

Appeal 2002-2003



International Federation
of Red Cross and Red Crescent Societies

EVALUATION AND RISK MANAGEMENT (Appeal 01.69/2002)

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

In CHF
Total 730,275

Introduction

To facilitate the process of the Secretariat fulfilling its mission in the most relevant, effective, efficient and transparent manner possible, the Monitoring and Evaluation Division was created in October 2000. The aim of the division is to develop self assessment, evaluation and audit tools to identify risks, and to assist in the management of delivering humanitarian assistance in the most effective way possible. The design of the Monitoring and Evaluation Division was based on the obligation for accountability and the need to measure progress towards expected results (based on Strategy 2010). To this end, in the area of governance the Federation must monitor the performance and integrity of national societies, sharing responsibility to improve results, reducing future risk, and responding to donors' increased demand for accountability.

Functionally, the division is divided into two departments: evaluation and audit. Since the creation of the division, progress has been achieved in the recruitment of qualified and experienced staff, and the development of systems and process. The technical support and outputs from the division are becoming increasingly relevant to the Secretariat's performance oriented approach. The division is now poised to achieve greater synergy's between the audit and evaluation function while placing a greater emphasis on risk management. The results and plans and expected outputs for the further development of the self-assessment, evaluation, and audit function are elaborated below.

Self Assessment of national societies

Goal to support the Federation's Governance mandate to monitor the performance and integrity of national societies; and identify priority problem areas related to governance and programmes which require improvements or assistance from other members of the Movement.

Objectives and activities planned

Objective 1 Self Assessment of national societies.

Background

The following form the main criteria for donor funding of the self assessment exercise:

- a compelling need to measure progress of the Federation and Societies.

- The self assessment system has demonstrated its potential to have a significant impact on the Federation's overall performance.
- The operational value to individual Societies through assessment and action plan is clear.
- An extensive data base is being established based on the response to the self assessment questionnaire. This data base is useful for policy making and programming in addition to sharing knowledge among members of the network.
- While the programme is still relatively new, it is an opportunity for donors to nurture a high potential programme.

The Evaluation and Monitoring Division is implementing a new system referred to as the national society self assessment. The need for an assessment system for the Federation was identified in Strategy 2010. The Strategy states that new mechanisms will be established to ensure that Governance, supported by the Secretariat, will actively monitor and provide timely support to national societies towards achieving the "Characteristics of a well functioning National Society". In support of this priority, the Governing Board resolved to adopt the self assessment as an institutional tool for monitoring national society performance, and directed the Secretariat to report annually to the Governing Board on the results and findings.

The self assessment system has progressed rapidly since it was initiated. The department has now developed and tested the indicators, refined the self assessment questionnaires and methodology, and is now ready to administer it to all national societies. The self assessment system has been administered to 65 societies, and plans envision that all 176 national societies worldwide will be assessed by the end of 2003. A phased approach is being implemented in the implementation of the self assessment system and countries are selected on the following criteria:

- country socio-economic factors or level of risk from conflicts or natural disasters, size of population at risk, in-country capacity to respond and status of civil society.
- national society commitment, track record and capacity (organisational and other resources) (c) Federation expertise and support systems; and
- balanced representation from various regions.

The results from the initial phase of the programme demonstrated the potential of the system to:

- highlight good practices which will assist in sharing knowledge among Societies.
- identify areas which require improvement in governance, management and programmes of the Societies.
- facilitate improved programme focus and performance.
- monitor the adoption of Strategy 2010 and its expected results.
- alert Societies to maintain better records and data.
- illustrate emerging trends in reorganization, reporting, governance and programme achievements.
- identify priority problem areas with regard to governance and programmes of Societies which require assistance from other members of the network.

The Monitoring and Evaluation Division prepares an annual report based on the results of the self assessment. Two reports have been prepared since the inception of the self assessment programme. These reports construct a profile and highlight trends of the Federation members governance and programme activities. These reports also mark an important contribution to the development of an information base for monitoring the Federations progress over time and supporting policy formulation.

The operational value of the self assessment system is enhanced by preparing reports for all societies which participate in the assessment. Based on the assessment and further discussion, each Society identifies and agrees on points of action and a time-frame to improve their operations and functions. When fully operational the system will provide a comprehensive benchmark from where the progress of the Federation and its individual Societies can be measured. The evaluation department has also developed the software and database needed to collate and analyze the information. It is expected that the department will have an extensive data base on national societies. The primary source of this data base are the responses to the self assessment questionnaire. This information base will be useful for policy formulation and programming. Information on all societies will be available once the assessment exercise goes through the planned cycle of the first three years.

The following support for this programme is required:

- working with country and regional delegation in facilitating national societies through the self assessment exercise;
- providing technical support and training to country and regional delegation to manage the new systems and processes in the field;
- further development of software and other computer-based systems to manage self assessment data;
- sharing knowledge and analysis from the assessment which would be useful for policy formulation and programming;
- providing technical support in emerging areas such as monitoring national society branches by sharing experience from other societies;
- preparation of the annual self assessment report.

Outputs An annual report on national societies which would enable (a) societies to compare and improve their performance, and (b) Federation governance to actively monitor the performance and integrity of all national societies. Individual assessment reports will be produced on each national society participating in the self assessment exercise, with recommendations and targets for improvements in the performance of their governance and programme activities.

Expected result A Federation which is made of well functioning national societies with capacity to improve the lives of the most vulnerable.

Programme evaluation

Purpose

- Provide an independent basis for assessing the Federation and Secretariat performance on policies, programmes and processes.
- Promote shared accountability in achievement of Secretariat/Federation goals.
- Improve policies and programmes by identifying and disseminating lessons learnt from experience and by making recommendations drawn from evaluation findings.

Background

In response to the objectives outlined in Strategy 2010, the evaluation function within the Secretariat has continued to develop at a significant pace. This development is in line with a global acknowledgment of the critical role of evaluation in organizational performance. Activities within the evaluation department has focussed on the development of simple, relevant approaches to evaluation that primarily emphasize the learning dimension of evaluation secondary to its accountability objectives. In 2001 the overall objective of efforts in this regard was to develop and implement an evaluation system to support Secretariat efforts to improve the effectiveness of its humanitarian work, and to strengthen shared accountability and learning from the outcomes. The following served as a basis for this effort:

- The absence of an agreed Evaluation Framework document articulating the desirable Standard Operational Procedures was identified as a weakness in the Secretariat's approach to the evaluation function. A draft operational framework document reflecting best International practice in the area of evaluation was prepared and circulated widely for comments in August. Response and comments will inform the final draft for presentation to the steering committee in September. The approved document will guide and inform the evaluation function in the medium term.
- Of significant importance to the Secretariat's evaluation activities is the development of a more standardized approach to consultant identification, appraisal, selection, preparation of terms of reference, and the provision of timely evaluation assistance to desks, regional delegations, operational units, and others. To this end, the consultants' database has been created, an area of joint activity with the ICRC. This close cooperation should result in a more seamless approach to the identification and selection of consultants.
- An evaluation help desk was launched in June 2001. To date, the scope of support mainly focusses on the drafting, preparation and editing of terms of reference, identification of suitable consultants, and input into

workshops and seminars. The function continues to be an active and effective way of expanding support to all departments, while engendering a culture of monitoring and evaluation throughout the Secretariat.

- Specific major evaluation exercises included evaluating the Federation's response to the India Earthquake. Given the magnitude of the operation in India, a decision was made to adopt a two stage approach. The first stage was an inception report, which has been prepared and includes an overview and analysis of available data, management systems and recommendations for further investigation of the Federation's response in Gujarat. The second stage involves a more substantive exercise based on the recommendations from the inception phase.
- The department continues to participate in a wide range of activities which address issues relating to the evaluation of humanitarian aid in various fora, as well as Secretariat specific activities such as performance management, knowledge sharing and organizational development initiatives. The department has been active in strengthening links with other Federation departments, including Organizational Development, Health, Programme Coordination, and Finance. The evaluation department is keen to explore the suitability of a more integrated evaluation function from which a comprehensive reporting format would emerge. This approach reflects the synergy between the audit and evaluation function, while allowing for a greater emphasis on risk management.
- Closer collaboration with the ICRC, partner national societies, and national societies themselves in the evaluation area continues to develop and become formalized. A key element of department activity includes the participation in joint exercises with other actors.

The further development of the evaluation activity outlined above is anticipated in 2002. This will be characterized by:

- Greater emphasis on larger thematic evaluation exercises at the macro level;
- Preparation of an annual evaluation work plan based on priorities identified by operational and geographical desks, regional delegations and other stakeholders. This attempt is to make evaluation more systematic and reflective of Secretariat priorities such as Strategy 2010 and HIV/AIDS;
- Generating a monitoring and evaluation culture throughout the Federation will continue to be a priority for the division. A more formal capacity building initiative for national societies and delegations in the area of monitoring, evaluation, results based management and indicators is planned for 2002. This will involve the implementation of some off-site workshops on the subject;
- Annual review of evaluation findings, drawing on evaluation experience and including the treatment of and follow-up to evaluation recommendations;
- Develop a network of Red Cross expertise and systems in evaluation.

The following are important criteria for funding from donors:

- Need to foster both learning and accountability within the Federation.
- To demonstrate accountability for the International Federation programmes including those funded by donors.
- Need to promote at the Secretariat and Federation a culture which uses evaluation as a privileged tool for identifying the most efficient way of managing and fostering humanitarian assistance.

Outputs

- The annual programme of evaluation consisting of seven independent evaluation exercises demonstrates the accountability of the Secretariat, and create learning opportunities for the Federation network.
- Publication of the evaluation handbook and holding workshops engender and elevate the monitoring and evaluation function throughout the Federation.
- The Federation policy on evaluation is completed and a roster of evaluation consultants is set up.
- An annual review of evaluation findings which draws on evaluation experience is distributed widely.

Expected result

A professional and learning Secretariat, which serves the vulnerable in the most efficient and effective manner.

[click here to return to the top](#)

APPEAL 2002 - GLOBAL PROGRAMMES					
Evaluation and Risk Management					
Description	Evaluation	Self Assesment of NSs	Protection of Integrity and fight against Corruption	Audit and Risk Management	TOTAL
Programme Management Support	15'140	22'710	3'785	7'570	49'205
Technical Services Support	4'520	6'780	1'130	2'260	14'690
Professional Services Support	5'040	7'560	1'260	2'520	16'380
Subtotal Programme Support	24'700	37'050	6'175	12'350	80'275
Travel and related	20'000	30'000	20'000	10'000	80'000
Printing	20'000	50'000	2'000		72'000
Office Administration	10'000	20'000	5'000	5'000	40'000
Consultancy	100'000	140'000		45'000	285'000
External Workshops	50'000	60'000	23'000	40'000	173'000
Subtotal Travel and General Expenses	200'000	300'000	50'000	100'000	650'000
Total Budget	224'700	337'050	56'175	112'350	730'275