

IATI Feasibility Study

International Federation of Red Cross and Red Crescent Societies



& Jo Wood

Full report

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1 Purpose

This study is intended to answer:

Whether and how feasible it is for the IFRC to use IATI to publish timely, transparent, harmonized and open high-quality-data?

In doing so, it has reference to:

- The World Humanitarian Summit Grand Bargain commitments of IFRC and ICRC to conduct such a feasibility study, noting that “reporting to IATI standards may test the current capacity of local and national responders, including some National Societies”
- Potential requirements upon IFRC to publish IATI data to a particular granularity, quality or timeliness, from donors, partnerships or other agreements;
- The need to accurately represent the working modalities of IFRC in any data that is produced, including cash transfers, working advances, in-kind contributions and staff on loan;
- Organisational processes, workflows and policies needed to produce and govern the production of IATI data meeting relevant IATI-related requirements, whilst also respecting any privacy and confidentiality requirements;
- Information systems capacities to produce data that meets relevant IATI-related requirements;
- Legal considerations, including data protection, data licensing and agreements with donors and national societies;
- A related feasibility exercise carried out by the International Committee of the Red Cross, and any consequences for future IATI engagement by national societies;

The report also incorporates comparisons to benchmark agencies and documents options for IATI publication. It notes modifications to processes, legal agreements, data and systems (along with estimated resource considerations) that would be needed to implement the outlined options over short and medium term.

2 IATI: An overview

The International Aid Transparency Initiative (IATI) was launched in 2008 alongside the [Accra Agenda for Action](#), to deliver commitments on disclosure of aid volume, allocation and results.

Instead of central publication to a single database, or reporting through backwards-looking statistical reports, IATI is modelled on the idea of distributed publication: allowing each organisation to publish data on their activities using a common XML (eXtensible Markup Language) schema, and in turn allowing a wide range of re-uses of this data.

Third-parties are making use of IATI through APIs (Application Programming Interfaces) and online search platforms, and are developing integrations to pull selected data into country Aid Information Management Platforms, saving on data collection costs and efforts.

Since version 1.0 of the IATI standard was launched in 2011, over 600 organisations have published one or more activities using the format, ranging from large donors, to small NGOs.

Donor participation in IATI has been encouraged through the annual [Aid Transparency Index](#). Some donors have placed conditions on funded partners to encourage or require them to publish IATI data, with the goal of better mapping delivery chains or understanding the results of investments. In 2016, IATI was referenced as part of the Humanitarian Grand Bargain¹.

2.1 Common practices

The International Aid Transparency Initiative represents both a data standard *and* a practice. Hence, organisations publish consistent data in a common format, but *also* share several traits in terms of *how* this is published. These can be summarised as follows:

| IATI is... | Which means... |
|--------------------|---|
| Distributed | Each IATI publisher is responsible for creating and hosting their own data ² . Organisations providing IATI publications are commonly referred to as publishers . |
| Cumulative | Data is stored within simple files, which are updated periodically when new information (such as financial transactions) is available. Publishers are not required to keep their own ledger or log of changes. |
| Ongoing | The frequency and range of updates made by a publisher is self-determined . |

¹ The Grand Bargain - A Shared Commitment to Better Serve People in Need (Istanbul, Turkey, 2016)

² Some smaller organisations choose to use tools such as AidStream that will host data for them.

| | |
|---------------------|--|
| Open | Data should be published under an open licence which permits re-use. |
| Discoverable | The locations (URLs) of published files are recorded at the central IATI Registry. This enables users to discover available data. It is the responsibility of the publisher to maintain access to their data files. |
| Sensitive | Any published IATI data is subject to the security and sensitivity considerations that would routinely be applied by any organisation. It is legitimate that certain data can be restricted from publication. |
| Versioned | The IATI Standard goes through periodic updates, following a documented governance process ³ . The current version is 2.02 , with a set of “minor” changes for version 2.03 scheduled for spring 2018. |

2.2 Organisation and activity standards

Within the IATI framework two complementary data standards exist:

| Standard | Purpose | Publishing |
|---------------------|--|--|
| Organisation | Organisational-level information: <ul style="list-style-type: none"> - forward-looking budgets - actual expenditure over past years - disaggregated budgets on a region or country basis - links to published documents such as an annual report. | Published and updated annually. Does not require intensive or bespoke processes to produce. |
| Activity | Information on projects/programmes: <ul style="list-style-type: none"> - Basic details (description & dates) - Partners (including funding & implementing); - Geography; - Financials (budgets & flows) - Classifications - Related documents Results | Published and updated regularly. Some activities may be more frequently updated. Usually requires some systematic intervention to maintain successfully. |

Table 1: Overview of the IATI organisation and activity standards

³ <http://iatistandard.org/202/upgrades/>

For this feasibility study, **our primary focus is on the IATI activity standard**, due to its complexity in terms of data and publishing characteristics. In comparison, the organisation standard represents a significantly lower volume and frequency of data to be published. This will not impact on the feasibility of IFRC to publish IATI data, as it can easily be produced and maintained.

2.3 The IATI activity

In the IATI community⁴, the “building block” for all data is a unit called the **activity**. IATI labels this the “unit of aid”, although it is applicable to many contexts.

Publishing organisations are able to decide how their business and data processes best map to an activity. They can choose to publish aggregate data into a small number of activities or, conversely, produce many multiples. However, the community norm is that the structure and makeup of any activity should reflect how the organisation operates and organises its work and relationships to deliver aid.

Additionally, the IATI activity standard enables different activities to be **related** to each other in both hierarchical and flat relationships. These relationships can be expressed within the publication from a single organisation, but also across separately published IATI data. For many publishers, and communities of data sharing, this interlinking structure of activity data is key. For example:

| | |
|------------------------------|---|
| DFID UK | ...separate out their programme and project delivery components into distinct activities, but maintain a parent / child hierarchy to link them. |
| The British Red Cross | ... link some of their activities to those published by DFID, to illustrate a connection |

As the outset of IATI, the position was established that it was **not a single database**. This is crucial in terms of concepts such as double counting - where the same resources can be calculated numerous times, given that different actors in the implementation chain may publish their own involvement.

As IATI data publications have grown, along with more sophisticated uses and interfaces, double counting has been explored and considered, particularly through the functions that enable different activities to be linked and traced. Hence, whilst double counting can be invoked through simple additions of datasets, the community at large are aware of how a more nuanced approach to representing chains is needed.

The above illustration is of a network graph from one DFID programme. Each node” is a different IATI activity - published by separate organisations

⁴ This includes a) the organisations that publish data with the standard b) those that use IATI data to deliver and maintain tools and services c) those accessing IATI data for informational purposes (regardless of their role or context).

2.4 Users of IATI data

As an open data initiative, a wide range of users and uses for the data exist.

For example, a number of different platforms, including the IATI Datastore, the Open Aid Information Parser (OIPA), D-Portal, and the UNOCHA Financial Tracking System draw upon some or all of the published data, and regularly store a copy in their own datastores to allow for efficient querying, analysis and visualisation. Platforms that re-use data make their own choices about how often to update, but in general refresh data on a daily basis.

Elsewhere, others users may access and utilise the data in a range of formats - from the native XML through to spreadsheet conversions.

In all use cases, it is the responsibility of the data user to understand that the canonical source is the publisher, listed on the IATI Registry. IATI data is always licensed, and users should pay attention to these conditions.

2.5 Governance and Funding of IATI

IATI has in place a multi-level arrangement to ensure governance of the standard, and performance of the initiative. The key components of this are:

| | |
|---------------------------------------|---|
| Members' Assembly | Formed of all members of IATI and has final approval on strategic decisions, including recommendations relating to the budget and work plan received from the... |
| Governing Board | Made up of seven representatives, with the role to present options and make recommendations on IATI's overall strategic direction to the Members' Assembly, oversee the institutional performance of the initiative and ensure that IATI operates effectively according to its mission, vision, and values, as determined by its members. |
| Technical Advisory Group (TAG) | A multi-stakeholder community of publishers, developers, data users and transparency advocates. The TAG chair represents the TAG Community on the Governing Board. |
| Secretariat | Comprising five organisations, this consortium manages the day to day running of IATI, provides support and is accountable to the Members' Assembly, Governing Board and TAG. |

In terms of funding, members pay annual fees, which constitute the outline budget for the initiative. Additional and voluntary contributions are made by some members, to resource certain pieces of work or development or outreach.

It should be noted that membership of IATI is not a pre-requirement for publishing data. There is no fee to use the standard, or publish data with it, or log this on the IATI Registry.

3 IATI: The activity standard

The IATI activity standard consists of approximately 190 different data elements, and over 60 different codelists. To provide context it is helpful to consider the broader range of questions, and core concepts, that IATI addresses⁵.

Key questions ...communicate the purpose and goals of IATI, and are answered using...

Core concepts ...that describe the kinds of information to provide and publish.

3.1 Key questions & core concepts

Typical questions those using, accessing and maintaining IATI data have, include:

| Key questions | | Typical queries |
|---------------|--------------------------|--|
| What? | Who owns this data? | <i>Can I find out who publishes this data? Who do I contact for more info?</i> |
| | What's it about? | <i>Can I read about what is taking place?</i> |
| | What's the focus? | <i>Can I understand which specific themes or sectors or policies are being addressed?</i> |
| When? | When is it taking place? | <i>When will it start and end? What is the current status?</i> |
| Who? | Who's involved? | <i>Which organisations are involved, and what is their role?</i> |
| Where? | Where is it? | <i>Which country/ies or regions is it taking place in? Are there more specific geographies?</i> |
| How much? | How much money? | <i>What is the total budget? How much has been spent? Has any been transferred to other organisations?</i> |
| How? | Why is it taking place? | <i>Can I access background documents to give more context?</i> |
| | How does it operate? | <i>Is this subject to particular flows or conditions? Is this a part of a wider initiative?</i> |
| | What impact is there? | <i>What results are available? Are specific indicators and measures used?</i> |

Table 2: Key questions for the IATI data users

⁵ The data elements are defined and documented by IATI. The core concepts and key questions are summarised from an analysis of IATI data, and do not form part of the official standard.

In response to these questions, it is possible to chart a set of concepts for organisations to arrange and publish data. Together, these concepts provide an overview of the IATI activity standard⁶:

| Key questions | | Core concepts | | |
|---------------|--------------------------|----------------------------|----------------------|--------------------|
| What? | Who owns this data? | Reporting Organisation | Activity Identifier | Humanitarian Flag |
| | What's it about? | Title | Description | Contact Info |
| | What's the focus? | Sector | Policy Marker | Humanitarian Scope |
| When? | When is it taking place? | Activity Date | Status | |
| Who? | Who's involved? | Participating Organisation | | |
| Where? | Where is it? | Country / Region | Activity Scope | Location |
| How much? | How much money? | Budget | Planned Disbursement | Transaction |
| How? | Why is it taking place? | Document Link | | |
| | How does it operate? | Modality | Condition | Related Activity |
| | What impact is there? | Result | Indicator | Document Link |

Table 3: Core concepts of the IATI data standard

3.2 Data elements, conditions and publishing characteristics

For each concept, IATI provides a set of data elements, attributes and codelists to support interoperability. These range in terms of potential complexity, scope and usage.

It is up to publishers to decide how to map these elements onto their internal data models, processes and practices, within their “unit of aid”. In doing so, the following are considered:

| | |
|-----------------------------------|---|
| Data elements | ...describe the precise pieces of information needed when publishing. When doing so, publishers should also consider the... |
| Data conditions | ...that govern how a data element should be prepared, including use of codelists. |
| Publishing characteristics | ... describe what is expected from an IATI publication, in terms of frequency of updates, scope and comprehensiveness |

⁶ Within the IATI activity standard, there are five concepts that have no relevance to IFRC. See Appendix A for details

Taken together, these provide a framework to consider the IATI standard, its requirements, external demands, and how other publishers engage.

3.3 Compliance

The IATI standard is ultimately **a format** for the exchange of data. A common question from all publishers and data users is: what does compliant IATI data look like?

The IATI schema is generally permissive about what can be published, with a limited number of mandatory fields. It is left to different **communities of publishers and users** to agree **rules and expectations for specific fields of data** that shall be published.

A file that correctly follows the structure set out by the IATI XML format, and that uses codelists specified by IATI, will be assessed as technically valid. A file containing data must be valid before it can be assessed for compliance.

The IATI XML schema includes a minimal set of required fields, with all other fields optional according to the schema itself. However, the Aid Transparency Index, donor policies, and subsequent agreements, including the Grand Bargain, have layered onto the format a set of fields that are more or less strongly required in order for publication to be judged useful, or to meet a certain benchmark.

When assessing compliance with IATI, it is important to identify which requirements (beyond the minimum set in the schema) data should be measured against. There are two important aspects to consider in any assessment:

1. Is required data and information provided?
2. When data and information is provided, is it structured as specified in the IATI schema and documentation?

| | |
|-----------------------------------|---|
| Data Elements | Usually on/off A minimum of eight are enforced by the IATI schema - this can be tested by machines Inclusion of other elements is via consensus, and often in context. |
| Data Conditions | Applies to the use of established codelists In some cases, codes can be included from different vocabularies. It is expected that for well-known donors, and a number of implementing organisations, a common identifier is used. |
| Publishing Characteristics | Guide publishers in terms of the frequency, scope and extent to which they publish data Is not tested by a schema - but generally tracked over time, through dashboards ⁷ |

⁷ See IATI dashboard as an example: <http://dashboard.iatistandard.org/>

4 Publishing requirements

To consider the feasibility of an IFRC IATI publication, and establish an **inferred publication standard**, we will analyse the following:

| | |
|-------------------------------|---|
| IATI activity standard | What are the minimum and mandatory requirements made by the IATI standard itself? |
| Donors | The UK (via DFID) and the Netherlands (via MFA) governments have published guidelines for partners. What are these? |
| Grand Bargain | The Grand Bargain details some expectations around publishing of data with the IATI standard. What are these? |
| Peer publishers | Alongside externally published requirements, we will consider any patterns amongst selected existing IATI publishers. Will this benchmarking infer any additional requirements? |

4.1 IATI activity standard

When providing IATI data, an initial focus is to meet the **minimum** schema requirement. Version 2.01 of IATI introduced a set of nine mandatory data elements⁸ that cover the following key concepts across the standard.

Data elements

| User questions | | IATI basic requirements | |
|----------------|--------------------------|----------------------------|---------------------|
| What? | Who owns this data? | Reporting Organisation | Activity Identifier |
| | What's it about? | Title | Description |
| | What's the focus? | Sector | |
| When? | When is it taking place? | Activity Date | Status |
| Who? | Who's involved? | Participating Organisation | |
| Where? | Where is it? | Country / Region | |

Table 4: Required data elements for version 2.01 of the IATI activity standard

Exclusion of any of these from an activity would mean failure to pass validation checks.

⁸

<http://iatistandard.org/202/upgrades/integer-upgrade-to-2-01/migrating/#mandatory-fields-in-activity-standard>

It should also be noted that financial and results aspects of IATI are **not** a part of this mandatory dataset. This is because in some cases - early stage / pipeline projects - there may not be any available data.

Data conditions

For some of these mandatory items, codelists values should be included. Codelists to cover activity status, date type and organisation type and role are well-established with IATI, published, and in universal use.

For geographic terms, a two-digit country codelist (from ISO 3166-1) is mandatory. In instances where regions are more applicable, publishers are able to use the default region list (from OECD-DAC) or utilise other [vocabularies](#) (such as the United Nations or a user specific codelist).

The IATI standard requires at least one sector classification per activity. The default sector encoding would be OECD DAC (5 digit). Publishers are able to use other vocabularies.

At least one participating organisation must be provided, using either the funding or implementing role codes. It is feasible that this participating organisation could be the publisher (such as IFRC).

In terms of the use of organisation references, it is expected that for key and well established donors and agencies, a common identifier would be used (eg: GB-GOV-1 for DFID).

Publishing characteristics

The IATI standard sets a small number of *guidelines* in terms of publishing data. These include the maximum file size (40MB - although publishers can provide many files) and that published activities should reflect how organisations operate.

IATI also publish and maintain a public dashboard, which charts data made available by organisations, and provides a “publishing statistics”⁹ that detail a set of metrics.

The way these are calculated relies upon certain elements of IATI data being published in a particular way. The table below provides a high-level summary of the way high scores against each metric are assessed. The dashboard provides a detailed technical narrative for each element.

It is important to note is that whilst the IATI dashboard does set out a number of metrics around publishing statistics, these are not explicitly linked to compliance with the standard. Several organisations - including many donors - continue to publish data with the standard, whilst not recording optimal dashboard scores.

This dashboard also includes a metric on humanitarian related data elements, which will be discussed under analysis of the Grand Bargain.

⁹ http://dashboard.iatistandard.org/publishing_stats.html

| Metric | Data required | Summary of metric |
|--|--|---|
| Timeliness (frequency and time lag) | Regularly updated transactions | The highest score available is for monthly publication. This is calculated by checking for updates to transactions in each calendar month (frequency), and for evidence of transactions dated from within in the last two months (time lag). |
| Forward looking | Budget | The percentage of activities current in a given year (end-date in, or greater than that year) with a budget for that year. For example, an activity with start-date=2016 and end-date=2019 should have a budget for 2016, 2017, 2018 and 2019. |
| Comprehensive | Core: Activity identifier, Title, Description, Participating orgs (of role Funding)Implementing partners, Donors Status, Dates, Country / Region, Sectors Financial: Budgets, Outflows, Disbursements and Expenditure Value added: Modalities, Transaction level data, Documents, Contact Info, Results | A weighted average of valid fields provided against a list of core (2x), financial (1x) and value-added (1x) fields. |
| Coverage | Transactions (commitments, disbursements and expenditure). | The sum of all disbursements and expenditure over a given year is compared to a reference spend taken from an organization's published accounts. At present, only reference data for 2015 is available. |
| Summary statistics | A combination of the timeliness, forward-looking, comprehensiveness and coverage metrics | This metric takes the evaluations for timeliness, forward-looking and comprehensiveness and converts to numeric scores. From this, the scores are weighted by the coverage metric, to provide an overall score. |

Table 5: Overview of the publishing statistics of the IATI dashboard

IATI standard basic: summary

| | |
|------------------------|--|
| Data elements | The IATI standard basic sets out eight mandatory data elements . These do not include financial or results data |
| Data conditions | For most elements, inclusion of universal codes is expected. There is room for inclusion of other vocabularies for sectors |

and regions.

Publishing characteristics Data should be ideally be published quarterly, and should reflect a significant portion of the aid portfolio.

Inspection Data can be tested against the IATI schema with the IATI validator.
The IATI dashboard tracks published data and calculates several metrics around timeliness, forward-looking, comprehensiveness and coverage.

4.2 External requirements

As IATI has evolved, various publishing communities have established standards to assist greater consistency and use of data. These extend beyond the basic schema level items, and contain a mixture of expectations on data elements, conditions and publishing characteristics.

It is important to consider that these guidelines from donors are may be open to discussion and dialogue. The permissive nature of IATI data, coupled with the multiple modalities in which cooperation can be delivered, mean that these are not strict compliance requirements.

In this section we include a review of the guidelines from two national governments: the UK (DFID) and the Netherlands. Others (such as Belgium) may also soon publish their expectations, but a general trend is to align.

4.2.1 United Kingdom Department for International Development (DFID)

In December 2012 the United Kingdom Department for International Development launched its 'Aid Transparency Challenge'¹⁰ to *“require any organisation it works through to adhere to International Aid Transparency Initiative (IATI) standards of transparency and accountability for their disbursement of British aid”*¹¹.

Data elements

The DFID minimum requirements are due to be updated, but currently cover the following concepts:

| User questions | | DFID recommendations | | |
|----------------|---------------------|------------------------|---------------------|--------------|
| What? | Who owns this data? | Reporting Organisation | Activity Identifier | |
| | What's it about? | Title | Description | Contact Info |

¹⁰

<https://www.gov.uk/government/news/transparency-uk-calls-on-donors-to-make-aid-more-transparent>

¹¹ IFRC is not currently bound by these requirements, but does have a commitment to investigate publication of IATI data as part the log frame for the 2017-2021 'Humanitarian Capacity of the Red Cross and Red Crescent Movement' project (iati-identifier: [GB-GOV-1-300395](#)), with an indicative target (to be reviewed after the feasibility study) of *“Compliance with IATI standard to the extent possible (based on feasibility report and required exemptions) by end 2020.”*

| | | | | |
|-----------|--------------------------|-----------------------------------|------------------|-------------------------|
| | What's the focus? | Sector | | |
| When? | When is it taking place? | Activity Date | Status | |
| Who? | Who's involved? | Participating Organisation | | |
| Where? | Where is it? | Country / Region | | Location |
| How much? | How much money? | Budget | | Transaction |
| How? | Why is it taking place? | Document Link | | |
| | How does it operate? | Modality | Condition | Related Activity |

Table 6: Recommended data publishing from DFID

| | | |
|-----|----------------------------|---------------------------------|
| Key | Expected in all activities | Expected in relevant activities |
|-----|----------------------------|---------------------------------|

DFID provide a list of the data elements that should be provided in any activity. As illustrated, these are more expansive than the minimum requirement of the IATI schema.

DFID include an expectation that publishers provide contact information. Although this is not a mandatory requirement of the schema, it is in widespread use.

Additional to DFID is inclusion of at least one document link. This could be a webpage about the activity, as well as a link to a downloadable document.

DFID also include some expectation around financial aspects of the IATI standard. As least one budget is expected - although guidance is provided that this would ideally be broken down by year.

There are also some data elements that are *expected* to be evident, when relevant. These include transactions, conditions, locations and related activity - illustrated in table 6.

Data conditions

The data conditions for DFID guidelines do not significantly extend beyond the published documentation for basic compliance. As established, where codes are needed, these can be accessed and used via the IATI standard.

When organisations publish data and reference DFID as an organisation or the direct provider of funds, expectations are provided that the correct organisation reference (GB-GOV-1) should be used, alongside the relevant DFID activity identifier (eg: GB-GOV-1-123456). When met, this condition in the data enables DFID to undertake two things:

1. utilise data published by partners to be displayed within the devtracker platform¹²
2. undertake wider supply chain and network analysis

This condition is often referred to as traceability. Traceability is a major theme for IATI publishers.

Publishing characteristics

DFID do not provide any clear additional requirement in terms of how organisations should publish IATI data. One key context is that DFID’s requirement for IATI publication only applies to programmes/projects that receive direct funding from DFID.

DFID : summary

| | |
|-----------------------------------|---|
| Data elements | DFID request inclusion of four additional data elements, above the minimum stated by the IATI schema |
| Data conditions | Aside from expected codelist values, DFID place value on the use of organisation references and activity identifiers to demonstrate traceability between data. This is most important when referencing DFID directly. |
| Publishing characteristics | DFID expect any direct contracts to be published using the IATI standard. There is some discussion about activity further down “the chain”, or wider portfolios, but this is not yet documented. |
| Inspection | DFID do not provide a means to which organisations can test their data. Inclusion of activities in the DFID-owned devtracker website is an indicator. It is unclear how DFID provide feedback to publishers |

4.2.2 Netherlands Ministry of Foreign Affairs (MFA)

In January 2016, The Netherlands Ministry of Foreign Affairs issued guidelines¹³ for partners, contractors and suppliers on how to publish IATI data in order to support a “move from paper reporting to digital reporting in a standard format”. This is framed in terms of a shift towards *“data-driven progress reporting. Collecting open data about which activities take place where, with whom, in which sectors and with which results [...in order to...] will contribute to easier access to what is being achieved [...which will...] facilitate better decision making and policy making.”* From 1st January 2016 onwards, MFA have made reporting through IATI mandatory for Overseas Development Assistance (ODA) activities with a financial envelope of more than €250,000.

¹² <https://devtracker.dfid.gov.uk/>

¹³

<https://www.government.nl/documents/publications/2015/12/01/open-data-and-development-cooperation>

Data elements

The Netherlands MFA requirements cover a broad range of fields from the IATI standard.

| User questions | | Netherlands MFA requirements | | |
|----------------|--------------------------|------------------------------|---------------------|------------------|
| What? | Who owns this data? | Reporting Organisation | Activity Identifier | |
| | What's it about? | Title | Description | Contact Info |
| | What's the focus? | Sector | Policy Marker | |
| When? | When is it taking place? | Activity Date | Status | |
| Who? | Who's involved? | Participating Organisation | | |
| Where? | Where is it? | Country / Region | | |
| How much? | How much money? | Budget | | Transaction |
| How? | Why is it taking place? | Document Link | | |
| | How does it operate? | Modality | Condition | Related Activity |
| | What impact is there? | Result | Indicator | |

| | | |
|-----|----------------------------|---------------------------------|
| Key | Expected in all activities | Expected in relevant activities |
|-----|----------------------------|---------------------------------|

Table 7: Recommended data publishing from Netherlands MFA

The Netherlands MFA guidelines are more detailed in terms of expectations for published IATI data. This extends to specifying particular classification vocabularies and requirements for policy markers and modalities, which are used widely within the ODA community.

There is also an emphasis on publishing results elements for activities. For the MFA, results should include indicators, and subsequent measurements around baselines, targets and actuals.

Data conditions

Alongside DFID, the MFA guidelines are centred on enabling of traceability. Organisations are strongly encouraged to seek and use the relevant identifiers and references from other IATI publishers, to enable linkages between data sets.

The MFA guidance is more detailed than DFID's minimum requirements. There is detailed guidance on various ways in which different arrangements for funding flows can be modelled with the IATI standard, with a particular emphasis on core-funding.

The MFA do not place any new or additional requirements on publishers in terms of involving new or alternative codelist values or classifications, above and beyond those already available in the standard.

Publishing characteristics

The guidance and use by MFA of IATI data is based on the following principles:

| | |
|--|---|
| Publish who you are, what your role is and who you work with: | <i>Organisations should only publish data they collect themselves and for which they are directly accountable.</i> |
| Publish your own results: | <i>Following the logic of organisations publishing only their own activities, and mentioning their immediate partners, organisations should also publish their own results.</i> |
| IATI Publication is not financial reporting: | <i>It is explicitly not the aim of this IATI publishing structure to replace the financial reporting structures already in place.</i> |

These principles are also grounded in the fact that the MFA actively use the relevant IATI data published by partners to understand the results of their funding and networks.

MFA : summary

| | |
|-----------------------------------|--|
| Data elements | The Dutch MFA guidelines cover a vast majority of the IATI standard |
| Data conditions | The MFA guidelines place a strong emphasis - backed up by clear documentation - on models to structure data in different scenarios |
| Publishing characteristics | The MFA expect data to be published by all their funded partners. There is some room for discussion and development in this, between partners. |
| Inspection | The MFA do not provide a means by which organisations can test their data (although one is currently in development). Inclusion of activities in the MFA open dashboard ¹⁴ is an indicator, with some feedback on data quality provided. It is unclear how MFA provide feedback to publishers |

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<https://public.tableau.com/views/IATIvisualisation/Menu?amp::showVizHome=no&:embed=y&:tabs=no&:render=false>

4.3 Grand Bargain requirements

IATI is now referenced within two Grand Bargain workstreams. Under the transparency workstream, the Grand Bargain includes a commitment to:

“Publish timely, transparent, harmonised and open high-quality data on humanitarian funding within two years of the World Humanitarian Summit in Istanbul” noting that parties *“consider IATI to provide a basis for the purpose of a common standard.”*¹⁵

The Localisation workstream has also developed a proposal for monitoring the proportion of funding that flows as directly as possible to local partners based on IATI data.

Data elements

Two additional data elements were added to the IATI Standard in version 2.02 for modelling humanitarian information, in response to conversations around the Grand Bargain. Additional vocabularies (supported classification codelists) were added to the sector element.

| User questions | | Humanitarian data: additional requirements | | |
|----------------|---------------------|--|--|--------------------|
| What? | Who owns this data? | | | Humanitarian Flag |
| | What's the focus? | Sector | | Humanitarian Scope |

| Key | Expected in all relevant activities | Further additions, where possible |
|-----|-------------------------------------|-----------------------------------|
|-----|-------------------------------------|-----------------------------------|

Table 8: Additional requirements from Grand Bargain

Specifically, organisations wishing to publish humanitarian activity with the IATI standard should:

- Signal that an activity is relevant through inclusion of the humanitarian flag attribute
- Include the [humanitarian-scope](#) element to relate an activity to a specific emergency

The Grand Bargain does not make any additional requests in terms of other parts of the standard, operating under the assumption that publishers would provide as full data as possible.

¹⁵ The Grand Bargain - A Shared Commitment to Better Serve People in Need (Istanbul, Turkey, 2016)

Data conditions

Alongside signifying that any activity is humanitarian related, IATI makes codelist vocabularies available to publishers, to recognise existing classification systems in use. These are either the Glide number¹⁶ and/or humanitarian response plan¹⁷.

Humanitarian best practice for IATI also indicates the possibility to include humanitarian-specific classifications at the sector data element. These may be in addition to sector classifications already in place. With this, IATI present two options:

- Use UN cluster codes in the sector data element
- Use appropriate humanitarian 5 digit DAC sector codes

In both cases, when multiple codes are used with the sector data element and vocabulary, a percentage breakdown of the activity budget must be provided.

Further additional vocabularies are proposed in the 2.03 update cycle (see Annex A).

Publishing characteristics

The Grand Bargain offers some guidance in terms of how organisations should prepare and publish data that is humanitarian related.

If an activity has both a humanitarian and development component then the publisher should consider splitting the activity into two; one activity to describe the humanitarian component and the other to describe the development activity.

The latest IATI Best Practice Guidelines on Humanitarian Data¹⁸ state: *“In fast-onset emergencies, where information is key to decision-making, weekly or even daily reporting would improve the availability of useful data. While this may pose challenges for some, these principally relate to internal business systems and policies, e.g. publishers may need to initially bypass their internal data quality and audit procedures in order to release information as soon as it is available and then refine its accuracy over time.”* This assumes data is coming from operational systems which include data that changes daily.

IFRC, ICRC & UNHCR, whilst supporting the principles of transparency, raised specific concerns about the extent to which IATI was applicable to their operations, and the capacity of the central organisations and national societies to implement IATI. IFRC committed to a feasibility study, rather than publication¹⁹.

More recently, the localisation workstream of the Grand Bargain has proposed that IATI shall be used as part of the mechanism to monitor the proportion of funding that is given ‘as directly as possible’ to ‘local partners’. The architecture of IATI, in which a division is made

¹⁶ <http://glidenumbers.net/glide/public/about.jsp>

¹⁷ <http://www.unocha.org/somalia/humanitarian-coordination/humanitarian-response-plan>

¹⁸ <http://iatistandard.org/202/activity-standard/overview/humanitarian-reporting/>

¹⁹ https://interagencystandingcommittee.org/system/files/ifrc_-_self-report.pdf

between disbursements between organisations, and expenditure at the end of a delivery chain - and the support for information that identifies and classifies organisations, is well suited to building a dataset which can subsequently be analysed based on a range of definitions of 'local organisation' and 'as direct as possible'. However, it should be noted that IATI data is only an input to analysis, and there are at times trade-offs between timely data and data that has been audited and verified. IATI data should be seen as an input to monitoring processes, that will still need to apply their own verification and analysis.

In *Implementing and monitoring the Grand Bargain commitment on transparency*²⁰, Development Initiatives propose metrics that use published IATI data to measure progress towards this commitment, reporting that 37 of 51 Grand Bargain signatories currently publish some data using IATI, with 22 (43%) using specific humanitarian elements from the standard.

A methodology for monitoring the grand bargain commitment on transparency has been proposed by Development Initiatives, making weighted use of existing IATI Dashboard metrics on timeliness (25%), comprehensiveness (25%), coverage (15%), forward-looking data (10%) and presence of humanitarian-related data elements (25%).

The score gained for use of the humanitarian marker, inclusion of humanitarian-scope (e.g. Glide numbers), and using a humanitarian cluster classification for each activity tagged humanitarian, was added to the IATI dashboard with the advent of the Grand Bargain.

This dashboard is currently under review, with a temporary web address²¹. However, a benchmark score has been recorded for all Grand Bargain signatories. For non publishers, this is a 0. When/if organisations publish IATI data, their progress against would be measured against this starting point, meaning a significant increase.

Grand Bargain: summary

| | |
|-----------------------------------|--|
| Data elements | Focus on one additional data element (Humanitarian Scope), and inclusion of a flag to signify an activity is humanitarian related. |
| Data conditions | IATI Humanitarian Best Practice details use of external vocabularies to be used at both the Humanitarian Scope and Sector level, where possible |
| Publishing characteristics | Data may be published more often frequently other aid activities. There is some discussion about the use of IATI for the Grand Bargain localisation stream. |
| Inspection | A Grand Bargain dashboard monitors the published IATI data for signatories. This is largely based on the IATI Dashboard, but includes some change for coverage of humanitarian |

²⁰ Development Initiatives, 2017

²¹ <http://46.101.46.6/dashboard>

activity. Where an signatory had not published IATI data at the benchmark, a zero is recorded. This is then used for any subsequent publication.

4.4 Inferred requirements

Based on an analysis of the requirements from IATI 2.01 and above, MFA, DFID and fields needed to support monitoring against other Grand Bargain commitments, we have identified the 40 fields and attributes below that IFRC would need to publish in order to satisfy these demands. We have identified a further six recommended fields relating to more advanced IATI features around delivery chain mapping, and capturing results. See Appendix AA for a full list of these data fields.

For a number of data elements, we have documented the data conditions that informs publication in a variety of ways, from providing a basic output against that element, through to providing more detailed data. In general, these higher levels of publication would require more extensive adaptations to IFRC systems and processes, such as, for example, the application of new classifications when Appeals or Projects are entered.

Data elements

This inferred requirement can be illustrated using the table presentation previously established. This highlights the concepts that would be required, alongside other optional and recommended fields²².

| User questions | | Inferred IATI requirement | | |
|----------------|--------------------------|----------------------------|----------------------|--------------------|
| What? | Who owns this data? | Reporting Organisation | Activity Identifier | Humanitarian Flag |
| | What's it about? | Title | Description | Contact Info |
| | What's the focus? | Sector | Policy Marker | Humanitarian Scope |
| When? | When is it taking place? | Activity Date | Status | |
| Who? | Who's involved? | Participating Organisation | | |
| Where? | Where is it? | Country / Region | Activity Scope | Location |
| How much? | How much money? | Budget | Planned Disbursement | Transaction |

²² Five top-level data elements are not considered - see Appendix B

| | | | | |
|------|-------------------------|---------------|-----------|------------------|
| How? | Why is it taking place? | Document Link | | |
| | How does it operate? | Modality | Condition | Related Activity |
| | What impact is there? | Result | Indicator | Document Link |

| | | | |
|-----|-----------------------------|-------------------------------|----------|
| Key | Required for all activities | Recommended, where applicable | Optional |
|-----|-----------------------------|-------------------------------|----------|

Table 9: Inferred IATI requirements

Data conditions

For required items within this inferred set, additional analysis has been undertaken to understand the range and complexity of codes, repetition and maintenance needed:

| | |
|-------------------|---|
| Complexity | ...are there a range of associated data fields that <i>must</i> be considered? |
| Codes | ... does this <i>depend</i> on codes and classifications to elicit meaning? |
| Volume | ...is it <i>expected</i> that this is included in any activity more than once? |
| Updates | ... is it expected that <i>frequent</i> updates to this would occur (either by additions or edits)? |

Analysis of all inferred concepts against these conditions is available in Appendix C..

From this, it is possible to cluster together the data elements into four types:

| | |
|---|--|
| <p>Meta & narrative <i>Data that requires no IATI codes or external development</i></p> <ul style="list-style-type: none"> • Reporting Organisation • Activity Identifier • Humanitarian Flag • Title • Description | <p>Classification <i>Data that requires use of mapping to IATI codes, or other vocabularies</i></p> <ul style="list-style-type: none"> • Humanitarian Scope • Modality |
| <p>Simple <i>Data that requires an IATI code, but behaves in simplistic ways - they do not change often or require complex vocabularies</i></p> <ul style="list-style-type: none"> • Date • Status • Country/Region | <p>Complex <i>Data that requires a mix of classification mapping and/or process logic</i></p> <ul style="list-style-type: none"> • Sector • Participating Org • Transaction • Result (optional) |

- Budget
- Document Link

In turn, we are able to isolate the complex concepts that may provide further challenges or need greater clarification. These are documented in Appendix E.

A full table of the data elements and conditions for the inferred requirements can be found in Appendix D.

Publishing characteristics

Building on the analysis so far, plus reference to the IATI dashboard metrics (which are also used by the Grand Bargain initiative) the inferred requirements would suggest the following publishing characteristics

| | |
|--------------------------|---|
| Version of IATI | 2.02 (moving to 2.03 when live and in use) |
| Licence | Data should be available under Public Domain of CC-BY licenses. |
| Timeliness | Monthly publication, with transactions published within 30 days of month end) |
| Forward-looking | Where it is possible and within business logics. Forward-looking budget data is not a major characteristic of these requirements. |
| Comprehensiveness | This is derived from analysis of the data elements documented above. |
| Coverage | Data published should represent the activities an organisation can confidently and adequately share. This may not be the full extent of a portfolio but it should represent a significant proportion of activities undertaken by the organisation.. |

In terms of coverage, there is no evidence to suggest a suitable benchmark from this. This IATI standard states: *IATI data should represent a significant proportion of the development cooperation activities undertaken by the organisation.*

Inferred publishing standard: summary

Data elements There are 40 data elements in the inferred requirements and 6 recommended data elements

Data conditions Relevant codelists should be utilised.

Publishing characteristics Data should be published monthly, with one month time lag.
An organisation should publish those activities it can confidently and adequately share.
Data should be published under an appropriate licence

4.5 Peer publishing agencies

Nine organisations amongst the 600 publishers - from a variety of contexts and models - have been analysed in terms of their published IATI data²³.

Multilateral agencies

United Nations children's Fund (**UNICEF**)
World Food Programme (**WFP**)
United Nations Office for the Coordination of Humanitarian Affairs (**OCHA**)
World Health Organisation (**WHO**)
United Nations Development Programme (**UNDP**)

Government

UK Department for International Development (**DFID**)
Netherlands Ministry for Foreign Affairs (**MFA**)
Red Cross
British Red Cross (BRC)
Netherlands Red Cross (NLRC)

Other organisations relevant to IFRC have not been included in this focus, specifically because they do not currently publish data in the IATI format. These include the International Committee of the Red Cross (ICRC) and United Nations High Commissioner for Refugees (UNHCR), who are currently undertaking feasibility studies on IATI.

Data elements

When analysing the published data of organisations, it is possible to understand the coverage of data elements against the inferred requirements:

| User questions | | Peer publishers: Inferred IATI requirement | | |
|----------------|--------------------------|--|---------------------|--------------------|
| What? | Who owns this data? | Reporting Organisation | Activity Identifier | Humanitarian Flag |
| | What's it about? | Title | Description | Contact Info |
| | What's the focus? | Sector | | Humanitarian Scope |
| When? | When is it taking place? | Activity Date | Status | |
| Who? | Who's involved? | Participating Organisation | | |

²³ Data retrieved via IATI Registry on 24th November 2017. Analysis undertaken on publisher XML file(s) and statistics available from IATI dashboard

| | | | | |
|-----------|-------------------------|------------------|--|-------------|
| Where? | Where is it? | Country / Region | | |
| How much? | How much money? | Budget | | Transaction |
| How? | Why is it taking place? | Document Link | | |
| | How does it operate? | Modality | | |

| | | |
|-----|-------------------------------------|--|
| Key | Evidenced in over 80% of activities | Evidenced in less than 80% of available activities |
|-----|-------------------------------------|--|

Table 10: Peer publishers: publishing of inferred IATI requirements

The table above takes the data from all nine peer publishers, and calculates an average inclusion for each element. A full table of analysis, giving publisher-by-publisher figures is available in Appendix F.

In this analysis, provision adherence to the inferred standard is well supported and evidenced. A majority of the publishers cover 12 of the 16 inferred requirement concepts in their data, all recording ~ 100%. Of the remaining concepts, document link (64% average) was the lowest coverage, specifically due to the fact that three organisations (OCHA, BRC, NLRC) do not currently provide this in any volume.

In terms of data above and beyond the required elements of inferred standard, then some of these organisations routinely publish sub-national location (DFID) and results data (eg MFA). However, these are not universally deployed.

Data conditions

In terms of using and publishing codes accessed via the IATI standard, all the peer publishers maintain adherence to the central and core lists. None of these publishers invoke specialist codes or vocabularies.

Provision of humanitarian specific data and codes is a condition of IATI publishing that most of the peer publishers have developed. Scores from the Grand Bargain dashboard²⁴ illustrate this:

| Publisher | Benchmark | Total | Progress | Humanitarian (average) |
|-------------------|-----------|-------|----------|------------------------|
| UNICEF | 57.1 | 59.35 | 2.25 | 25% |
| WFP | 35.6 | 38.65 | 3.05 | 50% |
| OCHA | 0 | 47.75 | 47.75 | 50% |
| British Red Cross | 39.5 | 43.05 | 3.55 | 25% |
| NL Red Cross | 44 | 50.25 | 6.25 | 50% |
| WHO | n/a | n/a | n/a | 50% |

²⁴ The WHO are not a Grand Bargain signature organisation

| | | | | | |
|-------------|-------|-------|-------|--|-----|
| UNDP | 56.35 | 53.2 | -3.15 | | 25% |
| DFID | 54.2 | 58.2 | 4 | | 25% |
| MFA | 54.15 | 53.35 | -0.8 | | 25% |

| | | |
|------------|-----------------------------------|-------------------|
| Key | Positive progress since benchmark | Negative progress |
|------------|-----------------------------------|-------------------|

Table 11: Peer publishers: Grand Bargain dashboard progress

From this review, it can be observed that six organisations are making progress, with two recording a slight reduction. This analysis also illustrates the large progress metric for the one organisation that did not initially publish IATI (OCHA).

The humanitarian average score (from the IATI dashboard) is also included for reference. This is an calculation based on checks for humanitarian fields and codes, then averaged. It should be noted that this score would always be expected to be lower than 100%, due to the diverse nature of published portfolios of organizations. Across the whole IATI dashboard, the highest recorded score is 75%, which only two organisations meet (Disasters Emergency Committee & Stichting Vluchteling).

Publishing characteristics

When focusing on how these peer publishers provide and update their IATI data, the following is derived from the IATI dashboard:

| Publisher | 1st published | Activities | IATI version | Frequency | Time lag | Coverage |
|------------------|----------------------|-------------------|---------------------|------------------|-----------------|-----------------|
| UNICEF | Jun 2013 | 11469 | 2.01 | Monthly | A quarter | 100% |
| WFP | Jun 2013 | 842 | 2.02 | Monthly | One month | 100% |
| OCHA | Jul 2017 | 396 | 2.02 | Quarterly | One month | 20% |
| BRC | Aug 2012 | 175 | 2.01 | Quarterly | One month | 40% |
| NLRC | Apr 2016 | 398 | 2.02 | Quarterly | One month | 20% |
| WHO | Jun 2017 | 6541 | 2.02 | Annual | One month | 20% |
| UNDP | Jun 2011 | 14578 | 2.02 | Monthly | One month | 100% |
| DFID | Jan 2011 | 17161 | 2.02 | Monthly | One month | 100% |
| MFA | Sep 2011 | 6885 | 2.01 | Monthly | One month | 100% |

| | |
|------------|---|
| Key | In line with inferred requirements (timeliness) |
|------------|---|

Table 12: Peer publishers: publishing characteristics

It can be observed that four out of the nine publishers provide data to the inferred standard of monthly/one month. For others, there is less frequency, but a one month time lag in most cases. In the case of the most recent publisher (WHO) the dashboard records three updates

in the six months since publishing. With this trend, it is anticipated that their frequency metric will therefore update to monthly.

In terms of coverage, there is a similar trend, with five out of the nine publishers achieving 100% . The two Red Cross organisations are recorded as having less coverage. This is related to their publication of IATI data initially in response to requirements attached to funding from DFID and the Netherlands MFA, and a decision to only publish the sub-set of activities financed by those donors, or to only publish their international activities. Additionally, the methodology currently deployed by the IATI secretariat, in terms of collecting and updating the reference data used in calculating the coverage statistic may mean that the coverage benchmark measures against total expenditure, rather than international expenditure only, meaning that a Red Cross with substantial domestic spending that is not published using the IATI standard may not be able to reach 100% coverage.

All publishers provide data using version 2 of the IATI standard.

Peer publishing agencies: summary

| | |
|-----------------------------------|--|
| Data elements | There is widespread coverage of inferred standard |
| Data conditions | Adoption of humanitarian specific data is increasing |
| Publishing characteristics | Monthly publication with one month time lag prevails. Coverage varies, but 100% is the most common |

5 IFRC Capacity & Considerations for IATI publication

5.1 Analysis of IFRC capacity to publish IATI data

IATI is a voluntary standard, and accordingly, the capacity of IFRC to *comply* with the standard is dependent upon which information it wishes to publish. As noted above however, effectively a minimum publication standard can be inferred based on the minimum and mandatory requirements from the IATI activity standard itself, external requirements from key users of the data and the extent of disclosures from other similar organisations. This minimum publication standard is used as a baseline against which to assess IFRC's capacity to comply.

It should be noted that implementing IATI is not a purely technical process. Three component parts of the implementation process can be identified: policy, data and technology. The starting point of the implementation process is the publication policy, once this policy is in place, steps need to be taken to ensure data collection and management

exist to capture data accurately. The final part of the picture is the technical solutions to publishing IFRC data to IATI.

5.2 Policy

The IFRC needs to make a number of policy decisions regarding IATI publication. Only after these decisions have been made can the processes and procedures around data capture be analysed and technical solutions investigated.

5.2.1 Public information

Information published online using the IATI standard will become public information. IFRC information and data assets are classified in one of the following four information categories, according to their sensitivity level: highly restricted, restricted, internal or public. Any unclassified information asset is per default considered as being “internal”, until it has been classified. The IFRC defines public information within its Information Classification Standard²⁵ as:

“all information that IFRC has consciously and deliberately made available to the public. The disclosure of that information is not expected to have any negative effect on organisational operations, organisational assets, or individuals”

In addition, within the same document the IFRC specifically describes as public information

*“Plan of action and **emergency appeal /development plan** documents (and all related updates and reports)”*

Accordingly, at an IFRC policy level, all information currently contained within the above documents has already been deemed as public information. Information required for IATI publication that is not contained within these documents shall need to be assessed against the relevant policies to determine if it may be classed as public information or not.

It is understood that the IFRC is currently working on improving its policy framework on data protection. During interviews for this report, no concerns were raised about the current inclusion of private data, or operational data that could put people at risk being included in existing public documents. If such a case is felt to exist, the IFRC should consider the creation of an exclusion policy to allow certain activities to be omitted from publication.

For **emergency appeals**, information is published on the IFRC public website at appeal level. Published information includes documents such as Emergency Appeals, Operations Updates, Emergency Appeal Revisions, Emergency Appeal final reports, and DREF operation reports. In addition, key statistics are also published which comprise Appeal launch date, Operation timeframe, Operation budget and funding to date. Key statistics are updated on at least a daily basis whilst periodic reports generally have set timeframes for publication (eg, 6 months, or annually).

²⁵ <https://fednet.ifrc.org/en/ourifrc/about-the-federation/ppp/information-classification-standard/>

For **development plans**, the majority of information is only published on FedNet. Some limited thematic information is published on the IFRC website but this is by organisational unit rather than at appeal level and comprises budget and funding information only.

It is also noted that the IFRC disposal policy for electronic public information is that all media shall be destroyed after their retention period is over. The retention periods for the currently published documents are not clear from IFRC policies and procedures, and under IATI it is expected that data once published shall remain permanently available. IFRC shall accordingly need to consider if a policy exception or additional clarity is required, or if there is a need to establish mechanisms to monitor and control the disposal of the IATI data that is hosted by the IFRC. It should be noted that the IFRC could not impose a requirement to destroy data that they have placed under an open license. The IFRC may also consider providing additional guidance to the users of IATI data in this regard.

The IFRC is also recommended to develop an Open Information Policy that explains what information it publishes under IATI and answers frequently asked questions regarding the content of the dataset (see Appendix G for an example).

Key Considerations

- For **emergency appeals**, the majority of the information needed to meet IATI requirements is already published on the IFRC public website, although not necessarily in structured forms;
- For **development plans**, although classified as public information, very limited information is currently published on the IFRC public website;
- Where data exists in IFRC systems, but is not included in published information, steps will need to be taken to evaluate whether it can be classified as public information.
- The IFRC is recommended to develop an Open Information Policy to explain the information it publishes under IATI and to answer frequently asked questions.

5.2.2 Unit of Aid

It is up to the IFRC to define their own “units of aid”, referred to as “iati-activities” under the IATI standard. It is possible to specify any number of hierarchical levels in which to best organise these activities, although this is not necessarily encouraged by all data users. If a hierarchical approach is adopted, it is important to differentiate what data will appear at the different levels.

The IFRC already adopts a hierarchical approach for both its **development plan** activities and **emergency appeals**.

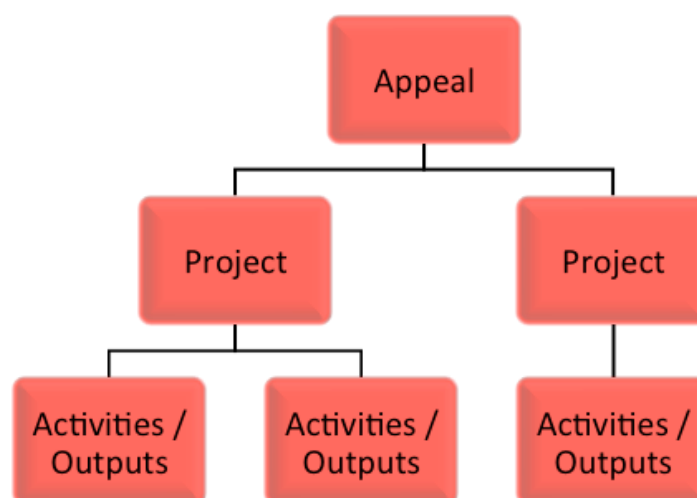


Figure 2: IFRC current hierarchy of activities

Appeal is the highest level of the hierarchy, with management structures, data capture and reporting all existing at this level. Basic information is maintained at Appeal level regarding the geographical location of the project and the general type of Appeal. Sectoral data is not recorded at this level. **Emergency appeals** and their associated reports are published on the IFRC public website, whilst **development plans** and reports are only currently published on FedNet (IFRC intranet). This is despite the fact that such reports have been classified as public information at policy level. As at 17 November 2017, IFRC had 191 active **emergency appeals** and 110 active **development plans**.

Every Appeal comprises a number of projects. Projects are a key part of the management structure for IFRC operations. Each project has a project manager identified who is responsible for its activities and for managing the project budget. Both income and expenditure are recorded and tracked at project level. Each project can have multiple Outputs (hierarchy level 3). Detailed project level information is not currently included in IFRC **emergency appeal / development plan** documents. As at 17 November 2017, IFRC had 1294 active projects across its **emergency appeals** and **development plans**.

At the project sub-level, information is captured relating to Outputs. This information is mapped to IFRCs Strategies for Implementation (SFIs) and Areas of Focus (AoFs). These are those areas that have been agreed in the IFRC General Assembly approved plan and budget, against which the IFRC shall monitor its performance. Data capture at this level has changed a number of times over recent years. The current approach is relatively new with approximately 90 pre-defined outputs that need to be used for the coding of budgeted and actual expenditure. These outputs could potentially be mapped to the sectoral codes utilised in IATI. Detailed Output level information is not currently included in IFRC **emergency appeal** and **development plan** documents.

Key considerations

- Publishing with **appeal** as the primary ‘unit of aid’ (the iati-activity) is feasible with current IFRC data structures;
- Information maintained at **project level** and **activity / output level** could be aggregated up to add detail to **appeal** level iati-activities;
- Given the relatively early stage of adoption of the new IFRC output classifications, it may not be advisable to use this information as part of the first phase IATI publication.

5.2.3 Publishing Frequency and Data timeliness

From the inferred publication standard, data should be published monthly with a one month time-lag. This should be feasible from an IFRC system and process point of view.

The IFRC currently publishes key statistics on its public website including budget and funding information for **emergency appeals** which is updated on at least a daily basis.

Within the IFRC’s financial systems, there are a number of processes that are linked to expenditure and a month end timetable, which means the IFRC may find it difficult to publish financial expenditure data to IATI more frequently than monthly. Established financial review processes and procedures already exist that allow quality financial data to be available for reporting purposes by the middle of the subsequent month (with the exception of year end).

Documents such as operations updates for **emergency appeals** however are only published periodically in accordance with agreed timeframes, generally 6 monthly or annually. Monthly publication may therefore increase the frequency of publication of some information

Key considerations

- Publishing monthly financial data appears feasible from an IFRC system and process point of view.
- Quality financial data for financial reporting purposes is available by the middle of the subsequent month.

5.2.4 Data quality

IATI does not require data to be audited in the same way as IFRC financial accounts, however it is important to consider how accurate data will be when it is published. As noted above, extensive information relating to **emergency appeals** is already published on the IFRC website, implying established processes already exist to ensure an adequate level of data quality before this information reaches the public domain. It should be considered however that although such information is already in the public domain, under IATI a different audience may be reached who may use IFRC information in new and different

ways. Accordingly, IFRC should review and consider the current levels of data quality to determine if these are adequate and whether established processes are effective.

Key considerations

- The IFRC should review its quality assurance processes to ensure there is an adequate level of data quality before information reaches the public domain.

5.2.5 Data coverage

From the inferred publication standard, data published should represent the activities the IFRC can confidently and adequately share. This may not be the full extent of a portfolio but it should represent a significant proportion of activities undertaken by the organisation..

The IFRC needs to consider which of its activities it will publish information about to IATI. The IFRC is a humanitarian organisation, and all the activities it undertakes are related in some way to its SFIs and AoF. Although mechanisms do exist to model “core-funding”, IFRC data capture and reporting for its regular resources and supplementary services activities differ significantly from its **emergency appeal** and **development plans**. Accordingly, this feasibility report is focused on the publication of information relating to the IFRC’s **emergency appeal** and **development plan** activities only.

Considering the IFRC’s audited financial statements for the last two years:

| | 2016 | 2015 |
|--|------|------|
| Income for emergency appeals and development plan activities as a % of total income | 68% | 77% |
| | | |
| Humanitarian Expenditure (emergency appeal activities) as a % of total operating expenditure | 42% | 50% |
| Thematic Expenditure (development plan activities) as a % of total operating expenditure | 27% | 29% |

Table 11: IFRC indicative income and expenditure percentages to be included in IATI

It should be noted that, although captured separately with the IFRC appeal code structure, hosted programmes are included within the IFRC thematic expenditure. The IFRC will need to make a policy decision as to whether such information should be published to IATI or not.

Key considerations

- Data published should represent the activities the IFRC can confidently and

adequately share. This may not be the full extent of a portfolio but it should represent a significant proportion of activities undertaken by the organisation..

- A policy decision is required regarding the publication to IATI of hosted programme information.

5.2.6 Where IATI data will be published

To publish IATI data, IFRC will need to host IATI files on its own web servers. The URLs (web links) to these files then need to be recorded through an IFRC controlled account on the IATI Registry. This allows data users to discover the IFRC data, whilst leaving IFRC in full control of creating and updating the data, and allowing users to clearly identify when data is coming directly from IFRC, offering greater assurance to users of the authority and integrity of data.

If the location of data on IFRC servers is updated, or entirely new files are published (e.g. moving from publishing just **emergency appeals**, to publishing **emergency appeals** and **development plans** in separate files) entries on the IATI registry will need to be updated.

Key considerations

- IFRC will need to identify a suitable place on a public web server where data will be hosted.
- An individual or team will need to be responsible for creating and maintaining the IATI Registry account.

5.2.7 Licensing

IATI provides the Open Aid Information (OAI) Licensing Standard²⁶ within implementation guidance recommending the terms under which data should be published. This requests the use of a public domain dedication or attribution-only open license (such as [Creative Commons Attribution 3.0 IGO](#)) and permits the inclusion of disclaimers, limited warranty statements, and separate policies applied to documents, trademarked logos and other materials. It also encourages provision of an FAQ alongside published data to address any questions about re-use.

The use of an open license is an essential part of allowing data to be made available alongside data from other humanitarian and aid actors as part third-party data analysis and visualisation systems. An attribution license requests that IFRC are credited as the source of the data.

²⁶ <http://iatistandard.org/202/guidance/how-to-publish/licensing/>

IFRC currently make use of [Creative Commons Attribution-Non-Commercial Share-Alike](#) and [Creative Commons Attribution 3.0 IGO](#) licenses on a number of documents. The latter of these is compatible with the Open Aid Information (OAI) Licensing Standard, and would be suitable for use for published IATI data. The OAI Licensing Standard does not allow use of non-commercial terms. IFRC General Counsel noted that there are no in-principle barriers to use of such licenses, provided that the data to be licensed is available, accurate, and already public (as defined by the IFRC Information Classification Standard), and that the relevant internal stakeholders have agreed to the license.

Key considerations

- IFRC should apply a licence compatible with the Open Aid Information Licensing Standard to any published IATI data, with the input and advice of legal counsel.
- Any licensing need only apply to IATI data. IFRC can continue to copyright and license other documents following current practices and conventions.

5.3 Data Capture and Data Management

This data capture and data management section of the feasibility report reviews the underlying IFRC data against the inferred publication standard to identify any potential issues regarding IATI publication

5.3.1 Unit of Aid

As identified above, IFRC data structures make it feasible to publish IATI data at Appeal level.

For **emergency appeals**, the use of Appeal as the unit of aid aligns with how IFRC works currently. One data capture issue was identified in relation to the Disaster Response Emergency Fund (DREF), whereby the IFRC received funds for DREF on one global appeal, and then makes allocations (grants or loans) to DREF operations which may or may not then become an Emergency appeal. In order to capture these practices under IATI, allocations from DREF would need be classified at transaction level as disbursements and any repayment of DREF loans classified at transaction level as reimbursements.

For **development plans**, more fundamental structural issues were identified with the use of Appeal as the unit of aid. The limited information included in the public website is not at Appeal level and upon review of information on FedNet it is noted that financial and narrative information are published in two separate locations rather than as one report. Financial reports are produced by organisational structure and can be drilled down to project and output levels. Narrative reports are published by Appeal code but upon review of the detail of a limited number of such reports, it was identified that project information from different Appeals had been included in one report. The rationale behind whether a project

implemented at country level should be included in a country Appeal, regional Appeal or global Appeal is unclear.

There are a limited number of Appeals which are used purely for accounting purposes, such as the posting of year end adjustments, that would need to be excluded from IATI publication. This will result in minor discrepancies between financial information included in IFRC audited financial accounts and that published on IATI.

Key considerations

- A mechanism to accurately reflect the operation of the DREF is available under IATI
- A policy decision may be required by the IFRC regarding the functionality of the Appeal code for **development plans** and whether this is a data collection / publication unit that shall be used consistently by the IFRC and which can accordingly be used for IATI publication

5.3.2 Data quality and quality assurance processes

A number of different IFRC policies and procedures have been identified on FedNet that govern the **emergency appeal** and **development plan** processes. These documents prescribe various quality assurance processes that appear designed to ensure accurate data and information is captured in IFRC systems and included in IFRC reports.

A limited number of Emergency appeal documents were reviewed to identify at a high level any data quality issues or discrepancies between information included within documents and the IFRC systems. The following issues were identified for **emergency appeals** (for details refer to Appendix H):-

| Data element | Issue |
|----------------------|--|
| Appeal title | Discrepancy between title in report and title in data system |
| Activity status | Appeals still at an active status although the final report has been issued |
| Activity start dates | Discrepancies between start dates in documents and start dates in data systems |
| Budget value | Discrepancies between budget value in reports and in data systems |
| Reporting periods | Delays between issue date and publication dates of reports |
| Procedural issues | Reports not issued within agreed timeframes and internal documents (Emergency Plan of Action) published on the IFRC public website |

Table 13: Emergency Appeal quality issues

The IFRC may wish to review its current **emergency appeal** processes²⁷ with particular regard to quality assurance and quality control for all data fields that will be published to IATI and for its published **emergency appeal** documents. It is acknowledged that such **emergency appeal** information is already within the public domain, but publishing to IATI potentially opens the IFRC to a different audience and the IFRC may wish to ensure it has sufficiently robust policies and procedures in place to secure the accuracy of the data and information published.

A limited number of **development plan** documents were also reviewed to identify any high level issues. At a procedural level it was noted that the policy / procedure²⁸ within the IFRC's procedure database was out of date and no longer applicable. Guidance is included each year within the **development plan** documents themselves but no overarching policy or procedure documents relating to quality assurance and roles and responsibilities within the review process were identified. The financial reporting procedure²⁹ also contains guidance around development programmes reporting, including reporting timelines and details of which financial report shall be run. This also appears to be out of date when compared to current practice. The following specific issues were identified in relation to **development plans** (for details refer to Appendix I):

Financial information referred to in narrative reports did not match the IFRC data system

Projects referred to in narrative reports did not belong to the Appeal code the report was published under on FedNet

The dates the reports relate to are generally included but there is no date of issue so it is unclear at what date the information was accurate

Discrepancies between narrative report titles and the periods covered in the report.

Table 14: IFRC development plan quality issues

Given the above, the IFRC may wish to document its quality assurance processes for **development plans** generally, and specifically in consideration of any move towards the external publication of any **development plan** data and information.

Key considerations

²⁷<https://fednet.ifrc.org/en/ourifrc/about-the-federation/ppp/procedures-for-the-emergency-plan-of-action-emergency-appeal-and-related-reporting-tools/>

²⁸<https://fednet.ifrc.org/en/ourifrc/about-the-federation/ppp/planning-monitoring-and-reporting-for-long-term-programmes-and-services-in-the-ifrc-secretariat/>

²⁹ <https://fednet.ifrc.org/en/ourifrc/about-the-federation/ppp/donor-financial-reporting-guidelines/>

- The IFRC may wish to review its current quality assurance processes for **emergency appeals** to secure the accuracy of data and information published to IATI.
- The IFRC may wish to document its quality assurance processes for **development plans** generally and specifically in consideration of any move towards the external publication of any **development plan** data and information.

5.3.3 Financial Modalities

A key issue identified in relation to IATI publication is the disclosure of IFRC expenditure data. When working (financially) with implementing or project partners, the IFRC currently uses two financial modalities:

- working advance to National Societies (WANS); or
- cash transfer to National Societies (CT).

Under WANS, expenditure is undertaken by the project partner using donor funds advanced by the IFRC. The project partner provides detailed supporting documentation including invoices, receipts, etc. Transactions are treated as IFRC expenditure and accounted for fully at a detailed expenditure level within IFRC financial accounts. The transactions are reported as IFRC expenditure (not National Society expenditure), whereby, for example, salaries paid by the project partner to their staff pursuant to working advance are reported as IFRC salary expenditure. The justification for such an approach is that IFRC retains management control over this expenditure as it has the right to accept or reject the transactions upon review of the supporting documentation.

Under CT, expenditure is undertaken by the National Society project partner using donor funds advanced by the IFRC. The project partner provides agreed reports pursuant to the project agreement, and expenditure is accounted for and reported by the IFRC as a single line item in IFRC accounts as “Contribution to National Society” or “Contribution to other organization”. Under the project agreement, the IFRC has right to reject reports if they are not in accordance with project agreement, but it does not review the supporting documents for transactions in detail unless under audit.

Under IATI publication, outgoing flows of funds can be disclosed as either:

- Expenditure, defined as outgoing funds that are spent on goods and services for the activity; or
- Disbursements, defined as outgoing funds that are placed at the disposal of a recipient government or organisation, or funds transferred between two separately reported activities.

From these definitions, it is apparent that both WANS and CT meet the IATI definition of disbursements. However, IFRC does not have the ability to easily separate WANS from IFRC expenditure and any attempt to show separately would potentially contradict information published elsewhere, such as in the IFRCs’ audited financial statements.

Further, even under CT, the IFRC does not currently track recipient information in a structured form that would easily allow disclosure of the recipient of the disbursement. The IFRC may wish to address this issue in the planned roll out of a new Enterprise Resource Planning (ERP) system.

In order to improve upon these financial modalities and to improve the transparency of its reporting, the IFRC is in the pilot phase of a project focused on changing its financial modalities for working with project partners. By 2020, it is planned that all project partners shall be using the same Funds Transfer financial modality. This new modality adopts a risk based approach and applies appropriate assurance and control activities to verify the accuracy of project partner reporting on the use of funds and to ensure that expenditure has been incurred and reported in a true and fair manner. In all cases the expenditure shall be reported by the organisation incurring it. This change in approach would allow the IFRC to accurately report on expenditure versus disbursements (as defined by IATI).

In the absence of the facility to accurately report disbursements to project partners, the IFRC has the following options:

- Disclose all outgoing funds as disbursements with no named recipient. The rationale for this approach would be that the IFRC always works with and for the National Society in the country of operation. Effectively all funds raised on an IFRC appeal are placed at the disposal of the National Society as together with the IFRC they will plan how those funds are applied.
- Disclose CT as disbursements and other outgoing funds as IFRC expenditure. This reflects how financial information is currently presented by the IFRC, although as noted above it does not necessarily reflect the reality of the situation and recipient disbursement information is also not currently available.
- Disclose all outgoing funds as IFRC expenditure. The rationale for this approach is that IATI defined disbursements and IATI defined expenditure are both recognised as IFRC operating expenditure in its audited financial statements prepared under International Financial Reporting Standards (IFRS).
- Restrict IATI publication to budget and funding information only until such point that IFRC is able to disclose disbursement and expenditure information more accurately.

In considering these options, the IFRC should also be mindful of the fact that it is a membership organisation that works with and for its member National Societies. To publish data to IATI that does not accurately reflect the roles of its members may be deemed unacceptable to the IFRC and its membership. It is acknowledged that financial data is already disclosed in this manner on the IFRC public website, however the accompanying narrative report is always available to provide additional clarity. Under IATI publication, a different audience may be reached who may use IFRC information in new and different ways.

In addition, the inability to accurately reflect a split between expenditure and disbursements, or to be able to disclose disbursement recipient information, severely compromises one of the main aims of IATI publication, namely transparency and to support the traceability of

funds. Although a progressive approach is encouraged and has been adopted by many other organisations whereby limited data is published initially and this is expanded over time as systems and data areas aligned with IATI, a question does arise as to whether publishing inaccurate or misleading information, or information with significant gaps, may cause more harm than good.

Key considerations

- The IFRC is implementing a project to change its financial modalities when working with project partners. Until this project is fully implemented, the IFRC is unable to accurately reflect disbursements as defined by IATI to its project partners. Accordingly, the IFRC needs to determine if it should disclose any outgoing funds data, and if it does so, how this should be classified between IATI defined disbursements and IATI defined expenditure.
- The IFRC does not currently track disbursement recipient information in a structured manner that can be easily extracted for IATI publication. The IFRC should consider incorporating this requirement into any new ERP system (or into existing data systems if the ERP rollout is delayed).

5.3.4 Missing data elements

Upon review of the inferred publication standard, the following data elements have been identified as missing, or not existing in a format that may be easily extracted for IATI data publication. Where possible, potential solutions are included within the tables below:

| | |
|---------------------------|--|
| Appeal description | <p>Appeal descriptions are included in narrative documents only and not maintained in any IFRC data system.</p> <p>Until such point that this data is available from IFRC data systems, for emergency appeals a standard text could be included in this field that explains the nature of IFRC appeals generally, for example, “The IFRC launches Emergency appeals at the request of and in support of the National Society in the country of operation. Emergency operations are supported by partners from across the Red Cross Red Crescent Movement. For further details on the specific Emergency Operation refer to <i>insert link to Emergency appeal document</i>”</p> |
|---------------------------|--|

| | |
|--|--|
| <p>Participating organisation and Transaction provider organisation</p> | <p>Participating organisation refers to all other organisations involved in the emergency appeal or development plan. Information is required both at Activity level and at transaction level.</p> <p>While the IFRC maintains donor information in its data systems, this information is not recorded other than in narrative format for implementing partners and supplier information is not currently classified as public information.</p> <p>Until such point that this data is available from IFRC data systems, one possible solution may be to establish a standard implementing partner code for all IFRC operations. In the participating organisation narrative a standard text could then be included, for example, “The IFRC always works together with the RCRC Society in the country of operation”, or alternatively for emergency appeals a link to the narrative document could be included.</p> <p>At transaction level, the IFRC does not track recipient information for disbursements to project partners.</p> |
| <p>Humanitarian Scope</p> | <p>There is a requirement to define which emergency an emergency appeal relates to. As Glide is the only public list of recognised emergencies, this should be used by all publishers wherever possible. The IFRC does include Glide references on its Appeal documents but this information is not maintained in IFRC data systems so cannot be extracted as such. This would need to be addressed with additional data fields in IFRC data systems or an alternative mechanism to extract this data, such as parsing from published documents would need to be established.</p> |

Table 15: IFRC missing data elements

Key considerations

- A limited number of data elements are identified where IFRC does not hold the required information in a structured format.
- For some fields, temporary solutions are available to increase coverage of IATI elements, including by parsing a published document. However without putting in place resource-intensive processes to check data generated by these approaches, there is a high risk of errors or inconsistency between IATI data and information in other IFRC publications or audited records.
- Over time a more appropriate and sustainable solution may need to be found for increasing coverage of IATI data elements. For one data field in particular, humanitarian scope, additional classification fields in IFRC systems could be required to record and publish Glide numbers, humanitarian clusters and UN

5.3.5 Data conditions - Mapping to IATI codelists

In order to harmonize data, various IFRC data elements need to be mapped to IATI codelists. Where codelists do not align exactly with IFRC data fields, this is likely to create additional work for the publication of data to IATI and also to involve a number of compromises which may impact upon the extent to which the data accurately represents IFRC activities. The key issues and possible solutions are outlined in the tables below:

| | |
|-----------------------------------|--|
| Participating organisation | Participating organisation refers to all other organisations involved in the Activity. While the IFRC maintains donor information in its data systems, this information is not recorded other than in narrative format for implementing partners. Where donors report under IATI, the IFRC would need to map IFRC donor codes to the donors' organization identifiers following the IATI conventions for constructing IDs. |
| Activity Status | The IFRC would need to map the current Appeal status held in its data systems to IATI activity status codelists. |
| Activity Date Type | The IFRC would need to map Appeal timeframes to IATI activity date types. The IFRC has available only Actual start dates and planned end dates. |
| Sector | Although IFRC has introduced output data at sub-project level which it may be possible to use to map to sectoral code lists, this data is still new and the system is unproven. Accordingly, until such time as the new system has been proven to produce quality data, it is recommended to use standard DAC codes, for example "72010 Material relief assistance for Emergency Appeal" for all Emergency appeals. |
| Aid Type | The IFRC would need to map the activity to an Aid type defined by IATI, potentially one code would be chosen that would be deemed to apply to all IFRC operations, for example "C01 Project Type Interventions" |
| Budget Type | The IFRC would need to map its budgets to a Budget type defined by IATI. This requires the ability to differentiate between original and revised budgets. IFRC maintains this information in its data systems. |
| Budget Status | The IFRC would need to map its budgets to a Budget status defined by IATI. All IFRC budgets would be "indicative". |

| | |
|---|---|
| Transaction type | <p>There are a number of transaction types that are likely to be relevant to the IFRC.</p> <p>Outgoing funds are discussed in depth under section 5.3.3 Financial Modalities.</p> <p>For inflows to IFRC, IATI distinguishes between Funds received and Commitments to provide funds. For the IFRC, its income recognition rules are dictated by IFRS, and accordingly it does not split its income in this manner. Although data is maintained in IFRC financial systems concerning outstanding commitments, the IFRC may wish not to publish income data that does not match its audited financial statements. Accordingly the IFRC may choose to report all income against one of the transaction types only even though the IATI definition does not precisely align with the published data.</p> |
| Document Code | <p>The IFRC would need to map its published documents to an IATI code.</p> |
| Result Type (not currently required) | <p>IFRC is currently maintaining lists of Outputs in its data systems at project level which could be aggregated to Appeal level. This is a newly introduced system and the data is yet unproven. The IFRC Outputs equate to IATI Result Type 1 Output but data is not maintained in IFRC data systems at the full level of detail possible under IATI, namely the results of the activity that came about as a direct effect of IFRC work and specifically, what is done, and what communities are reached. For example, X number of individuals</p> |

Table 16: IFRC mapping to codelist issues

Key considerations

- For the harmonization of data, the IFRC will need to map some of its existing data to standard IATI codelists. Where exact alignment is not possible, compromises may need to be made that may affect the extent to which data accurately represents IFRC's activities. The IFRC will need to decide if the required compromises are acceptable and whether going forward there are opportunities for the IFRC to move towards using IATI codelists as standard or incorporating additional IATI data elements into IFRC's data systems directly.
- In terms of funds inflows, the IFRC will need to decide if it wishes to differentiate between Funds received and Commitments in the publication of IATI data.
- There may be an ongoing resource requirement to ensure continued alignment to IATI codelists as changes are made over time and new codelists introduced.

5.3.6 Other issues

Other issues with IATI publication are also identified as outlined below:-

| | |
|-------------------------------------|---|
| IATI organisation identifier | IATI requires that the IFRC has a unique IATI organisation identifier. This identifier would normally be generated by combining details of the IFRC's registration agency with the IFRC's registration number. The IFRC is not registered with any particular body. In Switzerland it exists under a legal status agreement. The IFRC would need to liaise with IATI to determine an appropriate IATI organisation identifier that can be used. |
| Activity timeframes | Although activity timeframes are generally clear for Emergency appeals, for Development plans the situation is more complex. An annual plan and budget is approved each year. In the absence of any other information, the current year end date could be used as the end date for the activity. For the original start date, there are some dates maintained in IFRC data systems, although it is not clear exactly what these dates refer to. Alternatively a standard start date could be applied for all Development plans which is the start date of IATI publication. |
| Participating organisation | As noted above, the IFRC already publishes information regarding its donors on its public website; however it is not explicitly stated to donors that this information will be disclosed publicly. The IFRC may wish to incorporate into its Cash Pledge form or other agreements clarifications as to how the donor information may be used. |
| Reporting organisation | IATI requires that the reporting organisation, i.e. IFRC is categorised to a pre-defined list. As an International Organisation, IFRC does not match any of the options in the IATI list. The IFRC would need to liaise with IATI in order to add an appropriate organisational type to the list available. Note: in the upcoming version 2.03 of the standard, a new organisation code for "Other" will be added ³⁰ . |
| Budget value date | This is defined as the date to be used for determining the exchange rate for currency conversions. The only realistic possibility available is to use the start date of the appeal when the original budget would have been established. When an appeal extends over a number of years, with multiple budget revision this risks becoming largely meaningless. |

³⁰ <https://discuss.iatistandard.org/t/organisation-type-codes-additions-included-2-03/858/17>

| | |
|---|--|
| Transaction dates | As transaction information is collated and provided on a periodic basis a question arises as to what date the transaction should be given. In the absence of an alternative approach, the month end date for the period being reported is recommended. This date will also need to be used as the value date for currency conversions. |
| Contact information (email address) | IFRC does maintain some contact information in its data systems for Emergency appeals and Development plans, and within narrative documents further contract details are included. However, as such individuals often change a number of times, it is recommended to establish a standard email address that can be used as the contact email for all Emergency appeals and Development plans (or consider establishing a contact email address for each region). |
| Results (not currently required) | <p>IFRC is currently maintaining lists of Outputs in its data systems at project level which could be aggregated to Appeal level. This is a newly introduced system and the data quality is to be validated.</p> <p>This data could be used to populate a results section in each iati-activity with the indicators targeted, but not the actual results achieved, as the information on this is only currently stored in narrative documents.</p> <p>Use of the IATI results element is relatively new, and user research suggests that publishing indicators, even without measurements against them, is useful to support aid co-ordination and planning.</p> |
| Inkind Contributions and staff on loan | No reference is found amongst the available literature regarding particular treatments necessary for the treatment of inkind contributions or staff on loan. Accordingly, it is expected that the IFRC shall disclose these figures within its income and expenditure figures prepared in accordance with IFRS. |

Table 17: IFRC Other issues

Key considerations

- A number of additional decisions need to be made by the IFRC regarding what data will be published to IATI and how certain items may be presented. These decisions are generally low key and unlikely to impact significantly on the feasibility of IFRC publishing IATI data.
- The IFRC may wish to update its Cash Pledge form to clarify to donors that information regarding their pledge may be disclosed publicly.

5.4 Technology

This section explores the technical feasibility of producing IATI data from IFRC systems.

5.4.1 Systems architecture

Current systems

Information that could be used as part of IATI publication primarily exists in three places:

APPLE (APpeal PLEdge) Maintained by the finance team. APPLE provides the authority list of Emergency appeal and Development plan identifiers, and stores metadata about Appeals/plans and their associated projects and activities or outputs. APPLE is also used to track the reporting process for appeals, projects, pledges and services, maintaining a register of related documents. Through APPLE, documents are approved for publication in ADORE (see below).

CODA. Maintained by the finance team. The CODA finance system records all general ledger transactions including income and expenditure, pledges, working advances and disbursements. There is currently no mechanism established in CODA to record recipient details when funds are transferred to a Project Partner.

ADORE. (APPLE DOcument REpository). Much of the information that could populate more detailed IATI activity data is found in narrative form within periodic reports, including Glide numbers for appeals, detailed activity descriptions, descriptions of beneficiaries, information on sub-national activity locations and information on target and achieved results.

E-Contracts. A separate eContracts system holds information on suppliers and contracts, although it is not felt that this system is relevant or appropriate for use in IATI publications at this stage.

Data from the three main systems is synchronised to a **data warehouse**, which can be queried from a SAP Business Objects instance.

Future ERP implementation

IFRC is planning to start the implementation of a new Enterprise Resource Planning (ERP) system in 2018. This is intended to unify the features of the APPLE, CODA, and ADORE as well as integrating Human Resource functions, logistics and contract management, and Planning, Monitoring, Evaluation and Reporting.

The development of this system will involve an in-depth review of business processes, and provides an opportunity to explore additional structured data capture, as well as to review IFRC's quality assurance processes. The first release of the ERP to replace existing systems is scheduled for January 2019, although in the event of delays, this may move to January of the following year, recognising the need to coordinate the go-live date with the

IFRC financial year end. The initial release is expected to focus on finance and project management functionality, and it is unlikely that additional features to support enhanced IATI data publication will be in scope for this first phase.

5.4.2 Data generation

A number of approaches are available to generate and publish IATI data.

Fully automated business objects reporting

A business objects report could be configured to extract data from the data warehouse, and to assemble IATI activities for each Emergency Appeal, and, depending on data management and quality issues discussed above, each Development Plan. This could be configured to extract iati-activity identifiers, activity titles, status information, activity dates, region and country information, associated documents, donors (participating organisations), and aggregated transactions (from any past closed month), and to use this to complete a structured Excel or XML template as part of a periodic report.

Configuring such a report would require between 2 and 10 days of IFRC business analyst time, benefitting from 3 - 5 days input from an IATI Expert to support field and codelist mapping. The IFRC may wish to consider building this capacity in-house using available IATI documentation and guidance. Setting up a publication workflow so that this data can be published to the web, or exposed via an API is likely to require an additional 4 - 10 days of developer time.

A process of previewing and reviewing draft data is also recommended to ensure that the reports accurately represent IFRC. This may require an additional 5 - 10 days of IFRC staff time to develop the process.

An IFRC project owner/project manager will also be required, and their time resourced.

Data export and manual publication preparation

A number of organisations publish IATI data through a manual process that involves extracting data from existing systems in spreadsheet form, and then merging together data using Excel or other desktop tools, before reviewing and converting the data into IATI XML.

Whilst not well suited to timely publication, and involving higher labour over the long-term, this approach can avoid the need to build complex technical workflows in the short-term, whilst allowing data to be prepared on a monthly, quarterly or bi-annual schedule. It also allows data quality issues to be addressed during preparation of IATI data for publication (e.g. checking and aligning dates with those in the latest published documents), allowing increased coverage or quality (though at the cost of potentially repeating data clean-up multiple times, as data would not be fixed 'at source').

Configuring reports from business objects to generate suitable spreadsheets may require between 2 and 5 days IFRC business analyst time. Setting up the workflow for conversion of data would benefit from 5 - 10 days IATI consultant time, though this could also be completed in-house using documentation and guidance.

Preparing for each periodic publication of IATI data would require 3 - 10 days of time from a suitably qualified officer.

Incorporating semi-structured data through document parsing

To achieve higher coverage against the standard (e.g. including detailed descriptions), and to meet a number of the requirements of humanitarian publishing (e.g. use of Glide numbers for identifying emergencies), it may be possible to parse published appeal documents. For example, Glide numbers follow a common pattern, and can be extracted from a PDF with a very high level of reliability (at least avoiding false positives) using a commonly available technique called 'Regular Expressions'³¹. Descriptions and other information may be possible to extract given that documents generally use similar templates, although depending on the information, the reliability of extraction will vary.

The [IFRC Go platform](#) has experimented with parsing data from Emergency appeal documents, suggesting the technical skills to pursue this approach exist within the organisation.

It may be possible for data parsed from documents to be stored in the data warehouse, making it available for automated reporting, or it may be provided as an input into a data export and manual preparation process.

Setting up scraping from documents may require between 10 and 50 days of developer time, depending on how much is to be extracted, and the level of integration back into the data warehouse required.

Reporting from the future ERP

When the ERP system is introduced, any automated reports will need to be recreated on the new platform, which is likely to fully replace the business objects system. Direct IATI reporting from the ERP is unlikely to be available when it is first launched, although it may be possible to construct IATI reporting as an ERP-supported business process.

Whether the implementation of the ERP would create a period during which automated IATI reporting is not possible is likely to be dependent upon IFRC priorities. Potentially the current data warehouse, with equivalent data structures, will continue to exist alongside the ERP for a period of time.

³¹ https://en.wikipedia.org/wiki/Regular_expression

Additionally, it may also be that ERP vendors have IATI output already a part of their offerings. This may mean significant savings and gains for IFRC, although there would inevitably be a need for customisation to accommodate any particular IFRC processes.

5.4.3 System adaptations

If deemed a priority by IFRC or in the event of extended delays around ERP implementation, in order to increase coverage of IATI data, in particular, the humanitarian elements, a number of fields *could* be added to APPLE, for example.

- Add Glide and UN Humanitarian Plan codes into APPLE
- Add a mapping in APPLE between output codes and DAC Sector codes

Such adaptations are likely to each require around 10 working days for development. In addition, there may be resource requirements around re-designing business processes or around populating historic data

5.4.4 Data hosting

In terms of data hosting, the IFRC has existing hosting systems that can be utilised, namely the IFRC public website and ADORE.

5.4.5 Technology key considerations

Key considerations

- Structured data relating to the inferred IATI publication standard is maintained in the data warehouse;
- Automated reporting can be configured against this data. This would rely on any data quality and classification issues identified being addressed in the source systems.
- A process with manual curation of data could offer an interim publication approach minimising the need for upstream business process change, but is less sustainable in the long-run, and makes producing timely data more challenging;
- Coverage of the standard, and particularly humanitarian elements, could potentially be increased through parsing key information from published documents or adding new data field to existing systems..

6 Options

In this section we outline the main publishing options for the IFRC, and consider the implications of each one.

6.1 Basic publication from existing systems

Basic publication for the purposes of this feasibility report, refers to taking available structured data and either using directly for IATI publication or, where mapping to IATI codelists is required, identifying the most appropriate solution from the options readily available. A number of assumptions and compromises are made in this mapping. The emphasis is on finding an adequate solution now, that can potentially be improved over time.

With the category of Basic publication, there a range of options are identified:

A - Align precisely to the current information published on the IFRC public website.

Key characteristics of this dataset would include:

- **Emergency appeal** data only;
- No structured expenditure data;
- Links to published documents.

As this data aligns with what is currently published, no option specific conceptual issues are envisaged. However, as with all these options, it should be noted that although this information is already public, publishing with the IATI standard format may expose it to new audiences who may use it in new and different ways. Accordingly the IFRC may wish to review its quality assurance processes to ensure any data published is of an acceptable quality.

B - Focusing on the content of the information currently published on the IFRC public website, including information that is included within published documents. Where this information is readily available, extracting and publishing it in the IATI structured data format.

Key characteristics of this dataset would include:

- **Emergency appeal** data only;
- Expenditure data included in a structured form;
- Links to published documents

This option does not consider publishing new information as such but is focused on publishing existing public information in a more structured form. Key decisions will need to be made particularly around the presentation of outgoing flows and any split between

expenditure and disbursements. It should be noted also that, assuming monthly updates to IATI, the frequency of publication of expenditure data will increase significantly.

C – Expanding the content of the information currently available on the IFRC public website to include i) **development plans** ii) Results iii) **development plans** and results.

Expanding the published information content to incorporate development plans may require additional quality assurance procedures to be established and may require some business process changes.

Expanding the published information content to incorporate results may equally require new quality assurance procedures and business process changes. The current system is newly introduced and the data as yet unproven and results data is only an inferred minimum recommendation rather than a requirement.

Appendix J includes for each option the proposed data elements, mapping requirements to IATI codelists and any required workaround solutions where data does not align precisely.

The table below gives an indication of how each option is likely to impact upon IFRC’s ability to meet the inferred publication standard and the indicative coverage metric that IFRC will achieve:-

| Basic Publication impact analysis | A | B | C | | |
|--|------|------|------|------|------|
| | | | i | ii | iii |
| % of inferred publication standard data elements populated | 63% | 85% | 85% | 89% | 89% |
| Indicative coverage metric ³² | Fair | Fair | Good | Fair | Good |

Table 18: Basic publication impact analysis

The table below considers the key resource drivers and likely resource implications either under Fully automated Business Object Reporting or under Data export and manual publication preparation. These resource implications do not consider resources required for any business process changes the IFRC may determine it needs, or any resources required related to the IFRC project owner.

| Resource drivers | A | B | C | | |
|--|---|---|---|----|-----|
| | | | i | ii | iii |
| Number of meta & narrative data elements | 5 | 7 | 7 | 7 | 7 |

³² A number of assumptions have been made in the likely calculation of this IATI metric particularly in relation to the likely reference spend figure to be applied by IATI. “Fair” equates to between 40-60% of an organisation’s total output. “Good” equates to between 60-80% of an organisation’s total output.

| | | | | | |
|--|------------------------------|-----------|-----------|-----------|-----------|
| Number of simple data elements | 15 | 17 | 17 | 17 | 17 |
| Number of classification data elements | 0 | 1 | 1 | 1 | 1 |
| Number of complex data elements | 9 | 14 | 14 | 16 | 16 |
| Total number of data elements | 29 | 39 | 39 | 41 | 41 |
| Indicative number of activities | 191 | 191 | 301 | 191 | 301 |
| Fully automated Business Object Reporting - indicative resource implications | | | | | |
| IFRC Business analyst | 2 to 10 days | | | | |
| IATI Expert support | 3 to 5 days | | | | |
| Developer time | 4 to 10 days | | | | |
| IFRC Staff - Establishing processes for data preview and review | 5 to 10 days | | | | |
| Data export and manual publication preparation - indicative resource implications | | | | | |
| IFRC Business analyst | 2 to 5 days | | | | |
| IATI Expert support | 5 to 10 days | | | | |
| IFRC staff | 3 to 10 days per publication | | | | |

Table 19: Basic publication resource drivers and indicative resource implications

6.2 Extended publication from adapted systems

Extended publication for the purposes of this feasibility report means integrating IATI requirements more fully into IFRC systems and processes, either through the adaptation of existing systems or processes or by integrating requirements into the design of the new ERP system. In many cases, such changes will not in themselves increase the number of datafields published, they may however improve the transparency and quality of the underlying data, thereby more accurately reflecting the true position of the IFRC. The table below indicates the key extension opportunities, the likely impact of the extension and any other considerations.

| Extension opportunity | Key considerations and likely impact |
|--|--|
| Financial modalities Implement fully the planned change to IFRC financial | One of the aims of IATI is to enable the greater traceability of funds through multiple players in the aid chain. The inability of IFRC to clearly present data illustrating between IFRC and its implementing partners, who has performed which activity severely compromises the traceability of funds. In addition it may create sensitivities with partners if data is published without the partner's true role being |

| | |
|--|--|
| <p>modalities to allow IFRC to correctly reflect when disbursements are made to partners and track who those partners are</p> | <p>recognised. It would also be problematic if, for example, other RCRC organisations wish to publish under IATI and their data does not align with that of the IFRC.</p> <p>The IFRC had already identified a transparency issue relating to its current financial modalities and is piloting changes in its' Working With Project Partners initiative. Given the seriousness of this gap, the IFRC may wish to accelerate this process to bring the anticipated completion date forward from the current planned completion date of 2020.</p> <p>In addition, as part of the ERP process it is recommended that the IFRC ensures that its' disbursements to project partners are fully traceable with recipient information included in the IFRC data systems.</p> <p>Addressing this opportunity will have a high impact on the quality and usability of IFRC data and will also fill existing data field gaps related to the inferred minimum requirements.</p> |
| <p>Humanitarian Scope</p> <p>Establish mechanisms and processes for capturing required data in a structured format</p> | <p>Within the IATI standard there are a number of elements and vocabularies that enable humanitarian specific information to be published. This data is not currently maintained by the IFRC in a structured format.</p> <p>As a humanitarian organisation being able to provide usable information in this regard may be deemed a priority for the IFRC. It is recommended that as part of the ERP process, additional data fields are included which will allow this information to be captured in a structured format.</p> <p>In the event that there are delays in the ERP process, the IFRC may wish to consider adapting existing data systems to include more data fields or potentially parsing some information from published documents such as Glide Numbers.</p> <p>Addressing this opportunity will have a high impact on filling existing data field gaps related to the inferred minimum requirements.</p> |
| <p>Results</p> <p>Including more extensive information in the IFRC data system.</p> | <p>The IFRC has in recent years moved to a results based approach for its planning and budgeting. The disclosure of additional information in this regard such as impact and indicators would potentially align with this strategy.</p> <p>It is recommended to include additional data fields into the new ERP that would provide more information in this regard.</p> <p>Addressing this opportunity will have a medium impact on the quality and usability of IFRC data.</p> |

| | |
|--|--|
| <p>Sectors</p> <p>Capturing sectoral data in a more structured manner.</p> | <p>Under the basic publication options above, it is proposed that the IFRC would use a very limited number of default sectors for its activities. This is a compromise and to improve data quality the IFRC could consider using output data to map to standard sector definitions or it may wish to incorporate additional data fields into the new ERP that would capture this information in a structured format,</p> <p>Addressing this opportunity will have a medium impact on the quality and usability of IFRC data.</p> |
| <p>Alignment of IFRC data capture with IATI codelists</p> | <p>The IFRC currently captures a range of data that is also required for IATI publication. The IFRC categorises this data in different ways, and these data capture units have grown organically over time in response to different business requirements.</p> <p>If it is viewed that IATI is effectively setting the industry standard for data capture, then the IFRC may chose to use the new ERP as an opportunity to better align to IATI at the point of data capture, rather than requiring mapping to IATI codelists.</p> <p>Addressing this opportunity will have a low impact on IFRC data quality and usability. It will however reduce scope for error and ensure IFRC aligns with the standard language used in the industry.</p> |

Table 20: Extended publication opportunities

7 Other organisations experiences

The nine peer organisations researched in section 4.5 all provide data that meets or exceeds the inferred requirements. Alongside charting the scope of their published data, several trends can be gathered from their experiences in engaging in the wider IATI process, both internally and externally.

7.1 In-house production

Whilst it is *possible* to produce IATI manually - through spreadsheet manipulation or hand-entry via the AidStream website - all these agencies output direct from their own IT systems and resources. They have proceeded with internal projects to map to the IATI standard, gather data from existing systems and produce the end IATI XML file(s) independently. This addresses a key limitation of manual production - scale,

Outside of the cohort, there are several examples where production of IATI data has often started with manual steps, managed by a *non-technical* team. Once the concepts and processes described with the IATI standard are embedded, organisations have then deployed technical resources to ensure systematic production. The technical side of the IATI standard is appropriately documented, with relevant materials (schema, codelists, etc) well maintained for teams used to work with schemas and machine-readable data. Hence, a key benefit of IATI is the technical documentation, ensuring implementation can happen at scale.

The Netherlands Red Cross are currently deploying new technical systems across their organisation. The inclusion of IATI into this is an ongoing process, with the technical steps already well integrated. It is the wider organisation process - coupled with training - that requires a longer time to be fully integrated and operational.

7.2 Multi-disciplinary

Many of the organisations ensure a successful participation in IATI through establishment and servicing of working groups / task forces that represent their key components or departments. This emphasises the point that IATI is not purely a technical and data initiative, but encompasses finance, programmes, monitoring & evaluation, communications and organisation-wide agendas such as transparency and accountability. In addition, a key factor to these groups is not to consider IATI publication as the endpoint, but as an ongoing process that is key to the organisation.

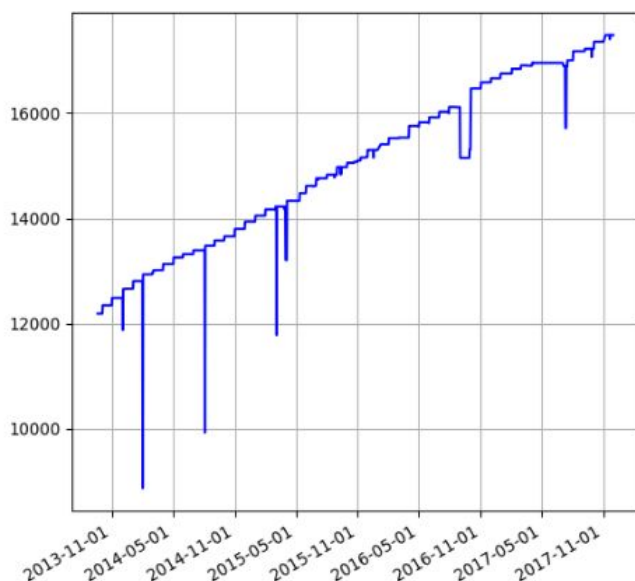
In some cases, such as UNDP, this extends to beyond the boundary of the organisation providing the IATI data. Several UN agencies co-operate together through a transparency working group. A recent outcome from this was the joint publication of a United Nations pooled funds IATI dataset, addressing a key issue for the wider IATI community³³.

³³ <https://www.aidtransparency.net/news/un-pooled-funds-now-published-to-iati>

7.3 Iterative publishing

Of the agencies that have been publishing IATI data for a number of years (WFP, DFID, MFA, UNICEF) it can be observed that their data publication has grown in scope and complexity over time. A public archive of IATI data is not available or maintained, but the IATI dashboard does log publishing statistics. For example, DFID have steadily grown their

portfolio of published IATI activities (see graph)



The nature of IATI - -preserving a historical record of all activities - means this is a trend for all publishers. These indicators also illustrate that IATI data and metrics can sometimes “blip”, reflecting the real time nature and design of the initiative.

More widely, a common trend for IATI publishers is to start small, and publish what they can. Initial publications are not always fully comprehensive or representative of complete coverage.

As noted in section 4.5, all of the cohort organisation currently provide IATI data at version 2 of the standard. Again, this represents commitment for change and development, as initial publications (with the exception of WHO) were at vers

7.4 Data platforms

Alongside *publishing* IATI data in the compliant XML format, five of the agencies also provide and maintain a dedicated platform to access, visualise and use their publications. Alongside the provision of high-quality information, this also enabled these organisations to exert some editorial control over access to their publication, placing these platforms as the canonical source for the data and analysis.

- UNICEF** <http://open.unicef.org/>
- WHO** <http://open.who.int/>
- UNDP** <http://open.undp.org/>
- DFID** <https://devtracker.dfid.gov.uk/>
- MFA** <http://www.openaid.nl/>

All these websites and platforms use the IATI data published by the organisation, and in some cases by others. They provide maps, charts and calculations, alongside aggregations that mix in other data (country and sector profiles, for example)

This illustrates the commitment of some agencies to ensure IATI is not seen as “pure data” initiative. It has often been the case that these platforms have been developed once the

IATI output was in place and stable. In the case of WHO, the two processes were done in tandem

For MFA and DFID, these platforms also utilise the published IATI data from various others. This feeds back into their guidelines around IATI - with these websites providing a useful illustration to understand how IATI can fit together.

There is also a growing trend amongst those agencies that use IATI data to not *overly* mention IATI in public facing communications. Certainly, the initiative and data format are adequately described, but the language deployed is more in the spirit of openness, and tracking of resources - IATI is clearly positioned as an enabling factor under-the-hood.

7.5 Membership of IATI

Finally, it should be noted that six (UNICEF, UNDP, WHO, WFP, DFID, MFA) of the nine agencies are formal members of IATI. With membership, wider participation within the IATI technical, publishing and use communities is expected, alongside the commitment to provide higher quality IATI data.

Members have driven inspection of the change process of the IATI standard, ensuring that developments have been in touch with community needs, and not placed significant overhead on already established systems. As discussed, this is evidenced in these agencies all maintaining data in version 2 of the standard.

Members of IATI have also pushed data use as a key agenda, with the a recent task force established after the Members ' Assembly in October 2017³⁴.

In short, membership of IATI provides organisations with direct influence over how the initiative grows and develops.

7.6 Resources

In all these organisations there is at *least* one person responsible for IATI. They may have other (non IATI) duties, but have oversight on the publication of the data, and may also attend IATI events and governance processes. Amongst the peer publishers, these posts are most commonly situated within the corporate functions for transparency and accountability, with a key focus being to steward working groups / task forces discussed in 7.3 (above)

In those cases where internal systems are adapted/developed, or external platforms maintained, there will be more personnel involved. Again, this will be a wider portfolio than just IATI.

Key considerations

³⁴ <https://www.aidtransparency.net/news/iati-data-use-task-force-launched>

- Successful IATI publications are developed directly from systems and IT resources - manual preparation should be avoided for the long term
- IFRC should ensure any cross-departmental task force or working group can be sustained beyond the initial publication, as IATI is an ongoing commitments
- Provision of platforms and website that use IATI data is a useful mechanism to demonstrate how best to present this information
- Becoming a formal member of IATI provides opportunity to influence direction and strategy.
- At least one person should be responsible for IATI. This may include direct involvement of the data production, but could extend to other areas such as data use and stewardship of any task force. This role is often associated with wider transparency and accountability functions.

8 Recommendation and Conclusions

In conclusion, it is clear that it is possible for the IFRC to publish some level of data to IATI relatively easily and with limited resource implications or changes to IFRC's business processes.

An inferred publication standard has been compiled taking into consideration the publishing requirements from IATI itself, external requirements from key donors and the Grand Bargain, and the actions of peer publishing organisations. The challenge is in publishing transparent and high-quality data that meets some or all of these inferred requirements. While at the same time, remaining cognisant of ongoing IFRC change processes, relating particularly to the introduction of an ERP and to the IFRC's financial modalities when working with project partners. These change processes are likely to impact directly upon data capture and data quality.

In consideration of the above, a phased approach is recommended as follows:-

| Phase 1: Basic publication of existing public information in the structured IATI format (Option B in Section 5.1) | |
|--|--|
| Public information | At a policy level information is already declared public. Information is already published on the IFRC public website but not necessarily in a structured form The IFRC should develop an Open Information Policy to explain the information it publishes to IATI and to answer frequently asked questions. |
| Unit of Aid | Appeal |
| Publishing frequency and data timeliness | Monthly production appears to sit easily within IFRC's existing processes, it is envisaged that publication to IATI will be on a monthly basis, with data published one month in arrears. |
| Data quality | For every data field to be published the quality assurance processes should be reviewed to ensure they assure an adequate level of quality for the data. This includes published documents. It is acknowledged that such data is already in the public domain but publishing to IATI may expose the data to a new and different audience who may use the data in new and different ways. |
| Data coverage | Emergency appeals only |
| Where will IATI data be published | IFRC will need to identify a suitable place on a public web server where data will be hosted and an individual or team will need to be responsible for creating and maintaining the IATI Registry account |

| | |
|----------------------------------|---|
| Licensing | The IFRC will need to apply a license to the published IATI data compatible with the Open Aid Information Licensing Standard; |
| Financial Modalities | <p>Disclose all outgoing funds as IFRC expenditure. The rationale for this approach is that IATI defined disbursements and IATI defined expenditure are both recognised as IFRC operating expenditure in its audited financial statements prepared under International Financial Reporting Standards (IFRS).</p> <p>Narrative text in transaction elements can explain how this should be interpreted.</p> <p>One caveat is issued in this regard. The IFRC is a membership organisation that works with and for its member National Societies. To publish data to IATI that does not accurately reflect the roles of its members may be deemed unacceptable to the IFRC and its membership.</p> |
| Missing data issues | <p>A limited number of data elements are identified where IFRC does not hold the required information in a structured format. Of particular note is the inability to publish humanitarian scope data.</p> <p>For some fields, such as Appeal Description, temporary solutions are available to allow publication to IATI.</p> |
| Mapping to IATI codelists | <p>For the harmonization of data, the IFRC will need to map some of its data to standard IATI codelists. In many cases exact alignment is not possible and compromises will need to be made. The emphasis in phase 1 is on finding an adequate solution now, that can potentially be improved over time</p> <p>For inflows to IFRC, IATI distinguishes between Funds received and Commitments to provide funds. For the IFRC, its income recognition rules are dictated by IFRS and accordingly it does not split income in this manner. Any disclosures which split funds in this way would be additional to information currently published and are therefore not recommended at in this phase.</p> |
| Other issues | A number of additional decisions need to be made by the IFRC regarding what data will be published to IATI and how certain items may be presented. These decisions are generally low key and unlikely to impact significantly on the feasibility of IFRC publishing IATI data. Specifically decisions will be required upon the IATI identifier code to be used for IFRC and the organisation type. A standard contact email address may also need to be established. |

| | |
|-------------------|--|
| | The IFRC may wish to update its Cash Pledge form to clarify to donors that information regarding their pledge may be disclosed publicly via IATI. |
| Technology | Relevant data is available in the data warehouse. It is recommended that fully automated reporting business objects reporting is configured against this data. |

Table 21: Phase 1 implementation

The likely impact of implementing phase 1 are:-

| | |
|--|------|
| % of inferred minimum required data elements populated | 85% |
| Indicative coverage metric | Fair |
| Indicative timeliness metric (out of 100) | 100 |

Table 22: Phase 1 impact

The likely resource implications of implementing phase 1 are:

| | |
|---|--------------|
| IFRC Business analyst | 2 to 10 days |
| IATI Expert support | 3 to 5 days |
| Developer time | 4 to 10 days |
| IFRC staff - Establishing processes for data preview and review | 5 to 10 days |

Table 23: Phase 1 resource implications

Phase 2 implementation may be partial or full. It may also in itself be phased depending upon business priorities.

| | |
|---|--|
| Phase 2: i) Expand basic publication to include development plans (Option Ci in Section 5.1) ii) Extend publication to incorporate humanitarian scope data and address financial modalities for project partners | |
| Development plans | <p>For development plans, although classified as public information, very limited information is currently published on the IFRC public website.</p> <p>Upon review, of a limited number of development plans, issues were identified in relation to quality assurance and consistency of the use of appeal code as a data collection unit. Accordingly in order to proceed with the publication of development plan information to IATI it is recommended that the IFRC reviews and documents its quality assurance processes and agrees on the functionality of the Appeal code for development plans.</p> |

| | |
|-----------------------------|---|
| Humanitarian scope | <p>Within the IATI standard there are a number of elements and vocabularies that enable humanitarian specific information to be published. This data is not currently maintained by the IFRC in a structured format.</p> <p>As a humanitarian organisation being able to provide usable information in this regard may be deemed a priority for the IFRC. It is recommended therefore that IFRC either adapts its current systems or includes additional data fields as part of the ERP process to capture this data in a structured way.</p> |
| Financial modalities | <p>The inability of IFRC to clearly present data illustrating between IFRC and its implementing partners, who has performed which activity severely compromises the traceability of funds. In addition it may create sensitivities with partners if data is published without the partner's true role being recognised.</p> <p>Accordingly the IFRC is recommended to implement fully the planned changes to IFRC financial modalities to allow IFRC to correctly reflect when disbursements are made to partners and track who those partners are. If feasible, the IFRC may wish to accelerate this process to bring forward the planned completion date of 2020</p> <p>In addition, as part of the ERP process it is recommended that the IFRC ensures that its' disbursements to project partners are fully traceable with recipient information included in the IFRC data systems.</p> |

Table 24: Phase 2 implementation

Given that this phase will require adaptations to existing systems, or will place requirements on the development of the ERP, and given that some additional structured data entry will impact on the business processes that are under review for the ERP implementation, it has not been possible to generate reliable estimates of the resource implications for this phase. Some extensions, such as capturing Glide identifiers against appeals in APPLE may be possible with a few days development work, and an update to guidance, but it is reasonable to anticipate that delivering all aspects of this phase will require a staff member with ongoing time dedicated to ensuring IATI requirements and considerations are fed into ERP development, to monitoring data quality, and to monitoring progress towards updated financial modalities. The likely impact of implementing phase 2 in its entirety is shown in the table below:

| | |
|--|------|
| % of inferred minimum required field populated | 96% |
| Indicative coverage metric | Good |
| Indicative timeliness metric (out of 100) | 100 |

Table 25: Phase 2 impact