

ALNAP Workplan

Financial Years 2000/01 and 2001/02

**Annual Report of Expenditure (Year 1)
& Funding Request (Year 2)**

March 2001

ALNAP Workplan for Financial Years 2000/01 & 2001/02 Annual Report of Expenditure (Year1) & Funding Request (Year2)

Introduction

This paper has the dual role of providing an Annual Report on Achievements and Expenditure in Year 1 (FY 2000-01) and an update on Activities and Funding Requirements for Year 2 (FY 2001-02). Year 2 revisions were approved at the ALNAP Steering Committee meeting of 15th January 2001.

The information is presented in accordance with the budget lines in the original document '**Funding Proposal for FY's 2000-2002**' presented to Full Members in May 2000. A section on Secretariat staffing has been added.

The programme of non-core activities continues to focus on the three Workplan themes:

1. Making the Evaluation Process More Effective;
2. Strengthening Accountability Frameworks for the Humanitarian System;
3. Improving Field-Level Learning Mechanisms,

Highlights from the (2000-01-02) Workplan

- ALNAP's Annual Review 'Humanitarian Action: Learning from Evaluation' (to be published in April 2001);
- Development of ALNAP evaluation training activities (Evaluation Manager's course to be run in May 2001; training modules to be tested from mid-2001);
- Follow-up to evaluations of humanitarian action study (to be presented in April 2001);
- ALNAP's first Interest Group Activity 'Global Study on Consultation and Participation of Beneficiaries in Humanitarian Action' (Research/fieldwork to begin in August 2001);
- Development of the Learning Office (LO) concept (to be tested in Sierra Leone in 2001 as ALNAP's second Interest Group Activity);
- ALNAP's first book 'Evaluating International Humanitarian Action: Perspectives from Practitioners' (to be published in August 2001) *a parallel activity not included in the original workplan.*

Report on FY 2000-02 & Funding Requirements for FY 2001-02

Secretariat Staffing

Secretariat Co-ordinator - John Borton continues in this role.

ALNAP Administrator - Kate Robertson took up the post on 2nd May 2000, four months after her predecessor's departure. Prior to her appointment the job was expanded to include responsibility for financial tracking and representation of ALNAP in Francophone fora. During the year it has been further expanded to help meet the additional workload. The salary and job title will be upgraded accordingly in 2001.

Database Manager - Felicity Heyworth left ALNAP on 22nd September 2000 to be succeeded by Lucy Carver following a week's hand-over. In addition to the management and development of the Evaluative Reports Database, the ALNAP Website and the Listserv, the post now includes responsibility for the Membership database, a role previously undertaken by the ALNAP Administrator.

Part-Time Secretary To reflect the expanded programme of activities and enable other members of the Secretariat to use their time more effectively, the Steering Committee approved the creation of this part-time support post at its January 2001 meeting. The post

adds £17,626 to the FY 2001-02 budget. The additional sum has been countered by a decrease in the annual contribution to HPG's shared Management and Administrative resource.

ALNAP Evaluation Training and Research Adviser This part-time role was assumed by Raymond Apthorpe on 1st June 2000. In March 2001, following completion of his input into the Annual Review, he resigned due to ill-health. Evaluation and training specialists Jim Welch and John Telford will take over his ALNAP FY 2001-02 responsibilities on a freelance basis.

Core Activities

a. Membership Maintenance and Development

ALNAP has 49 Full Members and 259 Observer Members. Three new full members joined in 2000-01: HAP, ODI and Tufts' Humanitarianism and War Project Dept. Three potential new members (two southern) have been invited to the 9th Biannual Meeting in April 2001.

In FY 2001-02 efforts to increase the number of 'southern' members will continue.

FY 2001-02 funding requirement for this activity is £4,557.

b. Funding the Workplan Budget and Interest Group Activities

Workplan Funding

The FY 2000-01 budget was £303,354 + D77 Doing Evaluations £3,750. 24 Full Member contributions have been received or pledged, totalling £297,451, which with the £10,966 1999-2000 carry over means that ALNAP has successfully met its funding target (see Annex 1).

Due to the time taken by Full Members to approve and transfer contributions to ALNAP, it has been heavily reliant on ODI's willingness to underwrite its cash-flow shortfall. To help counter this problem, the October 2000 Biannual meeting agreed to bring ALNAP's funding cycle forward by 2-3 months, with the Steering Committee approving final revisions to the FY 20001-02 budget in January 2001.

In-kind Support

In FY 2000-01 several ALNAP meetings, including the October 2000 Biannual, were hosted by Full Members.

In FY 2001-02 two Full Members have pledged to undertake and fund the translation and dissemination of two ALNAP publications, one into French and the other into Japanese.

Interest Group Activity Funding

The ALNAP Secretariat also has responsibility for raising Interest Group Activity start-up funds, which are additional to the Workplan budget. In FY 2000-01 the Secretariat secured pledges of £211,700 (42% of the overall budget) from 5 Members for ALNAP's first Interest Group Activity 'The Global Study on the Consultation and Participation of Beneficiaries'. Interest Group Activity Project Directors become responsible for raising remaining funds once in post.

In FY 2001-02 the Secretariat will have the same responsibility in relation to ALNAP's second Interest Group Activity, 'The Learning Support Office Test'.

FY 2001-02 funding requirement for this activity is £10,335.

c. Maintenance/Development of the Evaluative Reports Database and Website

Restructuring the Evaluative Reports Database

The Evaluative Reports Database was restructured towards the end of 2000 to increase ease of use and enable a statistical analysis of trends over time. The 288 reports currently held are classified under one of nine different categories, with 130 under the 'Evaluations of Humanitarian Action' category which provides the source data for ALNAP's Annual Review publication. 195 of the evaluative reports have key sections in fully searchable form on the ALNAP website.

Documents not conforming to any of the nine categories of evaluative reports are now held on a separate 'Useful Texts Database'. This currently contains 100 items on areas such as learning theory and practice and evaluation guidance.

In FY 2001-02 a useful text catalogue will be placed on the ALNAP website together with abstracts, tables of contents and 'how to obtain' information.

Building the Collection

A major on-going responsibility of the ALNAP Database Manager is the tracking of evaluative reports, including obtaining relevant copyright, to increase the comprehensiveness and usefulness of the collection.

Maintaining the ALNAP Website

All ALNAP study reports are reproduced on the website as are the Biannual Meeting Reports and information on the current ALNAP Workplan.

In FY 2001-02, a major development of the ALNAP website is planned to increase its usefulness and accessibility. Evaluation of Humanitarian Action training modules (see T1.4) will also be posted following their development and testing in late 2001.

FY 2001-02 funding requirement for this activity is £26,534.

d. Maintenance and Development of the Listserv

The Listserv provides an important information exchange/discussion mechanism between Biannual meetings. The list includes all Full and 93 Observer Members.

FY 2001-02 funding requirement for this activity is £1,795.

e. Preparation and Running of the Biannual Meetings

The ALNAP Biannual meetings provide an opportunity for Full Members to meet twice a year to review ongoing ALNAP research/initiatives and debate sector-wide issues of common interest.

The 7th Biannual was held at ODI offices on 6-7th April 2000 and the 8th at the John Knox Centre in Geneva on 19-20th October 2000, hosted by ICRC. Full Members will in future be encouraged to host ALNAP Biannuals as a means of raising awareness of ALNAP as an international network and increasing awareness within respective member agencies.

In FY 2001-02, the 9th Biannual will be hosted by CAFOD in London and the 10th by one of ALNAP's American Full Members. The records of Biannual meetings are available on the ALNAP website.

FY 2001-02 funding requirement for this activity is £32,212.

f. Servicing the Steering Committee

The Steering Committee (SC) as ALNAP's executive and key decision-making body, provides a balance of representation of the different types of organisation that make up the humanitarian sector and the ALNAP membership. SC Members are voted on to the Steering Committee by their peer groups for a two-year period. The SC meets on a quarterly basis and in FY2000-01 met on 5th April, 26th June, 26th October 2000 and 15th January 2001. Approved meeting minutes are circulated to Full Members.

Current Steering Committee Members:

Wayne MacDonald, ICRC (Chair)
 Norman Macdonnell, CIDA
 Ted Kliest, Netherlands, MFA
 Hansjoerg Strohmeyer, OCHA
 Lucien Back, UNICEF
 François Grunewald, Groupe URD
 Matthew Carter, CAFOD/Caritas
 Ian Christoplos, Uppsala University

The UNICEF seat is due for rotation in April 2001 and the process to elect a replacement from within the UN group is underway. The hand-over between representatives will be made at the April 2001 Steering Committee Meeting.

FY 2001-02 funding requirement for this activity is £12,341.

g. Programme Development/ALNAP Representation

In FY2000-01 ALNAP representation in various fora and at key events helped the Secretariat to raise awareness of ALNAP and its initiatives, develop new contacts, build on existing relations and stay abreast of current thinking and emerging issues. Engagement in such activities by the Secretariat remains fundamental to the development of ALNAP's future role and activities - e.g. 'Politics and Humanitarian Aid' (ODI/POLIS/CAFOD), OFDA AGM, 'Crises Durables, Crises Oubliees: Enjeux humanitaires, defis europeens' (ONG France/Medecins du Monde/ECHO/Groupe URD/Ministere Francais des Affaires Etrangeres).

FY 2001-02 funding requirement for this activity is £18,699.

h. Miscellaneous Costs

This item covers the costs of document searches, membership of relevant professional bodies and libraries and specialists journal subscriptions.

FY 2001-02 funding requirement for this activity is £5,442.

Theme 1. Making the Evaluation Process More Effective

T1.1 Encourage/Support Collaborative Evaluations and System-Wide Studies

Information on Full Members' current and future learning and accountability initiatives, including evaluation plans, was obtained, collated and circulated in the lead up to the 8th Biannual Meeting in October 2000.

Following discussion at the biannual, an evaluation matrix was developed by the Secretariat presenting information by country, organisation and sector. The completed evaluation matrix was posted on the ALNAP website in November 2000.

This process will be repeated in the lead-up to every Biannual and an updated matrix posted on the website following each meeting.

Increasing awareness of Full Members' future activities in their planning stage is an important part of the process of encouraging and facilitating collaboration. The case for more system-wide evaluations of humanitarian programmes continues to be made where appropriate in ALNAP publications and at Biannual meetings.

In FY 2001-02 this activity will become a core Secretariat activity linked to biannual meetings, rather than a separate activity as in FY 2000-01.

There is no T1.1 activity or funding requirement in FY 2001-02.

T1.2 Prepare Synthesis Study of Completed Evaluations

Using the ten evaluations of humanitarian action then available, together with 47 other types of 'evaluative reports', Raymond Apthorpe prepared a combined synthesis and meta-analysis paper 'Kosovo Humanitarian Programme Evaluation: Towards Synthesis, Meta-Analysis and Sixteen Propositions for Discussion'. This served as the background paper for the international Symposium held in Geneva in October 2000 (see below). The paper was subsequently expanded and revised, taking account of additional evaluations that became available during the October-December period and the results of discussions at the Symposium. It forms a central chapter of the first ALNAP Annual Review 'Humanitarian Action: Learning from Evaluation' due to be published in April 2001.

In FY 2001-02 the synthesis of evaluation results for particular operations will be undertaken and published as part of the Annual Review.

There is no T1.2 activity or funding requirement in FY 2001-02.

T1.3 Prepare and Run a Regional/In-Country Evaluation Synthesis Workshop

The ALNAP Symposium 'Learning-from-Evaluation: Humanitarian Assistance and Protection in Kosovo' was held in Geneva 17-18th October 2000. Some 51 representatives from 43 different organisations (ALNAP Members and non-members) participated in the event. A report of the symposium will be posted on the ALNAP website in April 2001.

There is no T1.3 activity or funding requirements in FY 2001-02.

T1.4 Develop/Provide Short-Courses for Evaluators and Evaluation Managers

A matrix of evaluation training needs was developed by the Secretariat through a consultative process with Full Members. Needs and gaps in training guidance were then prioritised at a 'State of the Art' Colloquium on Evaluation of Humanitarian Action in New York on 2-3 October 2000. These were approved at the 8th Biannual.

The three priority activities identified were: a short course for evaluation managers; the development of training modules (curricula and material) to be added to existing or developed as stand-alone courses by training providers; and support for an evaluator's course at the London School of Economics and Political Science. An Evaluation Training Advisory Group of 7 Full Members/Representatives has been formed to guide these activities.

▪ Evaluation Managers short courses

In FY 2001-02, the first Evaluation Managers' short course will be hosted by IrelandAid in Dublin, from 14-18th May. Jim Welch will be the Course Director with John Telford, John Borton and Sara Swords as resource persons. A pre-course participant questionnaire has

been devised to ensure the focus and objectives of the course meet participants' priorities. A second evaluation managers' course is scheduled for September 2001 and will take account of lessons emerging from Dublin. A percentage of the short course costs is borne directly by participants.

▪ **Evaluation of Humanitarian Action Training Modules**

The development of 3 to 4 evaluation training modules is being undertaken on a part-time basis by Sarah Swords. The task of identifying potential module 'clients' began in late 2000 with a survey of existing evaluation training providers. These will be contacted in the next few months to assess their materials, needs and interest in the proposed generic modules to be developed by ALNAP.

In FY 2001-02, partnerships will be established with selected organisations interested in trialing one of the modules. Trialing is scheduled for late 2001.

▪ **Support for LSE Evaluators Course**

Discussions with LSE in early 2001 resulted in the decision not to run the course as originally planned but to develop an 'Evaluators Short Course' module as part of the module development activity. The module will be offered to LSE and other potentially interested training providers. The second Evaluation Managers' short course replaces the LSE course.

FY 2001-02 funding requirement for this activity is £43,176.

T1.5 Improving Follow-Up to Evaluation

Phase 1 (FY 2000-01) Terms of Reference for Phase 1 (funded by AusAid) were prepared, the work advertised and a Dutch consultant (Bert van de Putte) selected in late 2000. The Phase 1 study will assess current practice in the use and follow-up of evaluations of humanitarian action, and indicate ways in which current practice can be improved.

Phase 2 (FY 2001-02) The Phase 1 study will be presented at the 9th Biannual Meeting.

A workshop scheduled for July 2001 will launch Phase 2. The workshop objective is to bring together a wider group beyond evaluation managers and evaluators such as policy development, knowledge management and learning specialists to review the findings of the Phase 1 study and help set the objectives for the Phase 2 study.

Findings will be developed as a central chapter in the ALNAP Annual Review No.2.

FY 2001-02 funding requirement for this activity is £ 31,508.

T1.6 Evaluation Guidance 'Gap' Filling

This item was added in FY2001-02, introduced to begin to address to the evaluation guidance gaps identified at the October 2000 'State of the Art' Colloquium.

Of the 4 gaps identified at the Colloquium, Full Members agreed to take forward Protection, Human Resources/Security and Context Analysis under their own initiatives and report back to ALNAP on at the April 2001 Biannual.

In FY 2001-02 ALNAP will, through a commissioned study, seek to address the fourth identified gap of 'Process'. The objective will be to develop detailed practical guidance on the process of assessing humanitarian action against current evaluation criteria.

FY 2001-02 funding requirement for this activity is £21,452.

Theme 2. Strengthening Humanitarian System Accountability Frameworks

T2.1 Support to the Global Study on Consultation and Participation

This two-year study is the first of ALNAP's Interest Group Activities. The object of the study is to produce a practitioner's 'how to' handbook on the consultation with and participation by beneficiaries and the affected population, in the planning, management, monitoring and evaluation of humanitarian programmes.

ALNAP's Workplan budget only includes a contribution towards the Secretariat's input in setting up the process including securing start-up funds and participating as a member of the Global Study Steering Group. The funding for the study proper is additional to that included in the Workplan budget for Secretariat input.

Efforts by the Secretariat to secure start-up funds for the Global Study began in July 2000. The first Interest Group meeting was in September 2000 and the Steering Group, drawn from among their number to guide and oversee the project, was confirmed at the second Interest Group meeting in January 2001. As well as Secretariat representation, the Steering Group includes two beneficiary 'representatives' drawn from the refugee community.

By late 2000 sufficient funding was secured to start the Global Study Project Director recruitment process. Following two advertising rounds, the Steering Group met in early 2001 to review/shortlist candidates. It is anticipated that the appointee will be in post by late April allowing the Secretariat to hand-over fundraising and facilitation responsibilities.

Of the 5 emergency 'case study' contexts, the Steering Group has confirmed the 3 chronic contexts as Angola, Sri Lanka and Eastern DRC. The two 'sudden-onset' contexts will be confirmed during the course of 2001.

In FY 2001-02, work will begin with the development of research methodologies and the recruitment of the 5 external and 5 ALNAP Member-seconded researchers. Fundraising will continue to secure additional funds to meet the overall budget. It is anticipated that the fieldwork will commence in mid-2001 with the 5 case studies staggered throughout the year. These will be completed by end of FY 2001-02.

The Study will continue through to FY 2002-03, with a workshop bringing together the 5 case study teams, the Project Director and Steering Group, followed by the drafting of the handbook. Completion of the handbook is anticipated by the end of December 2003.

FY 2001-02 funding requirement for this activity is £11,477.

T2.2 Studies on Improving Accountability Frameworks

Due to the expansion of some of ALNAP's other activities in FY2000-01, the work on Improving Accountability Frameworks has been deferred to FY 2001-02. Following further discussion in 2001, the Steering Committee agreed that a book rather than a study might be the most useful way of approaching the complex agenda of accountability frameworks.

In FY 2001-02 John Borton and Peter Raynard will jointly prepare a proposal to identify the scope and focus of the book including whether it would best be prepared as an edited volume or as an authored text. The proposal will be presented at the October 2001 Biannual followed by the drafting of the book proper. It is anticipated that the book will be completed and published in FY 2002-03.

FY 2001-02 funding requirement for this activity is £29,447.

T2.3 Production of an Annual Review of Evaluations of Humanitarian Programmes

Objectives of the Annual Review Series

Through a synthesis and analysis of evaluation of humanitarian action reports made available to the ALNAP Evaluative Reports Database in the preceding year, the objectives of the ALNAP Annual Review series are to:

- provide the humanitarian system with a means of reflecting on performance issues within the system on an annual basis;
- raise awareness of the principle findings of evaluations of humanitarian action published over the previous year;
- monitor, analyse and report on trends in the evaluation of humanitarian action; and,
- encourage improvements in the quality of evaluation work by developing and publicising the results of assessments of the quality of evaluation of humanitarian action reports.

The first ALNAP Annual Review

This first Annual Review 'Humanitarian Action: Lessons from Evaluation' reviews those evaluation of humanitarian action reports that became available in the period 1999-2000, with a chapter dedicated to the 17 evaluation reports on the response to the 1999 Kosovo crisis. Contributions are by Tony Beck, John Borton, Lucy Carver with the Kosovo chapter based on a paper prepared by Raymond Apthorpe. Editing is by Rachel Houghton with Kate Robertson.

Development of a Proforma for Assessing the Quality of Evaluation Reports

Following agreement at the October 2000 Biannual, and to facilitate the meta-analysis undertaken in the Review, a 'quality' proforma was developed in consultation with Full Members, drawing on current guidance and a growing body of what is increasingly acknowledged as good practice in evaluation.

The draft proforma has been applied to all the evaluation reports included in this first Review, with findings featured in aggregate form.

To test the proforma's applicability in respect of consistency of application by different assessors, a parallel assessment exercise has been undertaken by Peter Wiles using the Kosovo evaluation reports included in the Review as a comparator set.

The Annual Review was completed in FY 2000-01 and will be published in April 2001.

In FY 2001-02 the Annual Review's key findings and implications for the sector will be presented and discussed at the April 2001 Biannual. This will include a presentation of the results of the parallel proforma applicability exercise. It is planned to refine the proforma during 2001 to a stage where the majority of Full Members will be comfortable with the publication of the results for individual reports – hopefully in the second Annual Review.

The process of drafting the second Annual Review will begin in late 2001 when most of the evaluations made available in that year have been gathered. It will be published in April 2002. The theme for this second ALNAP Annual Review will be 'Follow up to Evaluation', with the final Phase 2 report from activity T1.5 providing a central chapter.

FY 2001-02 funding requirement for this activity is £50,117.

Theme 3. Improving Field-Level Learning Mechanisms

T3.1 Development of the Learning and Support Office Concept

The objective of the Learning and Support Office (LO) concept remains that of making a positive impact on the quality of emergency response in the field through the promotion and

facilitation of three-way learning activities: i. 'learning-in'; ii. 'learning-out'; and, iii. 'lateral learning'.

In FY 2000-01, the consultants (Moir Reddick and John Telford) undertook consultation visits to Sierra Leone and East Timor/Australia during August/September to consider how a LO might have functioned in those contexts, and to develop a test proposal for presentation at the 8th Biannual. Discussion at the Biannual resulted in the drafting of a revised 'slimline' test LO proposal in the context of Sierra Leone.

Discussion with the Steering Committee in January 2001, led to agreement that the LO test should now proceed as an ALNAP Interest Group Activity. The Interest Group has been confirmed and meets in early April 2001, and the Secretariat has begun fundraising to secure sufficient funds to enable the recruitment of a Project Director (PD). Once the PD is in post, the Secretariat will hand over responsibility for fundraising and facilitation.

In FY 2001-02, work will begin with a meeting of the Interest Group in April to discuss the detail of the proposal and identify Steering Group members, including Secretariat representation. The Steering Group will guide the implementation of the test and oversee the recruitment of project personnel.

As with the Global Study, the Workplan Budget only allows for Secretariat input. The budget for the project itself is separate and additional to the Workplan Budget.

FY 2001-02 funding requirement for this activity is £13,933.

HPG Linkage Costs

This item covers support from the HPG Coordinator (e.g. in FY 2001-02, the HPG Coordinator co-chaired various ALNAP meetings including the Kosovo Symposium [T1.3]) and access to HPG's shared administrative resource.

In FY 2001-02, the contribution has been halved to allow ALNAP to create a new part-time Secretariat post dedicated to ALNAP activities.

FY 2001-02 funding requirement for this activity is £5,000.

D77 Edited Volume on Doing Evaluations of Humanitarian Action

In FY1999-2000 the idea of producing a book of evaluators' experiences of doing evaluations emerged from a gathering of evaluators, evaluation managers and academics at ANU in Canberra. The editorial team of Adrian Wood, John Borton and Raymond Apthorpe was agreed and an ALNAP run meeting of potential contributors held in March 2000.

In FY 2000-01, the 9 contributors and case studies of evaluations of humanitarian programmes carried out between 1993 and 1999 were confirmed, a publisher (Zed Press) secured, and the contributions completed and edited. The final manuscript was delivered to Zed in December 2000 for publication in July 2001 under the title 'International Humanitarian Action: Perspectives from Practitioners'.

The book promises to be a valuable addition to the limited literature on the evaluation of humanitarian action, providing pointers for how to improve the managing, 'doing' and overall effectiveness of evaluation in the humanitarian field. It will also provide an important resource for evaluation training programmes and will help raise awareness of ALNAP and its work within the professional evaluation community.

As a separate AusAid-funded activity, the cost of producing the book was not originally included in ALNAP's FYs 200-01-02 Workplan. However, the Secretariat's involvement in the editing and marketing processes has exceeded that allowed for in the D77 budget and additional costs have been set against the balance of funds carried over from FY 1999-2000 and FY 2000-01 funding.

In FY 2001-02, a further contribution will be made to Zed Press to enable broad regional dissemination of the book to key institutions and to provide free copies to Members and discounted copies for sale by ALNAP. An additional line item D77 has now been incorporated in the revised Year 2 Budget.

FY 2001-02 funding requirement for this activity is £4,694.

Income and Expenditure Summary for Year 1 (FY2000-01)

Income against Budget for FY2000-01 (see Annex 1 - Income Breakdown)

BUDGET		
D07 FY2000-01 Workplan	£ 303,352	
D77 Doing Evaluations	£ 3,750	
Total FY 2000-01 Budget		£ 307,102

INCOME		
Full Member contributions inc D77 AusAid	£ 294,005	
FY 1999-2000 carry over	£ 13,412	
Total FY 2000-01 Income		£ 307,417
Variation Income against Budget		+ £ 315

Expenditure against Budget for FY2000-01 (see Annex 2 - Budget/Expenditure)

Total FY 2000-01 Budget	£ 307,102
Total FY 2000-01 Expenditure	£ 287,836
Variation Budget against Expenditure	£ 19,266

Income against Expenditure for FY2000-01

Total FY 2000-01 Income	£ 307,417
Total FY 2000-01 Expenditure	£ 287,836
Variation Income against Expenditure	£ 19,581

Total Funding Requirement for Year2 (FY2001-02) (see Annex 3 - Budget)

The funding requirement for the Workplan Year2 is **£321,069**, a 5.5% increase on FY2000-01