

Appeal 2003-2004



International Federation
of Red Cross and Red Crescent Societies

MONITORING AND EVALUATION

Appeal no. 01.102/2003

Click on programme title or figures to go to the text or budget

	2003 (In CHF)
1. Organizational Development	798,000
Total	798,000¹

Introduction

The objectives and activities of the monitoring and evaluation division are to contribute to the achievement of the International Federation's results as outlined in its annual priorities, by ensuring that monitoring, evaluation, audit and risk management activities are relevant, effective and implemented to the best international practice of shared learning and accountability. To this end the monitoring and evaluation division fulfils a multiplicity of functions, such as self-assessment of national societies (NSs), evaluation of programmes/policy, risk management and audit, and national society integrity issues.

This appeal stays in line with the current activities and objectives of the monitoring and evaluation division and requests support for continuing development of the existing programmes, development of relevant tools for furthering the work, investment in systems and processes and promoting a culture of learning and accountability.

SELF-ASSESSMENT OF NATIONAL SOCIETIES

Overall Goal

To contribute to building a Federation that is made up of well functioning national societies with capacity to improve the lives of the most vulnerable.

Strategy 2010 called for mechanisms to be established to enable the Federation's governance to actively review the state of its members, while providing timely support to national societies towards achieving the *Characteristics of a well-functioning national society*. To support this priority, in November 2000 the Governing Board adopted the national society self-assessment as an organizational tool and process for monitoring performance and integrity of the national society.

Objectives

¹ USD 574,778 or EUR 546,845.

Objective 1: To assist individual Red Cross and Red Crescent Societies in identifying their strengths/weaknesses and in prioritizing their actions in line with Strategy 2010 and against the characteristics of a well functioning national society.

Activities

- Administering self-assessment questionnaire to 63 national societies (115 out of a total of 178 received the questionnaire in 2000, 2001 and 2002).
- Providing preliminary findings of the 63 completed self-assessment questionnaires.
- Coordinating the content of the findings with the regional departments, legal, organizational development (OD) and other relevant departments of the Federation ensuring a coherent approach.
- Coordinating the content of the findings with regional and country delegations.
- Providing support in preparation of plans of action based on individual feedback to the national society and share samples of best practice.
- Facilitating and supporting the national society in seeking external and Federation support to undertake the plan of action where applicable.
- Piloting the 'connect peers approach' for direct peer support and exchange of experience in four national societies.
- Further developing software and other computer-based systems to manage self-assessment data.
- Providing technical support and training to country and regional delegations to manage the new systems and processes in the field.
- Sharing knowledge and analysis from the self-assessment to create a basis for policy formulation and programming.
- Providing technical support in emerging areas such as monitoring the branches of the national society by sharing experiences from other societies.

Objective 2: To support the Federation's Governing Board in policy and strategy making by providing the means to annually review members' performance against the characteristics of a well functioning national society.

Activities

- Preparing an annual report informing the Governing Board and members of the Federation about the status of the member societies. The report will include analysis of emerging trends in the International Red Cross and Red Crescent Movement, regional trends, and comparison of those. (The report will cover almost all members of the Federation for the first time).
- Alerting the Governing Board about potential performance issues and early warning on integrity issues in the national societies.
- Providing information to monitor the implementation of the *Strategy of the Movement*.

Expected results

To facilitate self-assessment in all national societies of the Federation by the end of 2003.

The following outputs of the project are expected in 2003:

- An annual report on the status of national societies, which will enable societies to improve their performance, and enable the Federation's governance to actively monitor the performance and integrity of all national societies.
- Individual self-assessment reports produced on each national society participating in the process, including recommendations for improvements in the performance of the national society.

Indicators

- All NSs invited to participate in the self-assessment process in 2003 and provide responses to the self- assessment questionnaire.
- All NSs are adequately followed up to received preliminary findings and linking the findings to the societies' own development plan and cooperation agreement strategy (CAS), where applicable.
- Measurement of action taken by the national societies shows high rate of utilization of the findings to support their progress in achieving the characteristics of a well functioning national society.
- A large majority of societies rate the self-assessment as relevant and useful.
- Experiences of the connect the peer approach are documented and it is expanded if needed and the resources exist.

Risks and Assumptions

The following risks may be encountered:

- A few national societies did not respond to the self-assessment.
- Inadequacy of resources to provide follow-up support questionnaire to 178 societies in their findings or action plans.
- Lack of support to the individual self-assessment plans of action from the Federation's structures.
- Need for technical and follow-up support to departments in the Federation as well as the regional/country delegations.
- Critical actions needed by the department to respond to risks are intensified.
- Dissemination about the usefulness of the self-assessment as a tool for planning and closer cooperation of the NSs with regional and country delegations and regional departments.

EVALUATION OF PROGRAMME/POLICY/PROCESS

Overall Goal

To make a significant contribution to the achievement of the International Federation's result orientation by ensuring that evaluations and related analytical functions are:

- relevant to the needs of the International Federation;
- implemented to the highest international standards;
- cost effective; and
- implemented in a collaborative and participatory manner consistent with winning acceptance of the findings by all stakeholders..

Objectives

The evaluation function will continue to provide support to Federation management, delegations, and national societies for result-oriented programming and accountability.

Activities

The ever-changing developing landscape and the accompanying increasing challenges and responsibilities for accountability, performance, quality standards and learning generated intensified evaluation activity throughout 2001. In response to the objectives outlined in Strategy 2010, the evaluation function within the Federation has continued to develop at a significant pace. This development is in line with the global acknowledgement of the critical role of evaluation in organizational performance.

Activities within the evaluation department have focused on the development of simple, relevant approaches to evaluation that primarily emphasize the learning dimension of evaluation secondary to its accountability objectives. In 2002 the overall objective of efforts in this regard was to continue development and implementation of an evaluation system to support efforts of the Federation to

improve the effectiveness of its humanitarian work, and to strengthen organizational shared accountability and learning from the outcomes.

Significant activities in the evaluation department in 2002 included:

- evaluation of the HIV/AIDS programme;
- evaluation of the Russian TB programme;
- evaluation of the Chernobyl Humanitarian Assistance Programme (CHARP);
- evaluation of the Federation's advocacy programme;
- review of arrangements for hosted agencies;
- evaluation of the Federation's response to the Goma emergency;
- evaluation of the performance development review;
- real time evaluation of the South African response;
- evaluation of the Federation's response to the earthquake in India;
- participation in the global accountability initiative;
- preparation of the first edition of the Red Cross and Red Crescent monitoring and evaluation handbook; and
- provision of technical support on evaluation to the Federation and to national societies.

To increase the effectiveness of the evaluation function, activity throughout 2003 will largely focus on more strategic evaluations and capacity building based on the handbook for monitoring and evaluation. While a decision on the precise evaluation exercises to be executed in 2003 is still the subject of consultation, it is likely that a significant proportion of activity will be dedicated to the following priority areas:

- The operational status of the evaluation function continues to be based on and compliant with the approved evaluation framework. This is articulated in the *Operational framework for evaluation*. An internal review of the framework and consultation process will take place in 2003. The output from this review will form the basis of a draft evaluation policy of the International Federation for presentation to the General Assembly in November 2003.
- A mid-term review of Strategy 2010 will be implemented. This is a major exercise and will be an opportunity to provide management with evidence based information on the achievement of the objectives set out in Strategy 2010.
- A review of the Federation's experience in implementing operations according to SPHERE standards.
- The second phase of the evaluation of the response of the Federation to the challenge of HIV/AIDS. The programme is already implemented and reported on in four African countries. The exercise is planned to continue in three other regions to provide as broad as possible review of this programme.
- To disseminate monitoring and evaluation techniques to national societies and delegations, the handbook for monitoring and evaluation will be supported by a series of workshops to enhance the use of the monitoring and evaluation function as a local management tool;
- Continue to support the Federation with evaluation of major operations to distil lessons learned and demonstrate accountability; and
- Undertake evaluation of three major sectoral issues or programme areas and possibly include a review of the experience of the Federation with capacity building. (A consultation process has already begun inviting contributions from departments and delegations to the evaluation workplan in 2003).

Expected Results

The results achieved from the implementation of the evaluation workplan in 2003 are aimed at contributing to the achievement of the following key outcomes:

- a professional organization with the achievement of results as its central orientation;

- an established culture of organizational shared learning supported by evidence based evaluation and delivered in a seamless way;
- readily demonstrable transparency and accountability through the use of evaluation and related analytical activities;
- enhanced capacity and awareness of basic monitoring and evaluation tools in national societies as a support for effective local management; and
- continued awareness of managers and other stakeholders as to whether the Federation is “doing things right and doing the right things.”

Indicators

- Evaluations planned, implemented and reported on time and within the budget.
- The management will extend recommendations implemented from these evaluations.
- The extent to which recommendations from evaluation result in learning opportunities for the entire Federation and improvement in its programmes and operations.
- Support missions to regional delegations result in a set of actions in line with the objectives.
- The evaluation of Strategy 2010 feeds quality information into the discussion of the General Assembly.

Risks and Assumptions

The following risks may be encountered:

- non engagement of stakeholders;
- lack of resources;
- lack of action by senior management; and
- lack of interest in learning lessons, measuring results or demonstrating accountability.

Critical actions needed by the department to respond to risks are continued active advocacy and support for the evaluation function throughout the Federation and timely approval of the budget to facilitate early planning.

RISK MANAGEMENT AND AUDIT

Overall Goals

In the context of the Strategy for Change in the Secretariat, the risk management and audit department sees itself as an agent for change, a partner of management committed to the continuous improvement of programme performance, responsible administration of human and financial resources, and a culture of accountability and transparency.

Internal auditing, by its nature, has a certain deterrent effect. All sizeable organizations need a visible oversight office to remind them of rules and regulations which must be observed. Modern internal auditing, as the Federation practises it, aims to be proactive and not just reactive, and preventive not just detective.

During the last few years, the risk management and audit department has helped improve management, and has become a recognized and accepted component of the management culture of the organization.

Objectives

Objective 1: Strengthening national societies to deliver services and advocate on behalf of vulnerable people (representation and advocacy are covered here).

Activities

- Support five national societies in improving their financial systems, internal controls, and risk management.
- Assist five national societies in the development of their own internal audit function.
- Link all the existing audit departments of the NSs, promoting coaching agreements between them.
- Carry out direct management support missions by risk management and audit to national societies upon request.

Indicators

- A number of national societies are satisfied with the support received.
- A number of national societies with an internal audit function as a result of assistance received.
- A number of national societies are linked and actively coaching their staff members..

Objective 2: Coordination, cooperation and strategic partnership

Activities

- Coordinate 30 external audits, issue 15 certifications of financial statements to meet the requirements of donors and the national societies.
- Assist three national societies in carrying out regular external audits of their full annual accounts, management audits, and follow-up audits on the implementation of plans of action and recommendations.

Indicators

- Number of audit requirements are dealt with.
- Number of NSs are satisfied with the assistance received.

Objective 3: Governance support

Activities

- Support and reporting to the Secretary General, steering committee and other working groups of the Federation.
- Support and reporting to the finance commission and other governing bodies of the Federation.

Indicators

Some 200 hours devoted to the support of and reporting to the Secretary General, steering committee and other working groups of the Federation. Activities will commence in April and September 2003.

Objective 4: Support to Secretariat management (international disaster response activities covered here).

Activities

- Conduct four internal audits of the Geneva-based Secretariat, and field operations and offices, and follow up on recommendations on a quarterly basis.
- Conduct two management audits and internal consultancy assignments for the Secretariat.
- Investigations into allegations of fraud, waste, and abuse, upon request.
- Launching of the risk management model in early 2003.
- Monitoring the change strategy implementation plan, and its associated risks in June and December 2003.

Indicators

- 90 per cent of auditees satisfied with the service; 90 per cent of recommendations accepted by management.
- 100 hours devoted to investigations.

- Major risks identified and a mitigation action in progress.
- Achievements of objectives and progress on implementation of the plan monitored. Major problems identified and recommendations made.

Expected Results

Expected results are an implementation of the risk management model, establishment of the network of internal auditors of the Movement, improvement in financial systems, internal controls, and risk management of national societies, and improvement in internal control system of the Secretariat and field offices.

Risks and Assumptions

The major risk identified is the failure in handing over effectively operational and financial management from Geneva-based Secretariat to regional delegations and national societies. Critical action needed by the department to respond to risk is implementation by risk management and audit of the proposed methodology for risk management, monitoring, and evaluation of the Change Strategy implementation plan for the Secretariat, and of related plans developed by every division.

PROTECTION OF NATIONAL SOCIETY INTEGRITY

Overall Goal

To ensure the existence of adequate mechanisms for monitoring the integrity of national societies and procedures for rectifying any problems that may arise, thus ensuring that the Red Cross/Red Crescent Movement maintains its position and profile in the humanitarian sphere.

Objectives

- Facilitate the identification and analysis of integrity issues faced by national societies.
- Support national societies facing integrity problems in the process of addressing such issues by providing advice, expertise, and resources and sharing of experience and knowledge from other national societies who have been in similar situations.

Activities

Building the capacity of national societies and protecting their integrity have been important agenda items of the General Assembly and the Governing Board since 1993.

In a number of decisions of the statutory bodies, the types of integrity were classified and a systematic approach to protect the integrity of national societies was promoted.

The types of integrity problems facing national societies can be summarized as follows:

- violation of the Red Cross/Red Crescent fundamental principles.
- government interference in the national society's affairs.
- inappropriate statutes or non-observance of statutes.
- mismanagement of the society's resources.
- non-performance in helping the vulnerable people.

The activities to be taken in 2003 to address these issues include:

- Establishment of an interdepartmental integrity task force with the goal of guiding individual departments and staff in their handling of national society integrity issues.
- Provide a sounding board for reflection on individual cases of NS integrity.
- Taking initiatives to deal with certain systematic types of issues on a Federation-wide basis.

- Assist in the preparation of reporting to the Federation Governance/General Assembly on the types of problems faced by member societies as well as the types of actions taken by the Secretariat to address these problems (Decision 7 of the October 1994 Session of the Executive Council).
- Establishment of a group of mediators (10) from national society leaders (including some from the Governing Board) to mediate and advise national societies facing integrity problems, at the request of the President, the Governing Board and the Secretary General.

Expected Results

- Systematic approach of the Federation in supporting the protection of national society integrity.
- Effective support to national societies facing integrity problems and measured progress in addressing those problems.
- Regular reports to governing bodies on national societies facing integrity problems and update on actions taken.

Indicators

- Well-functioning internal task force and consistency in follow-up of implementation of advice and recommendations.
- National societies satisfied with the support they receive.
- Number of national societies that were able to address and overcome their integrity problems.
- Focused discussion of the governance on the problems of national society integrity.

Risks and Assumptions

The primary risk identified is lack of support for addressing the integrity issues from the Secretariat's structures and national societies.

Budget Rationale

The monitoring and evaluation division requests support for continuing refinement/development of the existing programmes, development of relevant tools for furthering the work, investment in systems and process and promoting a culture of learning and accountability. Continuation of existing programme or activity is funded by the cost centre budget, however, development of tools or investment in systems and process and promotion is requested from the global programme budget.

<Budget below - [Click here to return to the title page](#)>

BUDGET 2003

PROGRAMME BUDGETS SUMMARY

Appeal no.: 01.102/2003

Name: Monitoring & Evaluation

PROGRAMME:	Organisational Development	Health & Care	Disaster Management	Humanitarian Values	Federation Coordination	International Representation	Total
	CHF	CHF	CHF	CHF	CHF	CHF	CHF
Shelter & construction	0	0	0	0	0	0	0
Clothing & textiles	0	0	0	0	0	0	0
Food	0	0	0	0	0	0	0
Seeds & plants	0	0	0	0	0	0	0
Water & Sanitation	0	0	0	0	0	0	0
Medical & first aid	0	0	0	0	0	0	0
Teaching materials	0	0	0	0	0	0	0
Utensils & tools	0	0	0	0	0	0	0
Other relief supplies	0	0	0	0	0	0	0
SUPPLIES	0	0	0	0	0	0	0
Land & Buildings	0	0	0	0	0	0	0
Vehicles	0	0	0	0	0	0	0
Computers & telecom	0	0	0	0	0	0	0
Medical equipment	0	0	0	0	0	0	0
Other capital exp.	0	0	0	0	0	0	0
CAPITAL EXPENSES	0	0	0	0	0	0	0
Warehouse & Distribution	0	0	0	0	0	0	0
Transport & Vehicules	0	0	0	0	0	0	0
TRANSPORT & STORAGE	0	0	0	0	0	0	0
Programme Support	51,870	0	0	0	0	0	51,870
PROGRAMME SUPPORT	51,870	0	0	0	0	0	51,870
Personnel-delegates	270,000	0	0	0	0	0	270,000
Personnel-national staff	0	0	0	0	0	0	0
Consultants	139,000	0	0	0	0	0	139,000
PERSONNEL	409,000	0	0	0	0	0	409,000
W/shops & Training	174,130	0	0	0	0	0	174,130
WORKSHOPS & TRAINING	174,130	0	0	0	0	0	174,130
Travel & related expenses	34,000	0	0	0	0	0	34,000
Information	118,000	0	0	0	0	0	118,000
Other General costs	11,000	0	0	0	0	0	11,000
GENERAL EXPENSES	163,000	0	0	0	0	0	163,000
TOTAL BUDGET:	798,000	0	0	0	0	0	798,000