusions about the projects in relation to the following:
- a. **Relevance:** The extent to which the project is suited to the priorities and policies of the target group, recipient and donor. In evaluating the relevance of a project, it is useful to consider the following questions:
 - i. To what extent are the objectives of the project still valid?
 - ii. Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
 - iii. Are the activities and outputs of the project consistent with the intended impacts and effects?
 - b. **Effectiveness:** A measure of the extent to which a project attains its objectives. In evaluating the effectiveness of a project, it is useful to consider the following questions:
 - i. To what extent were the objectives achieved or are likely to be achieved?
 - ii. What were the major factors influencing the achievement or non-achievement of the objectives?

- c. **Efficiency:** Efficiency measures the outputs—qualitative and quantitative— in relation to the inputs. It is an economic term which signifies that the project uses the least costly resources possible in order to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted. When evaluating the efficiency of a project, it is useful to consider the following questions:
 - i. Were activities cost-efficient?
 - ii. Were objectives achieved on time?
 - iii. Was project implemented in the most efficient way compared to alternatives?
- d. **Impact;** The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. The examination should be concerned with both intended and unintended results and must include the positive and negative impact of external factors, such as changes in terms of trade and financial conditions. When evaluating the impact of a program or a project, it is useful to consider the following questions:
 - i. What has happened as a result of the program or project?
 - ii. What real difference has the activity made to the beneficiaries?
 - iii. How many people have been affected?
- e. **Sustainability:** Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable. When evaluating the sustainability of a program or a project, it is useful to consider the following questions:
 - i. To what extent did the benefits of a program or project continue after donor funding ceased?
 - ii. What were the major factors which influenced the achievement or non-achievement of sustainability of the program or project?

Types of Evaluations

- 102. Evaluation types can be identified based on timing, who conducts the evaluation, and evaluation technicality or methodology. According to timing:
 - a. Formative evaluation: is done during project implementation to improve performance and compliance;
 - b. Summative evaluation: is done at the end of a project implementation to assess effectiveness and impact;
 - c. Mid-term evaluation: occurs mid-way in project implementation and is formative in nature.
- 103. In most cases for a project of 24 months or above, the donor requires some mid-term evaluation after the first 12 months of implementation;
 - a. Final evaluation:
 - i. is summative in purpose;
 - ii. Is conducted at the end of the project;
 - iii. Is often conducted by external evaluators;
 - iv. It assesses if the project achieved its objectives;
 - b. Ex-post evaluations:
 - i. Are conducted sometime after implementation to assess long term impact and sustainability.

Coordinate Actions between Project Authorities and Other Involved Bodies

104. First and foremost, to decide who is leading and coordinating the closure process (in many cases this is quite naturally seen as the Project Manager's tasks). - Draft a division of responsibilities between the involved project authorities and other actors to ensure coordinated actions (to be combined with the project's closure schedule).

Time your Closure Activities Properly

105. Prepare a time schedule with all relevant steps and deadlines for program closure (e.g. last day of eligibility, submission of closure package etc.). In this context it is important to keep in mind that program closure does start already before the last day of eligibility of expenditure and is not finalized with the submission of the closure package to the donor agency.

Inform and involve Associated Projects

106. Best practice in closing projects may include HAIA Group staff:
- a. Including a notion on responsibilities of the projects with regard to project and program closure into any Subsidy Contracts (e.g., the obligation to keep all documentation available until the respective date);
 - b. Making it clear to project participants that their responsibilities do not end with the project closure;
 - c. Provide trainings if necessary to Lead Beneficiaries on project and program closure;
 - d. Participate in project meetings, meetings of the project's steering committee or alike to inform the partnership about the closure process and the project's duties (especially towards the end of a project);
 - e. Preparing closure guidelines/manuals for the projects;
 - f. Ensuring that the relevant knowledge reaches also the project partners beyond the Lead Beneficiary.

Ensure Human and Financial Resources are applied appropriately

107. It should be stressed that program closure is not over with the last day of eligibility of technical assistance under the closing program), nor at the submission of the closure package, but that the closure process may continue far into the following project or programming period. In case a program continues into the next programming period, some resources relating to the old project or program may be taken over into the new program (staff), hence have to be considered when setting up the new implementation structure. The question of human resources is crucial in cases where there is no continuation for the program or where the implementation structures fundamentally change.

108. On completion of a HAIA Group sponsored project, relevant HAIA Group staff and registered volunteers are to provide to the HAIA Group Board in accordance with the [HAIA Governance Policy](#) a comprehensive written report which should include:
- a. Evidence that the project has been completed;
 - b. Evidence that all the funds attributed to the project have been expended;
 - c. Analysis and commentary on:
 - i. The success of the project;
 - ii. Whether or not all the project aims, goals and objectives were met;
 - iii. The ongoing sustainability achieved due to the project;
 - iv. How similar projects maybe improved or enhanced in the future.
 - d. Details on all the beneficiaries of the project;

- e. Final costings;
- f. Any long-term maintenance commitments;
- g. Where applicable, images and photos of the completed project.

Engagement of International Third-Party Partners, International Contractors and/or Sub-Contractors

109. The HAIA Group Board is to ensure the prudent selection of all Third-Party Partners, International Contractors and/or Sub-Contractors through a comprehensive *Enhanced Due Diligence Investigation*, as set out in this document. Evidence in the form of certified copies of all necessary:
- a. Licenses;
 - b. Operating certificates;
 - c. Company, business name or partnership formation documents;
 - d. Insurances;
 - e. Officer bearer identification document.

Review of this Policy

110. This policy is to remain under constant review and any recommendations relating to changes to the Policy are to be forwarded to the HAIA Board of Directors for determination in a timely manner.