**Strategic appraisal**

**of Austrian non-governmental development organisations regarding environmental, gender and social standards**

**(Programme partnerships)**

A comprehensive appraisal of environmental, gender and social standards is mandatory for all bilateral projects and programmes funded by ADA. In the context of programme partnerships, the possibility of a strategic appraisal of the respective non-governmental organisation and their internal organisational strategies (i.e. documentation and processes)[[1]](#footnote-1) is foreseen. Such strategic appraisals are mandatory for strategic partnerships and should ideally also be carried out for framework programmes.[[2]](#footnote-2)

In case of a strategic appraisal, ADA seeks to understand 1) how environmental, gender and social standards are integrated, which challenges are perceived in this respect and how these are addressed, and 2) how potential environmental, gender and social risks are managed by the respective non-governmental organisation. This concerns project and programme planning, assessment of project and programme documents, regular monitoring and steering of projects and programmes. Thus, information about the existing organisational set-up and procedures, technical expertise and resources as well as documentation and knowledge management is highly relevant.

The respective documents and information must be submitted to ADA in accordance with existing formats (see annexes 1 – 3). This submission should be preferable at the stage of programme development (i.e. together with the programme concept), at latest together with the final version of the programme document. If necessary, further documents and/or additional information will be requested by ADA.

In case of positive appraisal of the Austrian non-governmental organisation by ADA, it is assumed that its organisational-level safeguards meet ADA quality criteria respectively that their accordance can be ensured in the framework of the programme partnership. This means that individual measures within the programme partnership will not be assessed separately. If necessary, recommendations and/or conditions will be formulated by ADA, which must be taken duly into account in the framework of the programme partnership (i.e. implementation and monitoring).

The programme partnership progress reports shall comprise concrete information concerning the status of the fulfilment of specific recommendations and/or conditions as well as concerning challenges met and mitigation measures taken. Apart from progress reporting also regular annual meetings with ADA – programme managers as well as advisors for environmental, gender and social standards – must be foreseen.

A new strategic appraisal of the programme partnership is generally scheduled after 5 (for strategic partnerships) to 6 years (for framework programmes). If deemed necessary, an interim review will take place after 2 – 3 years. In case of major strategic or organisational changes within the non-governmental organisation ADA must be informed immediately and the relevant documentation and information submitted for re-assessment.

**Annex 1) – Declaration concerning ADA’s exclusion list**

I herewith confirm in writing, that the non-governmental organisation       has taken notice of ADA’s exclusion list.[[3]](#footnote-3)

I confirm, that

the non-governmental organisation       explicitely excludes any of the methodologies, themes or materials mentioned in this list in any of its projects and programmes.

Place, date Signature

(Managing director)

**Annex 2) – Thematic/quality aspects**

Please explain how the non-governmental organisation       integrates/mainstreams the principles, themes and standards (as listed below) within the framework of its projects and programmes (i.e. planning, implementation, monitoring and evaluation). These explanations concerning the internal organisational strategies and processes shall be provided by concise and substantial descriptions and/or attachement of available documentation.

|  |  |  |  |
| --- | --- | --- | --- |
| **Overarching Policies and Principles**: For further explanations see Environmental, Gender and Social Impact Management (EGSIM) Manual, Chapter 1.2. | | | |
| **Principles and quality criteria** | **Application/integration of principles[[4]](#footnote-4)** | **Reference to relevant documents** | **ADA-comments** *(not to be filled-in by the NGO)* |
| **Ownership** |  |  |  |
| **Do no harm** |  |  |  |
| **Equity, equality and non-discrimination** |  |  |  |
| **Inclusive participation and equal representation of all stakeholders** |  |  |  |
| **Accountability and transparency** |  |  |  |
| **Empowerment** |  |  |  |
| **Sustainability** |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Standards**: For further explanations see Environmental, Gender and Social Impact Management (EGSIM) Manual, Chapter 2. | | | |
| **Project-level standards** | **Application/integration of standards** | **Reference to relevant documents** | **ADA-comments** *(not to be filled-in by the NGO)* |
| **Biodiversity Conservation and Sustainable Natural Resource Management** |  |  |  |
| **Climate Action** |  |  |  |
| **Resource Efficiency and Pollution Prevention Management** |  |  |  |
| **Community Health, Safety and Working Conditions** |  |  |  |
| **Cultural Heritage** |  |  |  |
| **Displacement and Resettlement** |  |  |  |
| **Indigenous People** |  |  |  |

**Annex 3) – Organisational aspects**

Please answer the following questions about processes in the non-governmental organisation     , by concise description and/or attachement of available documentation.

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | **Description** | **Reference to relevant documents** | **ADA-comments** *(not to be filled-in by the NGO)* |
| **Communication and capacities**  How do you ensure the communication of the above-mentioned thematic/quality aspects (annex 2) within your organisation as well as vis-à-vis your local partner(s)?  How do you establish and strengthen required capacities in this respect? |  |  |  |
| **Assessments and monitoring**  How do you assess/ensure the integration/main-streaming of   * principles and quality criteria * environmental sustainability[[5]](#footnote-5) * gender equality and empowerment of women and girls[[6]](#footnote-6) * human rights[[7]](#footnote-7) * project level standards   as described in the EGSIM Manual within your organisation (i.e. in the framework of project planning, implementation and monitoring)?  How do you identify possible risks and conflicts in course of project /programme planning? How are these risks and conflicts monitored during project/programme implementation? |  |  |  |
| **Stakeholder engagement and grievance mechanism**  How do you ensure engagement of all stakeholders during planning, implementation, monitoring and evaluation?  How do you treat grievances of all stakeholders? Which mechanism are in place to enable corrective action and response measures? |  |  |  |
| **Risk mitigation and action plans**  Do you prepare action plans for risk mitigation? Which emergency plans exist for adequate responses to (internal or external) problems in project/programme execution?  Which mechanisms exist for the identification, presentation and steering of problems, obstacles and risks occurring in course of implementation? |  |  |  |
| **Qualifications**  What are the qualifications of the responsible staff members dealing with assessments of thematic/quality aspects?  Do you have assigned focal points for these assessments? |  |  |  |
| **Effectivity of assessment**  How do you ensure and assess the effectivity of your assessment system?  What is the role of the senior management in course of the assessments? |  |  |  |

1. For example, vision/mission statements, position papers, management standards, programme strategies, etc. [↑](#footnote-ref-1)
2. If organisational level safeguards do not exist, a standard appraisal will be carried out. [↑](#footnote-ref-2)
3. The ADA exclusion list is included in the Environmental, Gender and Social Impact Management (EGSIM) Manual, see Annex 1. The EGSIM manual can be downloaded from the ADA website https://www.entwicklung.at/fileadmin/user\_upload/Dokumente/Publikationen/Handbuecher/Environmental\_and\_Social\_Impact\_Management/EGSIM\_Manual\_Juni2018.pdf [↑](#footnote-ref-3)
4. In this respect, it is also possible to provide project examples in order to explain how specific principles, cross-cutting issues, standards, etc. are integrated and/or mainstreamed by the respective non-governmental organisation. [↑](#footnote-ref-4)
5. For further information see relevantADC policy documents, strategic guidelines, manuals and focus papers as well as international standards and conventions. [↑](#footnote-ref-5)
6. ibid. [↑](#footnote-ref-6)
7. Ibid. [↑](#footnote-ref-7)