Operational Framework for Evaluations

Monitoring and Evaluation
Department

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Executive Summary

An evaluation mandate, approved by the Steering Committee in October 2000, is dual-focused, encompassing both the accountability and organizational learning. Building on existing positive evaluation experience and practice, the approved mandate is now articulated as an operational framework for evaluations, reflecting the agreed priorities of the Secretariat relating to the evaluation function. These evaluation priorities will contribute to the achievement of the International Federation's goals and objectives by ensuring that:

→   The evaluation function is relevant to the International Federation's activities;
→   It is focused on results and utility, promoting organizational learning;
→   It is action oriented;
→   It is user friendly, accessible and support driven;
→   It is innovative, cost effective, and rigorous and reflects best international practice.

The framework and accompanying guidelines advocate a systematic, standardized approach to the execution of the evaluation mandate in a participatory and collaborative setting. Effective operation of the agreed procedures and system will be reflected in the following practical applications:

→   Preparation of an annual evaluation workplan in consultation with participating departments;
→   Standardization of evaluation Terms of Reference and methodologies;
→   Identification, selection and recruitment from the register of Consultants by the Monitoring and Evaluation Department;
→   A dedicated evaluation budget line will be included for all interventions above CHF 200,000. This budget will be used for funding a completion evaluation. Independent external evaluation, managed by the Monitoring and Evaluation Department, of all interventions above CHF 1,000,000 will be mandatory;
→   The Monitoring and Evaluation Department will provide support for the integration and development of an evaluation framework at all stages of the project cycle;
→   To facilitate implementation of evaluation findings all evaluation reports will have an accompanying agreed management action plan, including time frame for addressing the recommendations and focal points;
→   The Monitoring and Evaluation Department will promote and engender a culture of evaluation throughout the organization for the benefit of all stakeholders.

Introduction

The humanitarian sector has traditionally been slow in acknowledging mistakes and poor performance. There are many reasons why interventions fail: poor design and planning; implementation difficulties; poor monitoring; weak management; inaccurate problem analysis, and others. Organizations that have adapted well have learned well, through their past and present failures, using a more formal retrospective analysis with an emphasis on learning.

A key feature of the more successful organizations, whether profit or non-profit, public or private, is their ability to:

→ Adopt the achievement of results as their central orientation;
→ Respond to, and learn from, previous experience;
→ React to the changing conditions within the development and humanitarian arena.

Evaluations are now widely acknowledged as a key instrument for providing important information to stakeholders and decision makers on issues of accountability, while simultaneously providing a vehicle critical for organizational learning and performance.

In effect, as evaluators, we are prisoners of the past. Our work can involve reflecting and analyzing outputs and outcomes of interventions designed many years previously. The emphasis of evaluation on learning is unique, and its potential to influence and enhance organizational performance is significant.

Clarifying and demystifying the evaluation function as a performance instrument has facilitated a more demand driven approach among all stakeholders. This has resulted in a more rigorous search for improved methods of assessing whether organizations are both "doing things right" and "doing the right things".

This operational framework is designed to support the future development of the evaluation function by informing broader evaluation policy development within the International Federation and, ultimately contributing to the achievement of the organization's goals and objectives.

Results Based Management

To help fully understand the relationship between 'results-based management' or 'performance management' and Evaluations it is important to look at what results based management is and why it has become a mantra for many organizations involved in the disbursement and delivery of humanitarian and development aid. Results-based management can be defined as a broad management strategy that has the achievement of results as its central orientation, and that is composed of two distinct components: performance measurement (monitoring) and evaluation.

How does Evaluation differ from Performance Measurement (monitoring)?

Performance measurement is an ongoing, routine effort requiring reporting on results at regular intervals. A good performance measurement system will track and alert management as to whether actual results are in line with the objectives.

Evaluation is a practical tool for understanding and improving the performance of humanitarian assistance. Evaluations often focus on why results are, or are not being achieved. Or they may address issues such as relevance, effectiveness, efficiency, impact or sustainability of the operations. Evaluations provide management with lessons or recommendations for adjustment of policies, programs or strategies. While performance measurement and evaluation are distinct functions, they are highly complimentary if they are appropriately cocoordinated with each other.

Why is Evaluation Important?

For all our operations and projects we need to know not only what results were achieved (via monitoring system), but also how and why they were achieved, and what actions should be taken to improve performance further (via evaluations). Thus, evaluations make a unique contribution to performance and understanding, while providing choices and advice on how to make further improvements. The following table illustrates some of the characteristics that differentiate Performance Measurement from Evaluations.

Performance Measurement	Evaluations
Self-assessment	External and Independent Teams
Broad coverage	In-depth analysis
Routine	Occasional
Mandatory	Optional
More Quantitative	More Qualitative
Results Achieved	Why and How
Alerts program managers to problems	Action Recommendations

For most donor agencies and actors in development, evaluation is acknowledged as part of this wider performance management framework. Furthermore, there is also a growing awareness about the benefits of incorporating evaluative methods into key management processes. Development cooperation agencies have faced considerable external pressures to reform their management systems to become more results-oriented and effective. "Aid-fatigue", (the public's perception that aid programs are failing to produce significant development results), declining aid budgets, and government-wide reforms have all contributed to these agencies' recent efforts to establish results-based, performance management systems.

In selecting and designing the optimum performance measurement system for the International Federation Secretariat it is important to firstly identify the measurement goals and establish a clear and objective evaluation process.

Evaluation and the IFRC Secretariat

What is Evaluation?

An Evaluation is an assessment, as systematic and objective as possible, of an ongoing or completed development intervention. The aim is to determine the relevance of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide **information** that is **credible** and **useful**, enabling the incorporation of lessons learned into the **decision-making** process of both partners and donors (OECD/DAC, 200b).

Background

There are significant similarities between the evaluation of humanitarian activities and the evaluation of long term development aid programs. Terms of reference are prepared, teams identified and selected, field studies undertaken, reports and recommendations submitted and corrective action agreed upon. While distinct differences may exist between the scope of evaluations performed within the area of development aid and those of humanitarian action, evidence exists suggesting that the simplicity of the evaluation system is proportional to its degree of success. Clearly "one hat does not fit all" and the unique characteristics of the IFRC as a membership organization will guide the development of an evaluation system that reflects its mission, values and priorities.
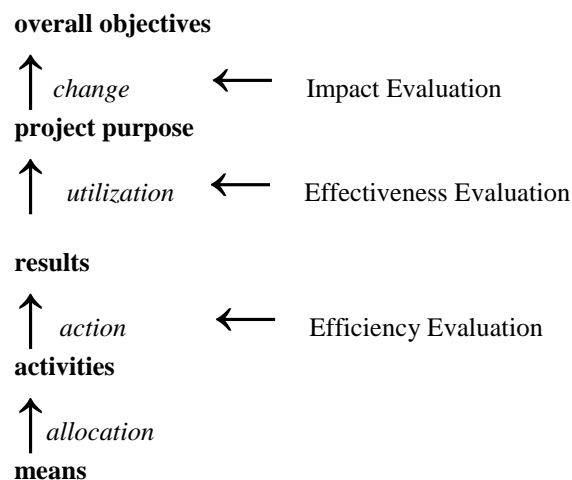
Performance at the IFRC Secretariat: the critical role of evaluations

Evaluation, as a function, is relevant to all activities of the Secretariat of the International Federation. It is recognized as a key management tool used to support the Federation/Secretariat decision-making,

accountability and learning. It is the most important source of information about performance of our activities, programs and strategies. To manage for good performance effectively, the use of evaluation is critical. Information from evaluations is used to:

→ Inform ourselves thoroughly about the outcome of prior investment and implementation decisions; whether these met with Secretariat policy objectives; represented effective and efficient use of resources in line with objectives;

→ Learn from the above findings about the strengths and weaknesses of various approaches; how to incorporate lessons learned in future decisions by informing the planning process; promoting dialogue and sharing of findings with National Societies, Regional Delegations and other stakeholders with a view to improving the performance and effectiveness of humanitarian activities;

→ Meet the accountability needs of Donors, Governments and other agencies through the provision of information regarding how public funds are being disbursed;

→ Build capacity throughout the Federation of the Red Cross and Red Crescent through dissemination of lessons learned and participation on evaluation teams.

The relations between the programming and different types of evaluations may be seen from the diagram below:

overall objectives

↑ *change* ← Impact Evaluation

project purpose

↑ *utilization* ← Effectiveness Evaluation

results

↑ *action* ← Efficiency Evaluation

activities

↑ *allocation*

means

Evaluation Environment

Strategy 2010 articulates the International Federation's response to the challenges of humanitarian action throughout the next decade. Working through National Societies, the *Strategy* focuses on four core areas, reflecting the core business of the International Federation. The Federation-wide evaluation system envisioned by the *Strategy 2010* advocates self-evaluation and peer review to measure progress at achieving objectives set out in the strategy in utilization focused environment.

Evaluation Values and Guiding Principles

Evaluation and related analytical functions will make a significant contribution to the achievement of the Secretariat's goals and objectives by ensuring that evaluation and related analytical functions are:

→ appropriate and relevant to the needs of the International Federation of the Red Cross and Red Crescent;

→ implemented objectively, rigorously, independently and to the highest professional and international standards;

→ Implemented in a collaborative and non-confrontational manner consistent with winning acceptance of the findings and recommendations by all interested parties, including the intended beneficiaries of the activities supported, the host country National Society, PNS and IFRC Secretariat management;

$\rightarrow$ Executed in an efficient and cost effective manner;

$\rightarrow$ Primarily utilization focused and dedicated to organizational learning;

$\rightarrow$ Reflective of the special position of the most vulnerable and other marginalized groups;

$\rightarrow$ Sensitive to crosscutting issues such as gender, human rights, capacity and HIV/AIDS;

$\rightarrow$ Coherent, co-operative and complimentary in the implementation of evaluation exercises with outside agencies;

$\rightarrow$ Quality driven.

Role of the Monitoring and Evaluation Department

The Monitoring and Evaluation Department will manage the evaluation process for the Secretariat of the International Federation.

The mission of the Monitoring and Evaluation Department is:

"To maintain an efficient and effective, relevant and independent evaluation function within the Secretariat of the Federation of the Red Cross and Red Crescent through the execution of evaluation exercises and related analytical functions, facilitating acceptance of their findings and, contributing to policy development within the Federation."

Discharging the role through consultation

The Monitoring and Evaluation Department will:

$\rightarrow$ Prepare and agree with management an annual program of Evaluations and related activities (evaluations of programs, processes, themes, instruments, sectors, preparation of guidelines, provision of help-desk, discussion papers, "think pieces", training manuals etc.);

$\rightarrow$ Agree the annual budget for the evaluation and program support function;

$\rightarrow$ Agree arrangements for a specific contribution by the Monitoring and Evaluation Department to the IFRC Secretariat's appraisal, consistent with protecting the independence of the evaluation function;

$\rightarrow$ Agree arrangements for a specific contribution by the Evaluation Unit to the Secretariat's planning and management functions;

$\rightarrow$ Contribute to arrangements that facilitate the feedback of evaluation findings to the Secretariat's overall approach to program identification, planning, appraisal, approval, design, monitoring e.g. by active participation in seminars and training activities, drafting discussion papers etc.;

$\rightarrow$ Promote and engender a culture of evaluation throughout the Federation by active liaison with desks and in particular Regional Delegations.

Discharging the role by own authority:

$\rightarrow$ Manage the resources allocated to the Monitoring and Evaluation Department in accordance with the IFRC administrative procedures;

$\rightarrow$ Develop and maintain a register of consultants suitable for use for evaluations and related functions;

$\rightarrow$ Prepare terms of reference for consultants; brief and supervise the work of consultants; provide the Secretariat human resource management with performance reports in respect of consultants;

$\rightarrow$ Ensure that exercises are completed on schedule, circulate draft reports, co-ordinate and transmit responses and arrange for management decisions;

$\rightarrow$ Ensure that all documentation is as practical and concise as possible (clear presentation of findings, options and recommendations) and presented and available in a format that ensures consistency e.g. electronic;

$\rightarrow$ Ensure that the results of exercises are presented in a manner which maximizes their impact on the Secretariat's ongoing operations (user-friendly documentation, personal presentations at meetings and seminars, etc.);

$\rightarrow$ Ensure that, as far as possible, evaluation dissemination reflects the confidentiality requirements of Secretariat;

→ Ensure an adequate involvement in evaluation activities by the intended beneficiaries and the host-country societies;

→ Develop and maintain a "help desk" consistent with providing program support throughout the Federation;

→ Keep abreast of international thinking and "best practice" by participating where possible in the relevant activities of the DAC, ALNAP and other fora as appropriate;

→ Implement an annual "tracer study" to assess utilization uptake and follow-up on implementation of recommendations emerging from evaluation exercises;

→ Generate and encourage the development of a culture of evaluation within the IFRC Secretariat and particularly Regional Delegations of the Red Cross/Red Crescent.

Types of evaluation and methodologies

Evaluation should be considered by program managers at each stage of the project cycle and future information requirements planned for in the form of indicators and baseline studies. Annex 1 contains a full list of evaluation types defined by the Development Assistance Committee of the OECD; a short presentation is presented bellow:

1) **Mid-term Evaluations:** A Mid-term evaluation is conducted during the life cycle of an ongoing intervention. Focusing on potential improvements, guidance and the successful implementation of IFRC Secretariat objectives, the evaluation considers the concept and design of the intervention, decisions made, the experience of stakeholders and initial lessons with immediate purpose of assessing and reinforcing objectives in order to identify appropriate future action and to establish indicators and milestones by which further progress can be monitored.

2) **Completion Evaluations:** Each approved intervention should have a date for evaluation listed in its approval document. This will be used to generate an annual workplan. A decision on an evaluation will be made by the Desk Officer/Head of Department and will depend on whether they see the intervention and being near completion/completed or, likely to need further funding.

3) **Ex-post evaluations:** Ex-post evaluations will be carried out at an agreed period following the cessation of Secretariat support to an intervention. These evaluations test the entire logic and course of implementation of an intervention, identifying lessons learned for dissemination as best practice, thus forming the basis of policy formulation and future programming in the field.

4) **Thematic Evaluations:** The aim of thematic evaluations will be to provide policy guidance and operational guidelines to both Federation and field personnel as well as providing an overview of how well the existing program reflects Secretariat policies. These exercises will promote an exchange of information between country programs and between donors and partner Governments. Potential exercises could examine crosscutting issues such as Gender, Good Governance, HIV/AIDS, Capacity Building, Technical Assistance, Disaster Response and Preparedness etc.

5) **Program Evaluation**: IFRC Secretariat in conjunction with National Societies and other actors have set out a ten year strategy that provides for Secretariat focus on a number of programs.

6) **Sectoral Evaluations**: Secretariat support and resources are made available to many sectors. Currently however the main sectors of support are the Health Sector, Water and Sanitation, and Roads.

7) **Schemes and Instruments:** The intensive approach to Cooperation Agreement Strategies and the development of Self Assessment approaches will require periodic evaluation.

Evaluation Planning

Preparation of Evaluation annual workplan

The Monitoring and Evaluation Department will invite all Desks, Directors, and Regional Delegations to contribute to the annual evaluation workplan for the following year. The final program together with a proposed budget will be presented to the Steering Committee for approval in November. While the program will be reflective of all interventions implemented by the IFRC Secretariat, it will, at least in the short term focus on those activities outlined in the *Strategy 2010*. This approach will also facilitate the phased introduction of a results based management culture throughout the organization.

Planning an Evaluation

The key to a successful evaluation is a coherent Terms of Reference. The Terms of Reference is a written overview of the evaluation exercise. It sets out the background, reasons for the exercise, scope, methodology and expectations from the exercise. It will identify the consumers of the evaluation and outline its contribution to knowledge sharing. In addition, it will describe the likely profile and experience of potential consultants along with reporting criteria and timetable. To facilitate a more standardized approach to the preparation of TORs throughout the Secretariat the following points should be defined:

Background

Brief explanation of the main contents of the intervention or subject to be evaluated, referring to the history of IFRC involvement and link to the context where possible. Presentation of an indication of the scale of the project in relations to the overall budget of the country/sector or relevant IFRC responsible area. Identification of the main partners, stakeholders and beneficiaries involved. Reference to any relevant available documentation.

Identification of the evaluation questions -- clarifying the questions that the evaluation will answer is critical to a focused effort.

Reasons and Users of the Evaluation

Main reasons for the exercise e.g. end of funding cycle, implementation difficulties, and impact measurement. Listing of the main consumers and consider how the evaluation findings will be used.

Scope and Focus of the evaluation

This section is the most important section and should outline the main issues to be examined by the evaluation and prioritize the areas to be examined. In general the evaluation will cover the following areas to varying degrees:

1) Relevance

The decision by the IFRC Secretariat to provide support to a particular intervention is based on problem analysis. The evaluation examines whether the intervention provided the best solution to the problem. Useful questions are:

→   Were the correct assumptions made in the original problem analysis?
→   How does the intervention relate to problems identifies by local stakeholders?
→   Were the views of all stakeholders, and particularly women, elderly, marginalized, and other vulnerable groups, represented in the planning process
→   Is the intervention compatible and reflective of IFRC policies and guidelines e.g. Sphere   standards and gender guidelines.
→   Were there unexpected outputs from the intervention?

2) Effectiveness

This section should be an assessment of the achievement of the objectives as set out in the original project/program document. The analysis should assess the achievements at different levels, outputs, immediate objectives, sectoral objectives and broader IFRC Secretariat objectives. There will be variations in the level of importance attached to each depending on the type of evaluation. However, at the minimum the logic of how the intervention project related to the broader IFRC Secretariat objectives should be tested and whether initial assumptions held up.

In assessing impacts and outputs, immediate objectives (results) will be easier to measure. Longer term objectives (outcomes and impact) may be impressionistic in the absence of baseline data. Typical questions might be to assess whether the original objectives have been achieved and constraints, and to examine the impact of the intervention on the livelihoods of the targeted beneficiaries and other stakeholders.

3) Efficiency

The evaluation should examine the execution and administration of the intervention. It will assess the implementation process, its organization, management and procedures and the degree to which the various actors discharged their roles. In addition, this section will examine the cost-effectiveness of each intervention, whether inputs, costs and budgets were adequate and reconcile and whether the costs were reasonable in relation to the achievements or could they have been realized more cost-effectively.

4) Sustainability, Phasing Out and Exit Strategy

The sustainability of an intervention measures whether it can be sustained financially, institutionally, following the withdrawal of external support. While some interventions falling within area of humanitarian action may not demonstrate sustainability, longer term support e.g. capacity building and National Society empowerment has important sustainability dimension. The evaluation should analyze the financial and institutional context of the intervention and particularly in terms of ongoing costs and required capacity.

Where interventions are coming to a conclusion the evaluation should set out a timetable that clearly outlines procedures for the transfer of responsibility while taking into account that any exit strategies require time. It should also identify any management training in the interim period to ensure institutional building including the need for a budget contingency.

5) IFRC Secretariat policies and guidelines

The IFRC Secretariat policies and guidelines should be considered in **all** evaluations. Increasingly. evaluation reports will mainstream issues (Gender, Good-Governance, Capacity Building, HIV/AIDS, Sphere standards) in favor of a separate analysis.

Methodology, Evaluation Team and Time Schedule

1) Methodology
The main methodological approach used will involve the capture and analysis of qualitative and quantitative data encouraging participation where possible. Data collection methods will involve desk studies; direct measurement; interviews with key informants; group interviews; questionnaires; observation and participatory evaluation.

2) Evaluation Team

Evaluation teams will vary. The requirements for Consultants will arise from the scope of the exercise and the Methodology identified. A representative of the National Society should also be included on the team. Although the presence of relevant Federation staff on the team is desirable especially in capacity building, the decision should be made by the Monitoring and Evaluation Department in conjunction with the relevant Desk. The individual roles of the different team members should be clearly set out and agreed at the team

meetings prior to commencement of the exercise. The Monitoring and Evaluation Department will have the lead role in briefing Consultants prior to commencement of the exercise.

3) Time Schedule

The time schedule should be realistic in terms of preparation, write-up and the realities of traveling in partner countries as well as allowing sufficient time for the participation of local partners and National Society staff. However, evaluation schedules should also be cost effective and recognize budget limitations. The schedule should be agreed as far as possible to facilitate the logistics and administrative needs of the IFRC Secretariat.

Reporting and Feedback

This section of the TORs should indicate the type of report, in an agreed format and number of copies. A debriefing should take place at country level prior to departure. The debriefing should be based on a prepared aid-memo. Final reporting to IFRC Secretariat may also include a presentation of findings and conclusions from the exercise. Reports from evaluation exercises should follow a "house style" or logical structure with stand alone executive summaries of two to four pages. The reports should be brief and concise and the structure of the report should meet the needs of the principal stakeholders (see section on feedback and dissemination)

Identification and selection of Consultants

The consultancy positions for every evaluation will be openly advertised. In addition, the Monitoring and Evaluation Department will utilize its Consultant Register, containing the information on potential expertise available across different sectors. When an evaluation or a related analytical function is scheduled, staff will refer to the register and where possible a minimum of three consultants will be pre-selected. Consultants will be selected based on their relevant expertise and according to the requirements outlined in the Terms of Reference. An invitation to tender will be sent to the three pre-selected consultants and they will be invited to submit a bid for the work giving details of their suggested approach (in less than 1,000 words), their time schedule, their availability and their fee expectations. The approach submitted will be considered by IFRC Secretariat staff with reference to the field and the approach deemed most appropriate will be selected. The final appointment of consultants will be subject to more formal approval, agreed by an officer with Head of Department approval. The selection may be recorded by a minute in the format outlined below. The successful Consultant will be contacted by the HR department and offered the contract.

However, should the Secretariat consider none of the approaches received to be satisfactory, it may revert to the register to select further consultants. On completion of the evaluation exercise stakeholders will be encouraged to make provide feedback on the suitability, performance and quality of consultant(s).

Consultants' Selection Committee
Minute

A meeting was held at the Secretariat of the International Red Cross and Red Crescent Society in Geneva on_____at_____hours. Members in attendance were
1._____
2._____
3._____

The meeting was seeking to appoint a consultant for the purpose of_____
_____

The following candidates were considered in connection with the contract

1._____

2._____

3._____

4._____

It was agreed to offer the contract to candidate no._____

because_____

_____

A rate of _____Per day will apply

Signed Member 1._____

Member 2._____

Member 3._____

Date_____

Attach copy of TORs

Reporting and dissemination of results

Communication

To enhance professionalism and effectiveness the department will adopt a "house style". Reporting styles will incorporate the following components:

→ The Monitoring and Evaluation Department will co-ordinate the circulation, responses, transmission and preparation of the management memo for all evaluation exercises, through consultation with the relevant department;

→ A consistent house style establishing clear ownership and reinforcing corporate identity that facilitates the maximum potential for knowledge sharing;

→ Publication policy and procedures that ensure completeness o publication and distribution and maximize the use of technology solutions in the process;

→ Clear and concise expression of content;

→ Simple, clear formats;

→ Concise summaries including a 2-4 page standalone executive summary;

→ Maximum brevity consistent with accuracy and balance;

→ Clearly identified recommendations;

→ Clear allocation of accountability for action;

→ Time scales for implementation of agreed action;

→ Regular short seminars and one major annual seminar;

→ Two week response time for draft evaluation reports, and one week period for real time evaluations;

→ The Monitoring and Evaluation Department will prepare an annual activity summary report for circulation and input into an IFRC Secretariat annual report.

Reporting responsibility and action for change

A key concern, which is not unique to the Secretariat, relates to the follow through on matters raised in evaluation exercises. It is widely recognized as a significant challenge among all actors in the humanitarian and development arena. There is an inherent difficulty in this area associated with the complexity of issues involved. There is a major potential for the Monitoring and Evaluation Department to contribute to the learning opportunities of the International Federation by co-coordinating the response and producing utilization focused information. However, the essential, continuous and dynamic part of the process will be that involving incorporation of findings. A key feature of more successful organizations is the formal process by which action is agreed among the main stakeholders in response to recommendations from evaluations.

Once the first draft Evaluation Reports are submitted by the consultants, they will be examined by the Monitoring and Evaluation Department for quality, fulfillment of the Terms of Reference, and any potential errors or omissions. On the basis of the comments from the Monitoring and Evaluation Department, the consultants will prepare the second draft of the reports. The second draft reports will be distributed to the managers involved in the operations for checking errors and omissions; this part of the process should not take longer than two weeks (one week for real time evaluations). Once it is finalized, the third draft reports will be sent to the management and all stakeholders of the evaluations for comments; a period of no more than two weeks should be allowed for submitting comments. The comments will be collected and examined by the Monitoring and Evaluation Department and sent to the consultants, who would adjust the reports accordingly, subject to their agreement with the comments made, and send the final reports to the Monitoring and Evaluation Department.

Management will prepare a memorandum (*'management memo'*), commenting on all the recommendations of the evaluation reports. On the basis of management memo, the completion memorandum will be prepared by the Evaluation Department, summarizing all the recommendations made and including the proposed management response to each one. Focal points for each action will be identified, and, whenever possible, deadlines set. The completion memorandum will be signed off as approved by the relevant director. Follow-up on the implementation of the agreed responses will be submitted to the Monitoring and Evaluation Department and reviewed every quarter. In addition, each round of real time evaluations will include listing all the recommendations suggested by the previous evaluations, and an assessment of the progress made in relations to each one.

In the case of each evaluation exercise conducted, a completion memorandum will be prepared, summarizing all the recommendations made and including the proposed management response to each one. This memorandum will be discussed at the steering committee meeting and signed off as approved relevant manager or Director. Follow up on the implementation of the agreed responses will be reviewed annually in the form of a tracer study on utilization uptake. In addition, a range of communication channels will be employed to communicate the issues being raised to the widest possible audience.

Elements of proposed reporting system that reflects the range and scope of Evaluation activity

1) All draft reports would be submitted to the Director of the Policy and Relations Division for onward transmission to the appropriate level.
2) A two week period would be allowed for responses and comments; in case of the real time evaluations, this period would be shortened to one week.
3) On an annual basis, the Steering Committee could discuss the results of evaluation activity and key exercises in detail. This discussion might form the basis of a brief report for submission to the Governing Board.
4) A matrix reflecting the proposed lines of responsibility for action and implementation in different types of evaluation is outlined below.

Type of Evaluation	Actionable Level	Implementation
Metaevaluation (an aggregation of findings from a series of evaluations)	Steering Committee	Secretary General
Member Societies	National Board/Steering Committee	National Society Secretary General
Federation Program (Accountability)	Division Director	Head of Department
Federation Program	Directors of Division and Knowledge Sharing	Head of Department

(Lessons Learnt)		
Multidonor/Multi Division	Secretary General	Monitoring and Evaluation Department to Co-ordinate as appropriate
External Evaluation of IFRC	Secretary General	Monitoring and Evaluation Department to Co-ordinate as appropriate
Follow up "tracer study" on implementation of evaluation findings and recommendations	Steering Committee	Monitoring and Evaluation Department

A suggested reporting memorandum with an example is illustrated below:

Subject	Recommendations	Priority	Management response/agreed actions	Action by/ Date
Roles/ Expectations	Monitoring and Evaluation Department should take the lead in developing a clear role definition and mission statement for the Department	1	Agreed, Director of department to progress and ensure implementation	June 2002

The accompanying memorandum will then be filed with the report.

Organizational Learning

The evaluation function will avail of existing knowledge sharing mechanisms currently in use eg DMIS, Quickplace and our Web Site. Executive summaries and, where appropriate, full documents will be posted for viewing. In addition, the Monitoring and Evaluation Department will continue to provide a comprehensive help desk facility and will commence a program of in-house seminars.

Budgeting

The Monitoring and Evaluation Department will encourage planners and program managers to allocate a maximum 5% dedicated budget line for evaluation in all interventions over CHF 200,000. These funds will be used to support evaluation activity in the form of a completion evaluation, ex-post evaluation or other analytical functions of relevance to the intervention. This approach is consistent with best international practice.

Occasional resource mobilization for discrete interventions, such as M&E capacity building at Regional Delegation level, seminars, publications etc. will be undertaken with the prior approval of the steering committee.

External and Internal relationships

External

The Monitoring and Evaluation Department will work closely with relevant agencies such as the ICRC, PNS and National Societies. Active participation in joint exercises with Donors, Multilateral agencies and others is a desirable feature of evaluation activity. There are distinct benefits for all stakeholders in adopting this approach:

→ Reduces duplication of effort in background context analysis, research into national problems, opportunities and forecast performance can profitably be shared;

→ Reduces the burden among partner stakeholders, who need only meet with evaluators once;

→ Each of the agencies involved obtains access to the other(s)' M&E findings, i.e. obtain comparators with which to benchmark its own performance;

→ Opportunities for donors to learn for each other;

→ Opportunity for donors to build on coherence, complimentarity and co-operation resulting in a more cost-effective evaluation function.

Internal

The Monitoring and Evaluation Department will work closely with all departments, divisions and Regional Delegations. It will participate fully in relevant organizational development initiatives, and facilitate capacity building efforts that ultimately strengthen National Societies. The unique relationship between Audit and Evaluation will be developed and strengthened to provide a more seamless and comprehensive information base that will actively contribute to knowledge sharing.

Summary of internal functions, relationships and responsibilities relevant to evaluation activity

Function	Lead role	Secondary role	Support role
Workplan identification and preparation	Monitoring and Evaluation Division	Directorates and Desks	
Preparation of Draft TORs	Relevant Desks and l Delegations and National Societies	Monitoring and Evaluation Department	Directors
Circulation of Draft reports	Monitoring and Evaluation Department	Divisional Directors and relevant Heads	
Preparation of action memorandum	Monitoring and Evaluation Department	Divisional Directors and relevant Heads	Relevant Desk Officers
Change Management from evaluation findings	Steering Committee	Heads and Desks	Monitoring and Evaluation Department
Identification of Consultants	Monitoring and Evaluation Department	Desks	Human Resource department
Selection of Consultants	Monitoring and Evaluation Department	Relevant Desk Officer	Human Resource Department
Engender Evaluation awareness	Monitoring and Evaluation Department/Director	Directors/Desks/Regional Delegations	Knowledge Sharing Division
Co-ordinate M&E capacity building for decentralized function	M&E Division	Regional Delegations	Organizational Development Division
Arrange periodic and annual seminar seminars	Monitoring and Evaluation Department	Knowledge Sharing Division	Desks
Develop Consultants' register	Monitoring and Evaluation Department		Desks and Human Resource Department
Closure	Monitoring and Evaluation Department	Relevant Desk and steering committee	

Annex 1: Glossary of terms

Accountability: An obligation for an organization or person who manages resources to report   stakeholders about the intended and effective use of the resources and on the achievement of results.

Accountability framework: Defines at all levels responsibility standards for the justification   of expenditures, decisions and the results of the individual units/staffs.

Action Plan: A description of the sequence of all tasks and activities necessary to achieve   a   general objective and the associated specific objectives.

Activity: Any process used to transform a combination of input / resources (human, information,   material, financial) to achieve results (outputs, outcomes, impacts).

Appraisal: An overall assessment of the relevance and feasibility of an objective or action.

Appropriateness: The correspondence between input / resources and the intended results.

Assessment: Identification of beneficiaries / target populations and their needs.

Assumptions: Expectations about external factors (risks and constraints) which could affect the progress or success of a humanitarian action, but over which the management has no direct control.

Audit: An independent objective and systematic function providing assurance to governing   body   of management compliance with statutes and regulations, efficiency of administrative systems, economic and judicious use of funds, and integrity of performance information.

Baseline study: An analysis describing the situation prior to a humanitarian action, against which progress can be assessed or comparisons made.

Benchmark: Reference points or standards against which progress or achievements are compared   or assessed.

Best practice: Good examples of professional performance, useful for learning.

Coherence: The extent to which there is consistency between policies / strategies and action.

Competence: Professional ability and entitlement to undertake defined tasks
(competencies are the logical background of the program notion).

Connectedness: The degree to which the need for short term activities take into account longer   term   and interconnected problems.

Constraints: Obstacles and barriers that might block achievement of results. External   constraints   are obstacles beyond control.

Co-ordination: Degree of functional co-operation and exchanges of information among multiple actors.

Cost-effectiveness: The extent to which an objective has been achieved in the best way, comparing   results and costs.

Coverage: The degree to which the target population is reached.

Data: Observations that can either be quantitative (numerical) or qualitative (categorical,   often   involving attitudes, perceptions and intentions) which can be collected specifically for a study / evaluation as primary data or utilized from existing data often referred to as secondary data.

Effect: A generic term that refers to the intended and unintended changes resulting directly   or   indirectly from an action.

Effectiveness: A measure of the extent to which a project or program is successful in achieving its intended results, goals and objectives.

Efficiency: A measure of how economically inputs (funds, expertise, time, etc.) are converted into outputs.

Evaluation: The independent, objective and systematic, examination of either a policy, program,   support services, or emergency operation, its design, implementation and results.
Evaluations commissioned by the Secretariat are **internal evaluations**, those commissioned by stakeholders outside the institution are **external evaluations** and those taken on by the Secretariat together with outside stakeholders are **joint evaluations**.

Ex-post evaluation: Are carried out 2-5 years after external support is terminated. The main purpose is to assess what lasting impact it has had or is likely to have and to extract lessons of experience.

Interim evaluation: Evaluation of an ongoing action, usually taking place mid-term in the   implementation period or at the end of a distinct phase.

Meta-evaluation: Evaluation of evaluations, performed to judge the quality of evaluation

Participatory evaluation: Evaluation in which representatives of agencies and stakeholders,   including beneficiaries, work together in designing, carrying out and interpreting and evaluation.

General objectives: A general statement of intent used for planning purposes on a 1 to several   years horizon. This term is generally at the same level of specificity as outcome level   results.   Also   refer   to objective (No. 37) and specific objective (No.59) for more details.

General objective code: This code is composed of three elements: organizational unit code, target / sub-target population code and program / sub-program code.

Goal: See under result (No.55). Goal is a higher level result, i.e. desired impact.

Human Resources Summary: List of PfR database indicating expatriate staff, budgets and actual status.

Impact: An examination of the wider long-term effects that the action contributes to -social, economic, technical, environmental, -individuals, communities, and institutions. Impact can be immediate and long-range, intended and unintended; positive and negative, macro and micro. Impact studies address the question what real difference has the action made in improving the capacity of communities to reduce their level of vulnerability? How many people have been affected, and how they have benefited from the action.

Indicator: Quantitative or qualitative variable that provides a simple and reliable basis for assessing achievement, change and performance.

Input: Organizational, human information, or physical / material, financial resources invested directly or indirectly to achieve results in favor of intended beneficiaries.

Institutional strategic objective: A global orientation or priority set by the Direction and approved by the Governance.

Learning organization: An organization managed with the aim to achieving continuous improvement and best practices; identifying opportunities, managing risks, enhancing competencies in providing humanitarian assistance and protection.

Lessons to be learned: Learning from a specific experience that is applicable to a generic situation in order to improve knowledge and our operational capacity to respond.

Logical framework: Management tool used to improve design of humanitarian actions. It help to identify strategic elements (inputs, outputs, outcomes and impact) and their causal relationships, and the external assumptions / constraints that may affect the achievement of results.

Management: Definition of accountabilities, delegation of competencies and administration of an organization.

Objective: A means-end statement of intent that clearly identifies a result or a measurable change for a target group (of beneficiaries). It clearly identifies an object, uses an active verb and is measurable and time bound.

Operational research: Internal operational research refers to any evidence-based examination and documentation of relationships among specific factors that appear to be relevant to the effective delivery of humanitarian assistance.

Outcome: At the general objective level, these are the effects over the mid-term (one to several years). These intermediate benefits are generated over time and are directly linked to the accumulated achievement of program outputs.

Output: Short-term, tangible results of Federation interventions actions or program inputs achieved within a 12 month period.

Performance: The extent to which a program, project, or operation is implemented in an effective, efficient and timely manner and produces expected results for an identified target population without causing unintended negative consequences.

Performance framework: A table which presents in a logical way the various elements of a program, from target population and desired impact to objectives and activities.

Performance management: A results-oriented approach, connected to clear accountabilities, relying on methods for producing results information (PfR, performance monitoring, evaluation, research) in support of operational implementation, organizational learning, and institutional decision making.

Performance monitoring: A continuous process of self-assessment in relation to planned objectives with the aim of providing early indications of progress in the achievement of the expected results.

Planning: A corporate function that assesses context, target groups, problems / needs, risks, constraints, opportunities and sets priorities to ensure an appropriate level of co-ordination and alignment of actions and resources towards the achievement of expected results (Planning for results).

Problem statement: A concise description of an unsatisfactory condition that answers the basic questions of : who, what, why, where, how much, how many, since, when.

Program: A category of activities addressing a specified need which is managed by competent personnel and undertaken top achieve the same or similar objectives.

Project: A specific intervention with a clearly defined time frame, budget and results to be achieved, and a clearly assigned accountability (project manager).

Reach: The extent to which the needs of identified beneficiaries and target populations are expected to be addressed or have benefited from the resources mobilized, actions undertaken and the outputs generated.

Relevance: Degree of correspondence between the needs of the target population and the objectives defined.

Reliability: A measurement is reliable to the extent that, when repeatedly applied to a given situation, it consistently produces the same results if the situation does not change between the applications. Reliability can refer to the stability of the measurement over time or the consistency of the measurement from place to place.

Reporting: Regular narrative, statistical and/or financial feedback, favoring monitoring of ongoing work and information flow to stakeholders.

Resources: Inputs directed towards achieving of results (human resources, material and financial resources, assets, know-how).

Responsibility: The designation to or acceptance by an individual for an identified role or task. (This term is key to an understanding of accountability).

Result: A describable and/or measurable change in state, planned and unplanned, at the output, outcome, impact level, that can be attributed to an intervention.

Result chain: A series of results, i.e., outputs, outcomes and impacts, linked one to another by virtue of their cause and effect relationships.

Review: A comprehensive assessment of progress by operational management linked to a program or action on behalf of a beneficiary population.

SMART methodology: Guidance for the formulation of general and specific objectives: **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime-bound.

Specific objective: The short-term results statement (output), within a 12 month period. Also refer to objective (No. 37) and general objective (No. 25).

Stakeholders: A person, group or other body having ownership or interest in the work of an organization.

Strategy: Possible ways and approaches to achieve results overcome constraints and capitalize on opportunities.

Sustainability: Whether the results are likely to continue after outside support is withdrawn and responsibility shifts to local capacity.

SWOT Analysis: A frequently used analytical tool, listing **S**trengths, **W**eaknesses, **O**pportunities, and **T**hreats.

Target population: A group of people who are intended to benefit directly or indirectly from an intervention. This term is also used synonymously with intended beneficiaries. They are described in the target population definition list.

Terms of reference: An explanation of the requirements for conducting an evaluation.

Validity: To what extent the information measures what it is intended to measure.

Annex 2: Confidentiality Statement

The Monitoring and Evaluation Department will ensure confidentiality of data and information of relevance to, and in the execution of, the evaluation function. Circulation of draft documents will be limited to major stakeholders only. The Monitoring and Evaluation Department alone will be the repository of comments and inputs on those draft documents and will be solely responsible for onward transmission to the Consultant. This will facilitate the provision of a seamless approach to Consultants in the completion of their work.