

Appeal 2005



MONITORING AND EVALUATION: IMPACT AND EFFECTIVENESS

Appeal no. 05AA092

Appeal target: CHF 664,812¹

The International Federation's mission is to improve the lives of vulnerable people by mobilizing the power of humanity. The Federation is the world's largest humanitarian organization, and its millions of volunteers are active in over 180 countries. All international assistance to support vulnerable communities seeks to adhere to the Code of Conduct and the Humanitarian Charter and Minimum Standards in Disaster Response, according to the SPHERE Project.

This document reflects a global programme and related activities to be implemented in 2005, and the related funding requirements. For further information concerning this programme please direct enquiries to the following: Mathew Varghese, Monitoring and Evaluation Department; phone: +41 22 730 4571; email: mathew.varghese@ifrc.org

For programmes and operations in other countries or regions, please also access the Federation website at <http://www.ifrc.org>

Click on figures below to go to the detailed budget

Programme title	2005
Organizational Development	664,812
Total	664,812

Context

The goal of the Monitoring and Evaluation Department is to provide an objective basis for assessing the impact of the work of the International Federation, measure progress towards the objectives, and identify and disseminate lessons learned from experience. Within the Federation monitoring and evaluation has two dimensions:

- National Society Self-Assessment; and
- independent evaluations that measure impact in relations to policies, strategies and the goals set for major operation.

The Department aim is to deliver monitoring and evaluation products and services of the highest quality that reinforce accountability, transparency, and organizational learning of both member societies and the Federation Secretariat.

¹ USD 570,081 or EUR 437,634.

Monitoring and Evaluation; Annual Appeal 05AA092

The Department has, over the past four years, developed an increasingly rigorous system of evaluation, and has continuously improved the Self-Assessment tool. The results, plans and expected outputs for activities, and further development of the Self-Assessment through standard setting and peer review, are elaborated below.

Self-Assessment of National Societies

Background

Strategy 2010 outlined the need to have a Federation-wide monitoring system to support national societies in achieving the 'Characteristics of a Well-Functioning National Society'. The Self-Assessment process was designed as a monitoring system that:

- encourages discussions within and across organizations;
- identifies strengths and weaknesses of members and of the Federation as a whole;
- documents best practice;
- reports that feeds into policy discussion and provides baseline information for better programming;
- process that builds a culture of transparency and accountability; and
- provides means to measure the work of International Federation and national societies.

Since its inception in 2000, National Society Self-Assessment has achieved global coverage, is universally accepted and has become institutionalized. The process was recently cited by the Harvard Business School website as a best practice (HBS case N9-503-059). Other federated organizations have approached the Monitoring and Evaluation Department to adapt the system for their own institutions. Large corporations such as Coca-Cola have requested and used the system to assess their social responsibility programmes.

The first round of the Self-Assessment process was completed between 2000 and 2004 and all 181 national societies were invited to participate. It thus created, for the first time, a comprehensive global picture of the state of the member societies in relation to agreed upon performance criteria. The launch of the new Self-Assessment round in September 2004 will enable the Secretariat to monitor changes and measure progress made in achieving the characteristics of a Well-Functioning National Society.

A FedNet platform (see Annex - 1) for the Self-Assessment, expected to be launched in 2005, will lead to significant improvements in the knowledge sharing, organizational learning, and problem-identification and response speed capacities of the system. It will, in addition, allow national societies to perform online comparisons with the rest of the Federation members globally or regionally in relation to key criteria. The detailed plan of activities and expected results of the Department in 2005 is outlined below.

Overall Goal: to assess and measure progress in building a Federation composed of well functioning national societies with capacity to improve the lives of vulnerable people.

Objective 1: to assist national societies to measure themselves against set standards and provide support through peer reviews to achieve the Characteristics of a Well-Functioning National Society.

- implement the self assessment and peer review to all national societies.
- provide individual Self-Assessment reports to each society; co-ordinate the content with relevant parts of the Federation to ensure maximum local relevance to capacity building.
- manage the peer review process to support exchange of experience and compliance to standards (see Annex - 2).
- provide support in monitoring the branches of national societies when requested.

Objective 2: support the Federation Governance in policy and strategy making by providing the means to annually review the members' performance against the Characteristics of a Well-Functioning National Society.

- prepare an annual report informing the Governing Board and members of the Federation about the status of member societies with respect to the issues identified as critical by the *Characteristics of a Well-functioning National Society*, *Strategy 2010*, and *Strategy for the International Red Cross and Red Crescent Movement*. In addition to the analysis and comparison of global and regional trends, the *Self-Assessment Report 2005* will include an analysis of the progress achieved by the national societies in the past three years (for a summary of 2003 Annual Report, see Annex - 3).

- alert the Governing Board about potential performance issues and early warning on integrity issues in national societies.
- provide information to monitor the implementation of *Strategy 2010* and *Strategy of the Movement* by national societies.

Objective 3: contribute to organizational shared learning and enable member societies to compare their status with regard to global trends, be they thematic or geographical.

- create a Self-Assessment platform on the FedNet, enabling national societies to: a) fill out a Self-Assessment questionnaire online; b) compare themselves with other national societies globally or regionally in relations to about 10 criteria; c) be informed when the answer submitted to a certain question is not in line with Federation policies or guidelines, and directed to the policy or guideline in question; d) access all previous Self-Assessment material: previous questionnaires filled, Self-Assessment findings, Action plans, etc.; and e) post any material relevant to Self-Assessment, including updates when particular issues identified by the Self-Assessment have been addressed (Annex 2).
- enable selected donors, Federation departments and delegations to access the National Society Self-Assessment data through the FedNet platform, thus providing a basis for improved planning and targeting of activities.

Expected results:

- improved performance and accountability of the members through self action and from support provided through other members of the Federation network.
- measurable progress against the baseline established through the first round with regard to: program impact; integrity and image; volunteer management, recruitment and retention; diversity through representation of women and branches in governing bodies; financial management and accountability; monitoring of branch performance; financial stability; and good governance systems.

Evaluation

Background

Systematic evaluation of policies, programs, projects, and processes are vital for improving performance accountability, lesson learning, policy refinement, and, ability to deliver results. The evaluation function in the International Federation is thus an important management tool and an essential aspect of good governance.

The evaluation function, first and foremost, enables the International Federation to measure the impact of its programmes and operations, learn from experience, take informed decisions, and account for its actions, thereby improving its capacity to fulfil the mission to improve the lives of vulnerable people. In general, evaluations at the International Federation contain two elements: a) examining past performance to determine the *degree* of success or failure; and b) improving future performance by determining the *reasons* for success or failure.

Thus, evaluations at the Federation contribute to its overall success by finding what works and what does not work, by providing objective advice to the Board, management, and staff, by building an impact-oriented culture, and by helping the Federation Secretariat, members, and partners learn from the experience.

Objectives: The evaluation function aims to enhance the capacity of the Federation to improve lives of vulnerable people through excellence and independence in evaluations. The objectives of the evaluation function are to:

- provide an objective basis for assessing impact;
- improve policies, programs, projects, and processes by identifying and disseminating the lessons learned from experience and by making recommendations drawn from evaluation findings; and
- help provide shared accountability for the achievement of the Federation's objectives.

Activities:

In response to changing development landscape and increasing pressures to demonstrate transparency, accountability, and effectiveness, the evaluation activity in the International Federation has intensified throughout the past year. Significant projects in the Evaluation Department in 2004 included:

- evaluation of the HIV/AIDS programme (final phase);

Monitoring and Evaluation; Annual Appeal 05AA092

- dissemination of the lessons learnt from Review of the Federation's response to the Iraq crisis;
- evaluation of the 5th Pan African Conference Declaration and the development of the forward looking strategy paper;
- final evaluation of the Southern African Food Insecurity Programme;
- preparation study on the evaluation of *Strategy 2010*;
- evaluation of the Federation's Pan American Disaster Response Unit (PADRU);
- evaluation of the Iran earthquake;
- initiation of the multi-country review of the impact of Strategy 2010 on health;
- translation of the first edition of the Red Cross and Red Crescent Monitoring and Evaluation Handbook into three languages and supporting NS in its use;
- increasing provision of technical support on evaluation to the Federation and to national societies; and
- training for selected national societies on monitoring and evaluation.

The evaluation exercises to be executed in 2005 will focus on impact and will be supplemented with a chapter on impact within the Monitoring and Evaluation Handbook including regional trainings on impact. A significant proportion of activity will be dedicated to the following priority areas:

- a mid-term review of *Strategy 2010*. 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;
- dissemination of monitoring and evaluation techniques to National Societies and delegations. The *Handbook for Monitoring and Evaluation* will continue to be supported by a few workshops on impact;
- evaluation of major operations, to assess impact, distil lessons learned and demonstrate accountability;
- evaluation of major sectoral issues or programme areas, possibly including 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 work plan for next year); and
- monitoring of the Strategy of the Movement.

Expected results:

The implementation of the evaluation work plan in 2005 will contribute to the achievement of the following key outcomes:

- an organization which measures impact of its work on beneficiaries;
- readily demonstrable accountability and transparency in the performance management of the Federation;
- established culture of organizational shared learning supported by evidence-based evaluation;
- enhanced awareness of basic monitoring and evaluation tools in national societies and increased capacity to implement them;
- continued awareness of managers and other stakeholders as to whether and when the Federation is "doing things right and doing the right things;" and
- a results-based system implemented throughout the Federation.

[Please find detailed budget and annexes below; click here to return to the title page and contact details](#)

Annex 1

Strengthening National Societies: Building on Self-Assessment through Peer Review²

Overview:

² This paper draws heavily from the paper prepared for the Steering Committee for Humanitarian Response by Wayne McDonald, Head – Planning and Evaluation Unit, ICRC titled 'Accountability and Peer Review: Towards a First Concept' (2002).

Effective service to the vulnerable requires well-functioning national societies. The Self Assessment has now been established as the institutional tool to monitor society's progress to achieve the Characteristics of a "Well Functioning National Society".

The purpose of this paper is to outline a framework and methodology for managing peer review at the International Federation for greater impact from self assessment.

The self assessment Peer Review aims to:

- a. improve co-operation between societies through mutually supportive Peer Reviews;
- b. provide a mechanism to institutionalize knowledge sharing, standards of accountability and mutual co-operation;
- c. use peer support to persuade societies to progress towards achieving the "Characteristics of a Well-Functioning National Society".

The Foundation for Peer Review – Self Assessment:

The Self Assessment system was created to (a) assist societies in the identification of their strengths/weaknesses, (b) provide a means for societies to demonstrate their accountability and commitment to results, and (c) enable the Governing Board to review members' performance against the *Characteristics of the Well-Functioning National Society*.

There are three mutually reinforcing elements, which are used in the Self Assessment process. Firstly, *global indicators which are locally relevant*. Given the diversity of the national societies and the accompanying variables, it is not possible to have a standard prescription. Therefore, an individual approach is taken for each national society report. These reports are guided by best practices and knowledge of what has worked in the past. The individual assessment report acknowledges the challenges and opportunities of each national society when compared to the characteristics of a Well-Functioning National Society. The second element for Self-Assessment is *trust*. This element emphasizes the importance of conducting assessment in a trusting environment and building on that trust for future collaboration. It is also important that the societies remain honest of their weakness in order to mobilize external support to address those issues. The third essential element requires that Assessment remain a *national society owned process*; providing transparency and accountability while at the same time avoiding politicization of the assessments. Societies are encouraged to share the results of self assessment with other societies to foster transparency as well as link assessment to capacity building support.

Since the launch of the Self Assessment in 2000, the acceptance, ownership, depth and intensity of the application has significantly intensified. The greatest benefit from the Self-Assessment is the evolution of transparency and openness among societies. Almost all member societies of the Federation have gone through Self-Assessment process during the last four years; the response rate to date is above ninety-five percent. While the intensity and vigor of the self-analysis varies across regions, efforts to standardize the quality of this emergent initiative are under way.

Self Assessment Peer Review as currently applied:

Peer Review is an assessment and guidance to the performance and accountability of a national society by other societies. The goal is to help the reviewed Society improve its performance, adopt best practices and receive guidance to implement established standards and principles. National societies are assessed by the standards found in the Characteristics of a Well-Functioning National Society, conformity to policy guidelines or implementation of binding principles.

For national societies, peer reviews help in learning from similar experience of peers and act as a 'soft enforcement' system. This system is proving to be well suited for the organizational structure of the Federation, which upholds a history of cooperation within the network and has limited enforcement mechanisms.

The International Federation has a wealth of experience in peer review exercises in areas of integrity issues and organizational development. The most recent example is the peer review of the South African and Namibian national societies with the Secretariat playing a facilitating role.

Methodology and Operational Framework:

Monitoring and Evaluation; Annual Appeal 05AA092

The methodology and structure for conducting peer reviews set below are developed and refined in the light of the experience from the pilot exercise. The following guide the reviews:

- a. *Completion of Self-Assessment*: societies participating in the peer review process should have completed the Self Assessment process. This includes (i) completion of the Self-Assessment questionnaire, (ii) reception of a set of findings based on the response to the Self-Assessment questionnaire, and (iii) written comments containing clarification/confirmations on the findings.
- b. *Voluntary involvement*: participation in the peer review process requires a decision or request by the National Society stating their willingness to carry out the peer review or the acceptance of an invitation to participate from the Secretariat³.
- c. *Discussion and agreement on methodology, criteria and standards*: Once the decision is taken to proceed with the peer review, a term of reference (ToR) would be prepared jointly by the society and Secretariat for the review. This ToR outlines the methodology, which may differ from one Society to another. The main criteria against which the assessment would be conducted are the Characteristics of a Well-Functioning National Society. In addition, ToR's could also include examination of the country's implementation of Strategy 2010 and compliance with policy guidelines of the International Federation and those set out by the Council of Delegates.
- d. *Role of the peer Societies and the Secretariat*: peer review is the combination of the activity of several actors: (i) The reviewed society⁴-- participation here imply the agreement to co-operate with peer societies and the Secretariat by making documents and information available, responding to questions and requests for comments, facilitating contacts and hosting on-site visits. Individuals responsible for participating on behalf of the reviewed society could include members of the board of governance, Secretary General, key staff and representatives from branches. The reviewed society also contributes to the financing of the review. (ii) The reviewing society – a single senior person will represent the peer societies. Generally, the choice of the person will be decided by a rotation system among member societies, although the particular knowledge of a society relevant to the review may be taken into account. The role is to represent the International Federation and to provide guidance in discussions. The task includes the examination of relevant documentation and participation in discussions with the reviewed society. The peer reviewers have the duty to be objective, fair and free from any influence that would undermine the credibility of the peer review mechanism. (iii) The Secretariat – the role of the Secretariat is to facilitate the entire review process. This includes producing the documentation, organizing meetings with the help of the reviewed society, stimulating discussions, informing the review team of quality standards and maintaining continuity through paper track. The Secretariat feeds the review team with best practice from similar reviews and provides substantive technical inputs for the review.
- e. *Procedures leading to the final result of the peer review*: These procedures will vary depending on the national society and will rely more on practice knowledge than a set of formally adopted rules and practices, due to the diversity among societies. However, the review will have to go through two distinct phases. (i) preparatory phase: completion of the Self-Assessment process and preparation of an agenda for discussion based on the findings of the Self Assessment. (ii) consultation and assessment phase: between the three parties of the review, the reviewed society, the reviewing society and the Secretariat, the Self Assessment report and its comments are shared and the examiners discuss the report in a plenary meeting. The final report is made by consensus and any differences among the participants are stated. The final report is owned by the reviewed society, which is committed to its recommendations. This forms the basis for follow-up monitoring and subsequent peer review.
- f. *Frequency of the Peer Reviews*: similar to the Self-Assessment; all societies which are members of the International Federation will participate in the peer review over a four year cycle.

Potential benefits from the Peer Review:

Areas of purpose to be served by peer review are:

- a. *Sharing knowledge and experience*: peer review is a mutual learning process in which best practice is highlighting and exchanged. The system would support the creation of a knowledge network within the

³ Should the number of response be large then the Societies will be selected based on a set of indicators such as: National Society commitment and track record, capability of the Society to respond to local vulnerabilities and disasters, country socio-economic factors and perceived level of risk from natural disasters or conflict.

⁴ The Secretary General's office should coordinate the peer review in-country, however, inputs and consultation should take place with governance, senior management and volunteers from branches. Planning/evaluation or similar departments of the National Society would be uniquely placed to provide support to the SG's office before and during the process.

International Federation, as information collection, analysis and documentation is one function envisaged in the review process.

- b. *Capacity building*: the system promotes a model of learning from experience and therefore serves as an important capacity building instrument. The identification of areas which require improvement in governance and management would facilitate better coordinated responses from members of the movement.
- c. *Accountability*: one of the functions of Peer Review is to monitor and enhance compliance by societies to internationally agreed policies and principles.
- d. *Transparency*: the reviewed society has the opportunity in the course of the review to present and clarify practices and explain their rationale. The combination of enhanced transparency and accountability would result in better donor support to national society programs.
- e. *Improves program focus*: helps to set priorities and encourage societies to further focus their activities and realign their program towards *Strategy 2010*.
- f. *Prevention of integrity issues*: serve as an early monitoring and corrective system to ensure Federation credibility with regard to the integrity and image of societies.
- g. *Mutual trust*: since the Peer Review is based on cooperation and non-adversarial processes, mutual trust becomes a vital feature.
- h. *Ownership*: a national society owned and led process will empower Societies to guide the actions needed to achieve the Characteristics of a Well Functioning National Society.

In conclusion, peer reviews have the potential to serve as an additional stimulus in making the National Societies more collaborative, accountable, better performing and better managed and governed.

Annex 2

SELF ASSESSMENT ON FEDNET

Objectives:

1. To enable national societies to fill out Self-Assessment questionnaire online, receive real-time warnings when their answers are not in line with the Federation policies or guidelines, compare themselves with the rest of Federation members (globally or regionally) in relation to key specified indicators (attached), and access and submit the Self-Assessment material on the FedNet.

National societies should be able to:

- fill out Self Assessment questionnaire online. This feature will enable page-by page saving, so that not the whole questionnaire has to be filled in one go. Once completed and submitted, it will not be possible to change the questionnaire without authorization.
- compare themselves with the rest of the National Societies globally or regionally in relations to key indicators tested and agreed by the Federation Members.
- when the answer submitted by the National Societies in relation to a certain question is not in line with the Federation policies or guidelines, be informed of it and directed to the policy or guideline in question.
- access all previous Self-Assessment material: previous questionnaires filled, Self-Assessment findings, Action plans, etc.
- follow up to Self-Assessment: notification to the Evaluation Department when the particular issue identified has been addressed
- post any material relevant to Self-Assessment
- sent direct messages to Evaluation Department (maybe separate self-assessment@ifrc.org address, forwarded to focal point in the ED)

2. To enable Federation members and Secretariat departments to access the National Societies' Self-Assessment data, so that the information collected can be fed directly into the planning processes.

- enable authorized users to access full Self-Assessment data set in Excel.
- allow for specific question or issue search (for instance, date of Statutes adoption for all or specific National Societies, or financial management data).

Monitoring and Evaluation; Annual Appeal 05AA092

3. To enable Evaluation Department to post any additional questionnaires online to be filled by national societies.

KEY INDICATORS FOR COMPARISON WELL FUNCTIONING NATIONAL SOCIETY SELF ASSESSMENT

1. Good Governance (Representative and Democratic)

- Statutes are updated, and
- Election requirements for Governing Board members are clear and are fully complied with, and
- Guidelines on the separation of roles of governance and management that are fully complied with, and
- Meeting statutory requirements on the convening of Governing Bodies. and
- Representation of women, minorities and members from branches in Governing bodies.

2. Sustainable Financial Management

- Diversified source of income (share of international income or government income not higher than 50%, when controlled for funds received for emergency response.) and
- Local private donations and fundraising form at least 30% of National Society's budget.

3. Branch Network

All or most branches are functioning well, and mechanisms to monitor and review the operations and activities of branches exist.

4. Volunteer infrastructure

Volunteering policy exists, and annually updated database or records on volunteers exist, and Excellent or strong performance of National Society in terms of volunteer recruitment and retention as compared to other main volunteer based organization in the country.

5. Accountability, Integrity and Image

Financial statements are annually produced, externally audited and publicly available, and mechanism to monitor integrity and image in place, and the National Society has not experienced any integrity problems in the last five years, and excellent or strong image as compared with other main humanitarian organizations in the country.

6. Beneficiaries are better off.

Increase in the number of beneficiaries, and national society regularly reviews and evaluates the impact and the quality of service to beneficiaries.

BUDGET 2005

PROGRAMME BUDGETS SUMMARY

Appeal no.: 05AA092

Name: NATIONAL SOCIETY SELF ASSESSMENT

PROGRAMME:

	Health & Care	Disaster Management	Humanitarian Values	Organisational Development	Coordination & Implementation	Emergency	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	0	0	0	43,212	0	0	43,212
PROGRAMME SUPPORT	0	0	0	43,212	0	0	43,212
Personnel-delegates	0	0	0	326,500	0	0	326,500
Personnel-national staff	0	0	0	0	0	0	0
Consultants	0	0	0	71,500	0	0	71,500
PERSONNEL	0	0	0	398,000	0	0	398,000
W/shops & Training	0	0	0	50,000	0	0	50,000
WORKSHOPS & TRAINING	0	0	0	50,000	0	0	50,000
Travel & related expenses	0	0	0	35,000	0	0	35,000
Information	0	0	0	120,000	0	0	120,000
Other General costs	0	0	0	18,600	0	0	18,600
GENERAL EXPENSES	0	0	0	173,600	0	0	173,600
TOTAL BUDGET:	0	0	0	664,812	0	0	664,812