

# TRANSTEC



## **EUROPEAN COMMISSION HUMANITARIAN OFFICE -** **ECHO**

### **(Complete) REPORT ON THE ANALYSIS OF "QUALITY MANAGEMENT" TOOLS IN THE HUMANITARIAN SECTOR AND THEIR APPLICATION BY THE NGOs**

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Partners' Conference Format following presentation and discussion of the initial  
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## GLOSSARY

At ECHO's request, the consultant is providing a glossary of the terms used throughout the report. They are essentially working definitions for the purpose of the report and do not claim to be the only possible definitions.

Code : A system of principles or rules

Impact : The third level of results of activities undertaken after outputs and outcomes, normally formed by a combination of outcomes as well as external elements. The impact level requires a profound knowledge of the operating environment or context and is often delicate to analyse given the difficulty to establish clear causal linkages. In the logical framework presented under part 3. point 9, the fourth line of the matrix.

Indicators : Measures of progress. They can be quantitative (numerical) or qualitative (non-numerical). Analysis of indicators can demonstrate changes in a situation (e.g. the weight of a person measured at different time intervals). They can be used to show what performance has been achieved. When linked to desired results, or objectives, they can be used to measure these results.

Local Capacity Building (LCB) : Development of skills and capacity either through training or technical assistance to either civil society's representatives (NGOs, Red Cross, Church Groups, etc.) or to government/administration structures. LCB does not include budgetary or financial support.

LRRD (Linking Relief, Rehabilitation and Development) is an important cross-cutting issue for ECHO that contributes to forward planning of humanitarian aid. It includes improving coordination and hand-over with development actors and improving outcomes and impact at beneficiary level by resorting to a more holistic approach (Document available on the Internet at : [europa.eu.int/comm/development/recueil/en/en16/en161.htm](http://europa.eu.int/comm/development/recueil/en/en16/en161.htm))

Management : The act of controlling and directing an organisation.

Methods : A regular systematic way of doing something.

Methodology : A body of methods and rules followed in a discipline. Defines a structured manner of operating (for clarity, transparency and replicability) and answers the question "how" things are done.

Outputs : The first level of results of activities undertaken, or immediate result of the transformation of inputs (direct causal relation). In the logical framework presented in part 3. point 9, the second line of the matrix.

Outcome : The second level of results of activities undertaken, normally formed by a combination of outputs in addition to other elements. In the logical framework presented in part 3. point 9, the third line of the matrix.

Performance : The degree of execution of an action, or its fulfillment.

Quality : Degree to which each of the stated results of a project or programme, at the outputs, outcome and impact levels, are being or have been achieved.

Quality management tools : Instruments which allow the direction and leadership of an organisation to appraise the degree of accomplishment of the stated results of a project or programme.

Standards : Norms, principles or measures established by a specific authority or organisation. Standards can be internal or external, voluntary or compulsory.

System : A group of units combined to work as a whole, and function and move interdependently and harmoniously.

Tools : Instruments which are used to accomplish a given task.

## PART ONE CONCLUSIONS AND RECOMMENDATIONS

### 1. Background and context.

The debate over quality management amongst humanitarian players is a long unsolved issue over which no overall consensus has been reached, which gives rise to various interpretations which are inscribed into different value systems. While it is widely recognised that good intentions are no longer sufficient in an aid world of increasing professionalism and accountability, the question often raised is *what kind of quality* is to be required to humanitarian aid players, *from whom* and *for what*.

2. For the purpose of this report, quality management in humanitarian aid is defined as "degree to which each of the stated results of a project or programme, at the outputs, outcome and impact levels, are being or have been achieved".

3. This topic has equally been present in ECHO's Partners' Working Groups, and discussed thoroughly over the last two years, with the conclusions that a specific consultancy to research good management practices and tools should be carried out. This has given rise to the present report, to be shared for discussion at the next Partners' Conference on 13-14 October 2002.

4. In order to provide an answer to the above two questions, it is necessary to retrace rapidly the history of quality management. It initially began with *goods/service certification*, and later moved towards *process certification*, especially *management practices*. More recently the trend is to obtain an *organisation's quality certification* (e.g. such as ISO certification), which is supposed to include all of the former based on the merit of its management practices (including approaches and processes) and the goods/services it provides. These are defined by a set of standards that stem from the certifying agency (e.g. ISO standards).

5. ECHO's legal base is to financially support its partners working in humanitarian aid, as described in the Council Resolution for Humanitarian Aid 1257/96. As such its aim is essentially to ensure a quality provision of goods and services to humanitarian aid beneficiaries, often in life threatening situations.

Recommendation 1 : At this stage it is recommended that ECHO focuses on the goods and service level, together with the necessary management processes, and gradually work with its partners into the higher levels of quality certification. Before looking into organisational management, *ECHO should ensure that partners possess both at headquarters levels and more importantly at field level the adequate skills and capacities to be able to meet the stated results of their activities.*

6. Organisation's certification imply a value system by which the organisation is personified as a living being, somewhat similar to what economists do when they talk about "markets" as if these were live entities with a will of their own. In both cases, it is finally live human beings of flesh and blood which take decisions as to what must be done, how it is done and who actually do it. Therefore placing the right person at the

right place at the right time with the right skills is an essential component of quality in the provision of humanitarian aid.

Recommendation 2 : As the human component is a key factor of any quality systems, human resource management, training and skills development should be prime objects of concern to be able to reach quality results. The concomitant consultancy on Human Resource prepared for October 2002 Partner's Conference should be closely linked to the quality management process.

7. Methods, systems and tools are only as good as the person using them. Neither an organisation nor a method will solve a given problem if the problem is not rightly understood and adequately addressed by people. However, even the most skilled persons need to follow some kind of approach, method, system and employ tools if only in order to identify how these results were achieved, and for replication. Therefore there is a need for at least some kind of standard in the choice of methods, systems and tools focusing more on the presence of key quality elements than on specific approaches.

Recommendation 3 : Discussing and agreeing to a set of Minimum Standard Requirements (such as those mentioned in the Base Document) would provide an initial quality framework to ECHO partners.

8. As a bottom-up approach, quality should start with current practices at field level, where the provision of humanitarian aid is undertaken, rather than result primarily from discussions from partners' most knowledgeable members. Case studies should be drawn from good field practices and linkages with the human factor (skills, experience, knowledge, capacity, motivation, etc.) should be specifically addressed.

Recommendation 4 : ECHO should commission and use Case Studies as illustrative examples of good practices in quality management and share and disseminate through workshops and / or seminars.

9. Quality comes at a cost. A suggestion to give equal opportunities to all partners, as quality results are not a question of size.

Recommendation 5 : In order to help develop and pilot good quality practices in humanitarian aid, ECHO could finance a Technical Support Unit made of a handful of highly trained, experienced and skilled individuals knowledgeable in the different methods, approaches and tools and with training experience. These people would act as technical advisors to the NGOs, and would be deployed at short notice and for a short period of time. The unit would pay a resource role (formative and not normative) and facilitate connectedness and coherence of quality management amongst ECHO financed NGOs at the onset of an emergency. This would provide the same opportunity to small and medium size partners as the Unit would be under ECHO funding and authority.

## **PART TWO BASE DOCUMENT**

### **A. Consultant's analysis based on the questionnaire survey<sup>1</sup>**

1. The cumulative annual budgets of ECHO's 44 partners that answered the survey amount to over €656 million for 1999, and €718 million for 2000. The important volume of aid that is covered by these figures justifies the need to apply systematically adequate quality management practices into the humanitarian aid world.

2. ECHO's partnership base appears to be broad and varied, with predominantly large NGOs which account for almost 50% of the 44 answers received, one third of answers regarding small NGOs and the remaining seventh part from medium size organisations. ECHO determined the size of NGOs according to the number of human resource staff working at headquarters on the basis of : 1-9 for small, 10-20 for medium, over 21 for large.

Organisations from 13 different countries contributed to the survey, and from the 44 answers almost two thirds are active in the medical sector.

3. Partners possess extensive field experience, with over 45% possessing over 21 years of field experience, and an additional third having between 11 and 20 years of field experience. In total over 80% of the partners that answered possess over 11 years of field experience.

4. Over 90% of partners are audited yearly, which is an encouraging, albeit improvable, result. 82% of partners are members or affiliated to a wider body, something seen as very positive in terms of horizontal and vertical linkages, knowledge sharing, dissemination and peer discussions and reviews.

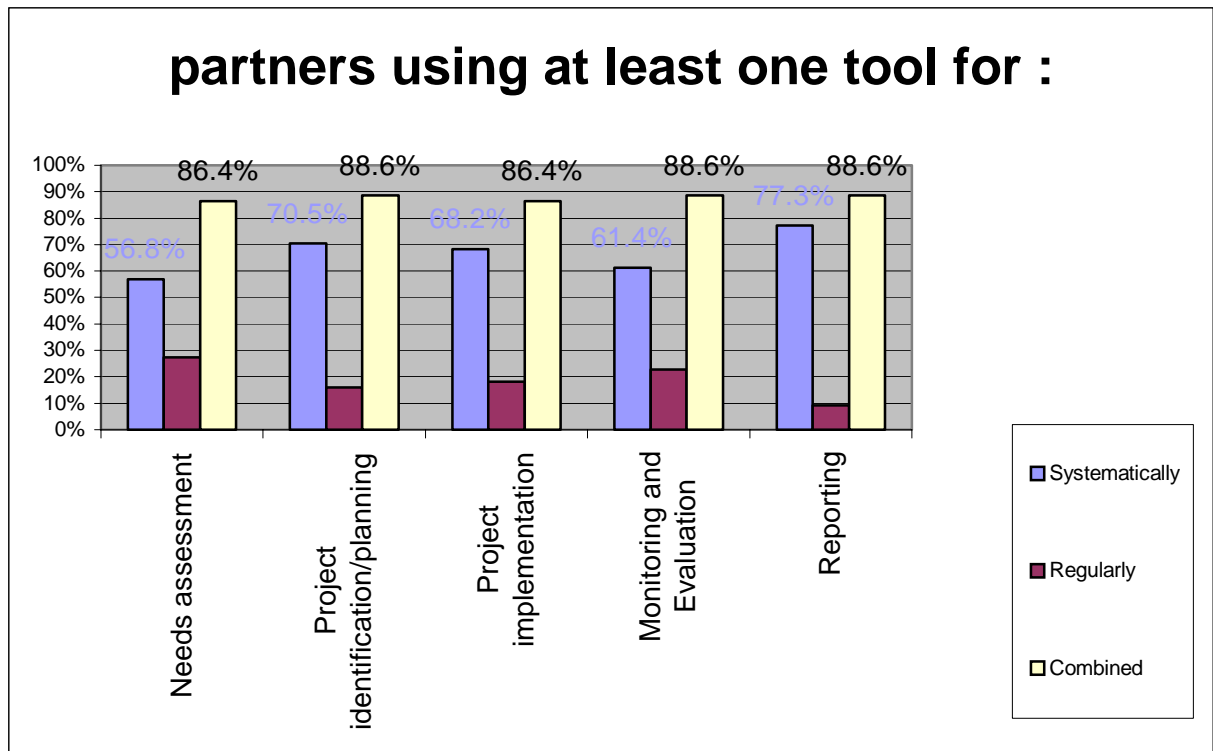
5. A vast majority of partners have extensive LRRD experience (almost 75%) and over 90% have some degree of LRRD experience. In terms of Local Capacity Building, over 80% of partners have extensive experience and over 93% some degree of experience. Finally less than half (46.5%) of partners have gender specific projects but in total 80% have to some extent gender specific project and activities. This is very important as it should logically translate into more coherent and connected assistance in the post-emergency phase (improved planning and adequacy of projects) as well as developing local capacities amongst the communities (leading to increased resilience and enhancing coping mechanisms).

6. While the partners' knowledge base is quite solid, knowledge application remains quite limited at the various stages of the Project Cycle.

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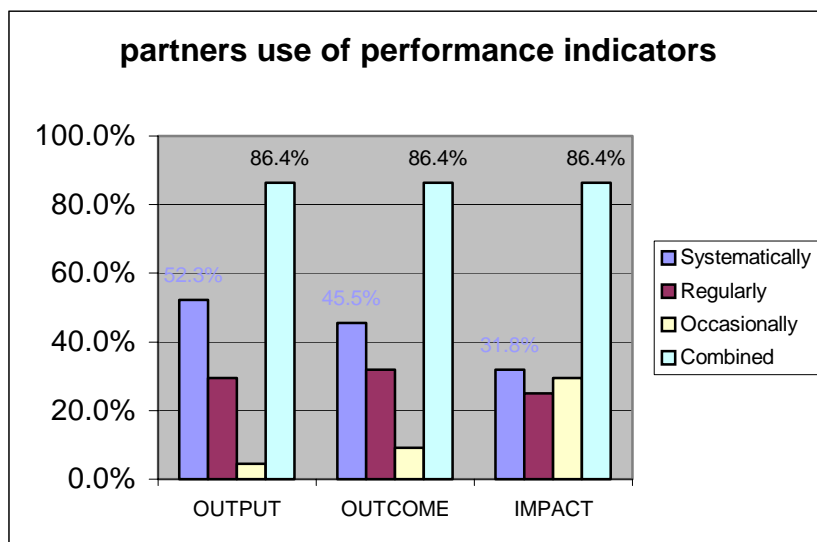
<sup>1</sup> for a detailed presentation, see part four a) of this report. For a detailed analysis, please refer to part four b). Results are not statistically representative nor do they correspond to scientific sampling, and therefore cannot be generalised to all 217 FPA partners.

## partners using at least one tool for :



More than 11% of partners are not even using tools to guide them through the different steps of the Project Cycle.

The systematic use of performance indicators is also sub-optimal and should be raised at the various levels.



At the more difficult impact level, less than a third of ECHO's partners use systematically a performance indicator, and overall more than 11% of partners do not



use any performance indicator, which raises the question as to how results are appraised.

7. Almost a third of partners possess training expertise in quality tools, something that ECHO could very well use to increase its partners' knowledge base.

8. The concept of quality management tools is still ambiguous to partners. Only 59% declared using at least one quality management tool, but an additional 18% answered that they were "not familiar", and an additional 4.5% did not answer. There are still over 20% of partners not using any quality management tools.

9. The same proportion (59%) declares having in-house quality standards, which tend to be tailor-made to the type of activities carried out by partners.

10. Partners are interested and available to pursue the issue of quality management with ECHO (89%) with over a third willing to commit from their own funds to the process. Furthermore over a quarter of partners possess information on quality control which they would like to share with ECHO and others.

11. Almost 89% of partners would possibly agree to the setting of some quality standards by ECHO provided they are discussed and within some sort of limits.

## **B. Minimum Standards Requirements (MSR) for the NGOs**

12. At ECHO's request, the consultant was charged with suggesting a set of MSR. The aim is not to identify the "best" systems or approaches, nor to impose any specific framework on partners. What is of importance is that key quality elements be present, regardless of the methodology, approach and tools used by partners.

13. The objective of these MSR is two-fold. On the one hand, it wishes to contribute to increasing the knowledge base and facilitating the increased use of quality approaches, methods and tools for the NGOs working in humanitarian aid. On the other hand, it wishes to contribute to obtaining improved quality results for the work that is being undertaken in humanitarian aid under ECHO financing through a more systematic and professional, results-oriented type of approach.

The MSR have been designed as essentially a starting point, which can and should develop in time to reflect the evolution of partners' good management practices and their generalisation and application by all of ECHO's partners.

## **14. SUGGESTED TABLE OF MINIMUM STANDARDS REQUIREMENTS FOR NGOS**

This table attempts to establish a holistic and comprehensive framework in quality from which ECHO and its partners may draw from. Not all suggestions must necessarily be accepted, but the focus and aim of the MSR is to allow any organisation to look at a model on which it can base itself in order to undertake quality humanitarian aid activities with an adequate level of professionalism at all levels.

<i>Nr.</i>	<i>Standard</i>	<i>Justification</i>	<i>Applicability</i>	<i>Comments</i>
<b>A.</b>	<b>Codes and governance</b>			
<b>1</b>	<b>Yearly external financial audit</b>	Accountability and transparency	All FPA NGOs with over €200,000 annual budget. From 2003 onwards	Audit costs should be included in overheads; maybe with ECHO support for small NGOs?
<b>2</b>	<b>Affiliation or participation in wider body and contribute to fora such as ALNAP and others</b>	Learning and dissemination	All FPA NGOs From 2003	Conducive to improved horizontal linkages and practices
<b>3</b>	<b>Establish and gradually implement a policy for :</b> <ul style="list-style-type: none"> <li>• <b>human resources (HR) recruitment</b></li> <li>• <b>HR management and training</b></li> <li>• <b>gender</b></li> <li>• <b>quality control</b></li> <li>• <b>project proposal</b></li> <li>• <b>monitoring &amp; evaluation</b></li> <li>• <b>IT</b></li> </ul>	linkages and streamlining of management practices at HQ	All FPA NGOs From 2003 Prioritise policies as needed according to each organisation's current practices	All partners should have a written policy for each of these issues over the next two years. An additional one year should be given between the adoption of the policy and its application
<b>4</b>	<b>Identify, set and adhere to specific Codes (such as the Red Cross &amp; NGO Code, the People in Aid Code, etc.)</b>	provide organisation specific evaluation standards	All FPA NGOs From 2003 as needed for each individual organisation	A number of partners already follow some of the Codes; a Code for HR should also be adopted by all partners
<b>B.</b>	<b>Implementation Methodology</b>			

5	<b>Include LCB in all projects, as well as LRRD and gender where possible</b>	developing local capacities humanitarian aid does not take place in isolation but is part of a wider context which must be recognised and understood	All FPA NGOs Except in some cases for the initial emergency response where no local capacities appear to exist, but in any case no longer than 6 months From 2003	The systematic identification of counterparts in all projects facilitates LCB. Exceptionally at the onset of an emergency this may not be possible, but it certainly should be after six months of a crisis. Counterparts can be govt. or civil society members.
6	<b>Introduce the systematic use of formal methods and tools for each step of the Project Cycle, namely :</b> <ul style="list-style-type: none"> <li>• programming</li> <li>• identification</li> <li>• appraisal</li> <li>• financing</li> <li>• implementation</li> <li>• evaluation</li> </ul>	ensuring quality management practices and results	All FPA NGOs From 2003	Each NGO may choose the approach and method best suited, but it must be a part of a formal and structured system and applicable to each step of the Project Cycle
7	<b>Introduce the systematic use of performance indicators for :</b> <ul style="list-style-type: none"> <li>• outputs</li> <li>• outcome</li> <li>• impact</li> </ul>	efficiency  effectiveness, adequacy, relevance  connectedness, sustainability, wider appraisal, contextual	All FPA NGOs from 2003  All FPA NGOs from 2004  All FPA NGOs from 2007	This is the minimum result. Should be used immediately and universally by <u>all</u> within one year. Set a two-year time frame for general application and support it through training  To be gradually used by all over a five year time-frame with support
C.	<b>Management tools and practices</b>			
8	<b>Generalise the overall use of quality</b>	Results Based Management	All FPA NGOs gradually over	Quality management should be a part of all

	<b>management tools in each organisation and commission illustrative case studies and formative evaluations</b>		the next two years. Develop case studies and formative evaluations.	partners' management culture. The use of tools to ensure quality results is a logical consequence
<b>9</b>	<b>Ensure the use of the same quality management tools at HQ and field level</b>	Streamlining management practices and management flow	All FPA NGOs over the next two years	While the type and extent of quality control may vary from HQ to field, the methods and tools used by each NGO should be the same
<b>D.</b>	<b>ECHO database</b>			
<b>10</b>	<b>Submit the quality management tools questionnaire duly filled</b>	Establish an updated ECHO partners' database and obtain a statistically representative sample	All FPA NGOs Before end of 2002	Major NGOs have not responded to the survey and the results cannot be generalised. Establishing a database and updating it yearly would allow to keep abreast of partners' management practices.

### **C. Consultant's proposal for future developments.**

15. The proposals are divided into three categories :

- proposals regarding concrete achievements
- proposals for building up on existing practices
- general proposals for future development (looking at the wider context)

a) Proposals regarding concrete achievements

16. There are many positive results from the current practices and knowledge base amongst partners. Some examples should be used and shared as a learning experience with all partners, especially in the areas of quality management tools and methodologies, possibly in working groups and / or training seminars.

17. The debate over the issue of what constitutes quality in humanitarian aid is not about to be closed, and the lack of a consensus makes it necessary for ECHO to define what is meant by "quality". The consultant has suggested that ECHO adopt a specific glossary of the key terms. At ECHO's request the consultant has provided a glossary of terms for the report, essentially working definitions but which allow all readers to have a common understanding of the terms used..

b) Proposals for building up on existing good practices

18. Given the existing training skills of some partners on both quality tools and good management practices, use their capacity to increase the knowledge base of all partners on good management practices by investing further resources into training seminars and working groups.

19. Use Case Studies as information tools to document and highlight the good practice examples from the field and from headquarters alike, as learning material to be shared and disseminated amongst partners. Ensure that training and skills development is not a headquarters' privilege but is actually transmitted down to the field level in all organisations and used. Obtain examples from partners implementing good human resource practices.

20. It may be useful to ECHO to think about developing, if it does not exist already, a point system by which good practices in the initial project proposals are rewarded and proposals lacking good practices are penalised. The final version of accepted MSR should form a part of basic project proposal requirements.

21. Pursuing and developing the dialogue and process between partners and ECHO on the issue of quality requires the continuation of the very useful Partners' Working Groups.

c) General proposals for future development

22. At a pragmatic level, as one partner rightly mentioned, "quality comes at a cost". It may be comparatively easier for large NGOs to incorporate the associated costs, but it may certainly penalise the medium and small partners. Since size is certainly not a criteria associated with quality, (bigger is not necessarily better), it is recommended that ECHO and partners discuss the feasibility of setting up a Field Technical Support Unit. The unit's objective would be to provide technical advice to all ECHO partners on the use of the most adequate methods, tools and standard pertaining to the specific type of activity that each organisation proposes to undertake. This would assure a coherent and consistent approach to quality in ECHO funded operations, without having partners bear the added costs.

The unit could be made up of up to three highly trained and skilled individuals, on roster call from ECHO, with demonstrated experience in the different methods and tools as well as training experience, who would be deployed at short notice and for a normally short period of time (for example at the onset of an emergency). In essence, it would play a resource role (formative and not normative) under direct funding by ECHO.

23. Quality is a dynamic, on-going process. Quality improvement should be tracked in time in order to keep abreast of good practices developments and reviewed annually. If a partners' database is established in ECHO, it should be updated yearly to reflect the management changes. Quality is about continuous improvement and should be one of the underlying concerns of all partners.

24. A quality grid could be established to identify, at each step of the Project Cycle, the kind of acceptable standards which should be used and a toolkit from which partners

may be able to choose from. Given the current knowledge base and use as a result of the questionnaire survey, there is already evidence that the Project Cycle Management, the Logical Framework, the SPHERE standards and the Code of Conduct for the Red Cross and NGOs are the most widely used by partners. In addition, the importance of the human component makes it compulsory that a Human Resource reference, such as the People In Aid Code or the Investors In People, be a part of the toolkit. Finally, despite its good intention, humanitarian aid may, in some cases, do more harm than good. The basic toolkit might therefore also include the "Do No Harm" approach as a basic standard.

25. It would be overly ambitious at this stage to request all partners to have a quality certification (such as ISO or others). While it is certainly a worthwhile attempt to increase quality, (if one agrees to the Standards which the third party uses to certify an organisation) it would lie outside the scope of initiating a partnership quality management process. It is suggested that management processes, especially the human resource component, should be tackled inasmuch as they directly influence the results at field level, and that the starting point should be actual results of the stated project goals and aims.

26. The overall proposal is that quality, both from ECHO and the partners' perspective, focus essentially on the results (defined as provision of the stated goods and services) obtained at the three levels : outputs, outcome and impact. This should therefore become an integral part of ECHO's evaluation criteria if it is not already the case.

## **PART THREE - MATERIAL RESEARCHED**

### **A) Codes and Governance**

#### **1. HAP (Humanitarian Accountability Project) -more details at [www.hapgeneva.org](http://www.hapgeneva.org)**

##### **1.1 Background information**

The HAP was devised at a meeting in March 2000 that brought together some 50 senior representatives from humanitarian organizations to discuss the findings of the Humanitarian Ombudsman Project (an inter-agency initiative originating from the evaluation of the international response to the Rwandan genocide). The meeting sought to investigate and test the feasibility of creating an Ombudsman for the humanitarian sector. Participants recognised a clear need to improve accountability in the context of humanitarian operations and that this objective would be best served by a variety of mechanisms rather than relying on just one. An international Steering Committee was then set up which oversaw the project proposal and the setting up of the Humanitarian Accountability Project.

The HAP is a two-year inter-agency project launched in 2001 in Geneva in response to concerns among humanitarian organisations about the lack of accountability to crisis-affected populations.

##### **1.2. Basis, objectives and field of application**

HAP's objectives are : to strengthen accountability towards those affected by crisis situations, and to facilitate improved performance within the humanitarian sector, as part of a wider effort within the international humanitarian sector to improve transparency, accountability and performance. HAP's vision is for all humanitarian operations to mobilise mechanisms at field, organisational and sector-wide levels that ensure accountability to communities and individuals affected by wars and disasters. At the core of these mechanisms will be the participation of affected populations and an ethical commitment to listen, monitor and respond to their concerns.

### **The approach is contextual, principled, and operational:**

**Contextually**, the approach is grounded in the immediate context of humanitarian actions: This means taking account of the multiplicity of actors and stakeholders, financial and political constraints, targeting of relief workers and civilians in warfare, and the disempowerment of those affected by disaster

The **principled** approach emphasises ethics, rights and responsibilities.

**Operationally**, HAP believes that if accountability is to be put into practice, the following questions need to be addressed:

- **Who is accountable?** This includes the *duty-bearers*: those that have a responsibility towards disaster-affected populations, such as governments, armed forces, NGOs and UN agencies.
- **To whom?** Populations and individuals affected by disaster as well as other stakeholders.
- **For what?** To meet their commitments, defined by standards and benchmarks, e.g. legal and ethical standards, professional standards or guidelines, etc.
- **Through what mechanisms?** Through setting standards/ benchmarks; monitoring, response and reporting mechanisms, identifying *duty-holders*.
- **For what outcome?** This may include changes in programs and operations, sanctions, recognition, awards and redress.

HAP's rationale is based on evaluations of humanitarian operations that have identified the need to strengthen accountability. They have highlighted in particular:

1. The inconsistent quality of assistance provided to people affected by disaster.
2. An absence of formal consultation with, and response mechanisms for, those affected by humanitarian crises.
3. The bypassing of local capacities.
4. A lack of co-ordination between humanitarian actors.
5. Unequal or insufficient funding of humanitarian interventions.
6. The frequent targeting of civilians and relief workers in warfare.

HAP's accountability may be defined as involving two sets of principles and mechanisms :

1. Those by which individuals, organizations, and States account for their actions and are held responsible for them.
  2. Those by which individuals, organizations, and States may safely and legitimately report concerns, complaints, and abuses, and get redress where appropriate.
- Experience of implementing accountability principles and mechanisms suggests that a system of humanitarian accountability should take into account the context of humanitarian actions and that it must be based on agreed principles. Accountability should also be built into operations and organizational systems.

### 1.3. An appraisal of the HAP

#### Strengths :

- HAP has been benefiting from much work in the field of humanitarian aid and from past evaluation experience, and has inherited much knowledge from its predecessor, the Humanitarian Ombudsman Project.
- It is firmly grounded on the correct understanding that humanitarian aid is context specific and that all of the intricate contextual factors must be recognised and dealt with in order to provide the best possible service to aid beneficiaries and improve service delivery performance.



- Because it advocates for principles and mechanisms, it does not impose a fixed method or framework, leaving each organisation to apply the tools and methods most adequate in each situation, as best suited to each organisation's particular approach.

#### Weaknesses :

- As with any project its success will be measured by the number of organisations not only supporting the project but also actually applying its principles and practicing the kind of accountability HAP is advocating. However there is no regulatory body to ensure HAP application, which places it on the list of others projects and codes that must be willingly enforced by each partner organisation.

## **2. InterAction PVO standards - (more details at [www.interaction.org](http://www.interaction.org))**

### 2.1. Background information

InterAction is a membership association of US private voluntary organisations. It exists in order to enhance the effectiveness and professional capacities of its members engaged in international humanitarian efforts. The Standards were born in 1989. Under a 1992 agreement worked amongst members, all existing and prospective InterAction member organisations have had to certify compliance with the newly adopted PVO Standards from 1993 onwards. Each member is asked to review the Standards and re-certify compliance yearly at the end of the calendar year.

### 2.2. Basis and objectives

InterAction works to

- Enhance the identify, autonomy, credibility and diverse perspectives of each member agency;
- Provide a broadly-based, participatory forum for professional consultation, coordination and concerted action;
- Foster the effectiveness and recognition of its membership community both professionally and publicly;
- Set a standard of ethics in carrying out its mission

InterAction is committed to :

- Advocating and fostering human dignity and development
- Striving for world justice through programs of economic and social development , relief and reconstruction;
- Ameliorating the plight of refugees and migrants through relief, protection, settlement in place, voluntary repatriation, or resettlement to a third country;
- Helping people help themselves;
- building public awareness and understanding as a necessary prerequisite for humanitarian assistance;
- Initiating a dialogue on public policy issues of importance to the membership;
- Being accountable to their individual constituencies, the American public, and the people they strive to assist;

- Respecting the diversity of perspectives and methods of operation of member agencies as a source of strength and creativity;
- Working in a spirit of collaboration and partnership as the most effective way to achieve common objectives;
- Encouraging professional competence, ethical practices and quality of service.

In order to achieve these objectives, the InterAction Standards cover the following areas :

1. Governance
2. Organisational integrity
3. Finances
4. Communication to the US public
5. Management practice and human resources
6. Programme
7. Public policy
8. Implementation
9. Guidelines

### 2.3. An appraisal of InterAction Standards

#### Strengths :

- The Standards are voluntary for all PVO. However only by joining InterAction as a member organisation are they compulsory. Being a member of InterAction therefore signifies compliance with the Standards, as a kind of quality tag in favour of all its member organisations.
- The Standards do not dictate a normative approach to actions; they merely indicate which elements should be included in the process. The Standards allow for a diversity of approaches and methods in line with the specific needs of each type of action

#### Weaknesses :

- Standards compliance is based on a self-certification process. There is no peer review or external evaluation which validates self-certification for each membership organisation. This implies a high level of integrity from all member organisations but may run the risk of low credibility since the compliance is not cross-checked by an independent source
- The Standards remain quite general and do not provide benchmarks or critical thresholds which must be reached in all cases

### **3. People In Aid (PIA) Code** (more details at [www.peopleinaid.org.uk](http://www.peopleinaid.org.uk))

#### 3.1. Background

The People In Aid project began in 1994, when four British aid organisations, with ODA funding, commissioned a survey into the working experience of expatriate field staff and managers working for British and Irish based agencies.

On the basis of recommendations stemming from the Relief and Rehabilitation Network's paper 10, a group of eleven organisations began work in 1996 on the Code of

Best Practice in the Management and Support of Aid Personnel. The group reviewed human resource management practice both inside and outside the aid sector and presented a draft Statement of Principles at People in Aid's Working in July 1996. Representatives of over 50 international aid agencies gave the Statement of Principles broad support.

### 3.2. Basis and objectives

The People in Aid Code complements those of the SCHR and InterAction but is different in three ways :

- It is intended for use by development as well as relief agencies;
- It includes indicators against which achievement in implementing the Code can be measured by internal and external evaluators;
- The Code will undergo testing by a number of agencies over a period of up to three years and its effectiveness will be evaluated.

The Seven Principles, which underpin the People in Aid Code, are stated in these terms :

1. The people who work for us are integral part to our effectiveness and success
2. Our human resource policies aim for best practice
3. Our human resource policies aim to be effective, efficient, fair and transparent
4. We consult our field staff when we develop human resource policy
5. Plans and budgets reflect our responsibilities towards our field staff
6. We provide appropriate training and support
7. We take all reasonable steps to ensure staff security and well-being

### 3.3. Appraisal

#### Strengths :

- The People in Aid Code is especially designed for human resource management. Considering the importance of having the right people with the right skills at the right place at the right time in humanitarian interventions, giving special attention to human resource management is a necessary and positive step towards improved organisational performance.
- Key indicators allowing performance to be measured accompany each principle.

#### Weaknesses :

- A key finding of the Audit performed at the end of the three years and published in March 2001 in the report "Ahead of the Field" is that the Code itself didn't go far enough. A Members Forum was being formed to review People in Aid Code indicators and gauge whether they should be added to, and to undertake more work on benchmarking

**4. Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief** (more details at [www.ifrc.org/publicat/conduct/index.asp](http://www.ifrc.org/publicat/conduct/index.asp))

#### 4.1. Background

The Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, was developed and agreed upon by eight of the world's largest disaster response agencies in the summer of 1994 and represents a huge leap forward in setting standards for disaster response. It is being used by the International Federation to monitor its own standards of relief delivery and to encourage other agencies to set similar standards.

Many of these agencies, including National Red Cross and Red Crescent Societies, the church agencies, Oxfam, the Save the Children Fund or CARE, have a history going back many decades and have gained a reputation for effective work. Others, more recently formed, such as Médecins Sans Frontières, have rapidly evolved to become respected operators. Along with these large and well-known agencies there are today a multitude of small, newly formed groups, often coming into existence to assist in one specific disaster or in a specialised field of work.

What few people outside of the disaster-response system realise is that all these agencies, from the old to the new, from multi-million dollar outfits to one-man shows, have no accepted body of professional standards to guide their work. There is still an assumption in many countries that disaster relief is essentially "charitable" work and therefore anything that is done in the name of helping disaster victims is acceptable, when it is clearly not so.

It is for all these reasons that six of the world's oldest and largest networks of NGOs came together in 1994 with the Red Cross and Red Crescent Movement to draw up a professional Code of Conduct to set, for the first time, universal basic standards to govern the way they should work in disaster assistance.

#### 4.2. Basis, objectives and field of application

The Code of Conduct seeks to guard the standards of behaviours. It is not about operational details. Rather, it seeks to maintain the high standards of independence, effectiveness and impact to which disaster response NGOs and the International Red Cross and Red Crescent Movement aspires. It is a voluntary code, enforced by the will of organisations accepting it to maintain the standards laid down in the Code. Three annexes are attached to it, describing the enabling working environment that should be created by Host Governments, Donor Governments and Intergovernmental Organisation (UN agencies) in order to facilitate the effective delivery of humanitarian assistance.

The ten principles of conduct under the Code are the following :

1. The humanitarian imperative comes first
2. Aid is given regardless of the race, creed or nationality of the recipient and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone.
3. Aid will not be used to further a particular political or religious standpoint
4. We shall endeavour not to act as instruments of government foreign policy
5. We shall respect culture and custom
6. We shall attempt to build disaster response on local capacities

7. Ways shall be found to involve programme beneficiaries in the management of relief aid.
8. Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs.
9. We hold ourselves accountable to both those we seek to assist and those from whom we accept resources.
10. In our information, publicity and advertising activities, we shall recognise disaster victims as dignified human beings, not objects of pity.

#### 4.3 An appraisal

##### Strengths :

- The Code provides a moral and ethical standard for all those active in disaster response, irrespective of the type of activity undertaken or of the type of assistance being provided.
- The Code identifies the critical elements that are present in humanitarian interventions and provide guidance on how to approach them.

##### Weaknesses :

- The Code remains a voluntary compliance mechanism, which is neither audited nor used as external evaluation criteria by ECHO.
- It remains worded in fairly general terms and may be subject to different interpretations.

### **5. Groupe URD - Quality Project (QP)** (more details at [www.urd.org](http://www.urd.org))

#### 5.1 Background

For many years in France the differences in perspective between the old anti-colonial "third worldism" enshrined in many development NGOs and the more recent anti-communist "sans frontierism" which has marked the growth of many modern NGOs has severely hampered constructive debate between the two sides. In 1993 an initially informal network, named Group URD, was created and offered a platform for both sides to meet in order to bridge the gap. The Group functions on the basis of free participation in meetings which take place every two months.

#### 5.2. Basis, objectives and field of application

Four main features of the Group's composition and activities are :

- The group has managed to bring together on a regular basis the main French NGOs involved in emergency crisis (MSF, MDM, ACF, Equilibre, Handicap International, etc.) and in development work (GRET, IRAM, GRDR, VSF, CCFD, etc.) with a few observers such as ICRC, ODI and ACORD and to keep the dialogue dynamic and creative;
- The Group has organised or participated in a series of seminars and conferences on various issues related to the relief-development continuum (Colloque de l'Arche in 1994) and conflict prevention (together with International Alert);

- The Group has undertaken applied operational research in areas where some of its members have extensive experience (e.g. Zaïre from 1994 to 1996);
- The Group produced a collective book at the end of 1997 ("Entre Urgence et développement : pratiques humanitaires en question", Karthala, Paris, 223 p., Octobre 1997), which is being shortened to a 100 p.version for translation into English and Spanish.

Since, the Group has taken a new dynamism and has actively developed a series of functions :

- Maintain the dialogue and the debate : It is crucial to keep the dialogue alive and dynamic. A new trend, which is seemingly promising, is the establishment of co-operative links between France and UK based institutions in order to pave the way to better working together relations between the two sides of the Channel.
- Training : Two kinds of modules exist now and have been tested with universities (Aix en Provence from the NOHA network, Sorbonne in Paris, IUT-Bordeaux) and training structures such as BIOFORCE, IFAID. The first module is "from emergency to development" which is provided in either ½ day, 1 day, 2 day or 5 day formats; the second one is on evaluation methodology "from initial diagnosis to impact assessment".
- Applied research : Following the operational research in Zaire, Burundi has been selected as the next location for operational research. The main theme for that research will be a comparative study between practices of NGO who have a "substitutive approach" and those of NGO who have a "support to local capacities approach".
- Expertise : The Group has developed a capacity to provide support to programme design program review and evaluation in response to requests from other organisations. The methodological approach underlying such support is that of understanding the relationship between the crisis, its causes and its future path.
- Lobby : The Group URD is currently very involved in French NGO networks lobbying the French Government in the current context of the ongoing reform of the national system of co-operation and bilateral assistance.

Quality Project is essentially opposed to the setting of fixed standards or norms (universal rights based approach) such as those of Sphere or the Humanitarian Ombudsman Project, and is articulated around the three main processes of the Project Cycle :

1. Initial diagnosis and context analysis
2. Design and implement appropriate programmes and
3. Evaluation methodologies and learning processes

The underlying assumption is that any action has to be placed in the right context to be effective, and that the setting of imported standards does not necessarily lead to quality of aid. Quality Project uses the Project Cycle and the Logical Framework to present its own objectives and critical assumptions.

### 5.3. Appraisal

#### Strengths:

- The Quality Project opens a new dimension on the issue of quality, itself subject to much debate
- The Quality Project recognises the complexity of quality control, and that quality is the complex result of an equally complex process, based on a series of factors.
- The holistic approach by Quality Project allows for a better understanding of the operational context

#### Weaknesses:

- Quality Project is a two-year project started in 2001, the results of which will not be available until 2003
- It is geographically centred in France, with no other membership from either other European organisations or Developing World entities. This raises the question as to the expected ownership or dissemination of Quality Project.
- The Quality Project opposes the rights based approach (SPHERE, etc.) although the two are not necessarily in opposition.

## **6. ALNAP (Active Learning Network on Accountability and Performance in Humanitarian Action) (more details at [www.alnap.org](http://www.alnap.org))**

### 6.1. Background

ALNAP is an international interagency forum working to improve learning and accountability across the humanitarian system. Established in 1997, it has some 50 full member organisations and some 280 observers. It encompasses all type of organisation that make up the international humanitarian system : bilateral and multilateral donors; UN agencies and departments, NGOs and NGO umbrella organisations; the International Red Cross and Red Crescent Movement; and independent consultants, academics and researchers. A Steering Committee of 8 Full Members Representatives selected to maintain the balance of representation governs ALNAP. It is service by a small secretariat located at the Overseas Development Institute (ODI) in London.

### 6.2. Basis, objectives and field of application

As a learning network, ALNAP is dedicated to pursuing improved accountability and learning in the humanitarian aid system. ALNAP works at different levels :

- Through publications on topics and issues related to humanitarian aid (such as the Relief and Rehabilitation Network series, ODI/ALNAP publications, etc.);

- Through training courses given to and/or through its members and the humanitarian world
- By holding bi-annual meetings which only full members attend to discuss the contents of a prepared agenda on current humanitarian issues
- By fomenting amongst members participation and dissemination of various materials (for example, the PIA Code was first published in an RRN paper, and the audit results were discussed at the members meeting in 2001)
- By increasing awareness amongst the humanitarian players on humanitarian issues
- By keeping a large database of evaluations, a number of which have been analysed in order to identify good practices and shortfalls (ALNAP annual review 2001) and suggest improvements

### 6.3. An appraisal

#### strengths:

- ALNAP is neither a system, a method nor a tool, but a network of people and organisations. It constitutes a very useful pool of resources from which all organisations should be drawing from regularly. Given the wide range of materials and the quality of their contents, there is inevitably something of interest for any humanitarian aid player.
- ALNAP is dynamic and has been dealing with evolving issues in the humanitarian world and keeping abreast with current problems
- By bringing together different types of participants (academics, NGOs, UN agencies, donors, Red Cross, consultants, etc.) in a joint forum ALNAP contributes to a better common understanding of the key issues by its members

#### weaknesses:

- Observer members are given little information, while only full members automatically receive all materials.
- No Developing World organisation is part of ALNAP. It remains a rich-man's club, with a majority of North and Central European participants. Even within Europe its representation is not geographically balanced.

## **B) Implementation**

### **7. The SPHERE Project - Humanitarian Charter and Minimum Standards in Disaster Response (more details at [www.sphereproject.org](http://www.sphereproject.org))**

#### 7.1. Background information

The Sphere Project was initiated by the agency networks Steering Committee for Humanitarian Response (SCHR) and InterAction in 1997 to develop a humanitarian charter and an associated set of minimum standards with a wide support from the international community both in terms of NGOs, donor agencies, Red Cross



Organisations and UN agencies. The Project did not set out to invent new standards, it sought to consolidate and reach agreement on existing ideas, and in doing so consistently emphasised the collaborative nature of its work.

## 7.2. Basis and objectives

The achievement of minimum standards depends on a range of factors, some of which lie outside the control of humanitarian agencies (such as protection and security). For agencies to achieve the minimum standards it is therefore assumed that :

- All those involved in humanitarian assistance share a common goal; to alleviate human suffering brought about by calamity and conflict through protecting life with dignity in ways that support durable recovery wherever possible.
- There is a shared commitment amongst all those involved in humanitarian assistance to achieve the minimum standards, and to coordinate their response.
- The agency has acquired sufficient financial, human and material resources to meet the standards.
- There is access to the affected population.

The Minimum Standards apply to any situation where people's normal means of support for life with dignity have failed, whether as a result of a natural or human-made disaster, in any country, on any continent. The Standards provide a description of what people have a right to expect from humanitarian assistance and specify the minimum acceptable levels to be attained in water supply, sanitation, nutrition, food aid, shelter, site planning and health services. They have been made as specific as possible, but are intended to be adaptable to different emergency situations.

Sphere reaffirms the belief in the humanitarian imperative and its primacy. The Humanitarian Charter expresses agencies' commitment to the following principles and to achieving the Minimum Standards :

- The right to life with dignity
- The distinction between combatants and non-combatants
- The principle of non-refoulement

This commitment is based on agencies' appreciation of their own ethical obligations, and reflects the rights and duties enshrined in international law in respect of which states and other parties have established obligations.

## 7.3. Appraisal

Strengths :

- SPHERE is the result of a collaborative effort possibly involving the widest range of humanitarian actors to date, from donors to NGOs including the different Red Cross Organisations, ICRC, IFRC and the UN agencies.
- SPHERE for the first time gives an indication to aid beneficiaries as to the minimum they may expect in terms of assistance, and for each sector of activity, from any and all implementing agencies, leading to increased transparency and communication with beneficiaries.

- There are clear benchmarks and indicators in each sector which specify quantitatively the objectives to be achieved

Weakness :

- Application of the Charter and the Standards are voluntary for the organisations that support the Project, and not compulsory.
- There is no certification as to who is actually applying the Standards nor do they form a part of the evaluation criteria used by ECHO
- Because they are a set at a minimum, there remains a need to provide some secondary standards when the acute emergency phase has passed into a recovery/rehabilitation phase.

**8. The Project Cycle Management (PCM)** (more details at [europa.eu.int/comm/eupaid/evaluation/methods/pcm.htm](http://europa.eu.int/comm/eupaid/evaluation/methods/pcm.htm))

8.1. Background

In 1992 the European Commission adopted the PCM, a set of project design and management tools based on the Logical Framework method of analysis, which was already widely used by many donors, including several Member States and encouraged by the DAC of the OCDE. The first version was drawn up in 1993 by a working part of the Commission under the aegis of the Evaluation Unit with consultations from Member States and ACP experts.

The current manual updates the original 1993 version and presents the main features of PCM.

8.2 Basis, objectives and field of application

The objective of PCM is to improve the management of external co-operation actions - projects and programmes of all kinds - by taking better account of essential issues and framework conditions in both designing and implementing projects and programmes and by ensuring :

1. Clear and realistic objectives for projects and programmes
2. Quality factors to enhance project benefits in the long run
3. Consistency with and contribution to overarching policy objectives by projects and programmes.

As compared to 1993, the Commission has now broadened the use of PCM to sector programmes in addition to the traditional project approach.

Operationally, PCM seeks improvement by providing for

- a. proper feasibility / design studies,
- b. monitoring and evaluation,
- c. informed decision-making

at key stages in the preparation and implementation of projects and programmes. It entails the active participation of stakeholders (target groups, beneficiaries, local institutions and decision makers) throughout the project or programme cycle.

PCM is a collection of relatively simple concepts and techniques, including :

- the concept of the project cycle (programming-identification-appraisal-financing-implementation-evaluation),
- stakeholder analysis,
- the "Logical Framework" planning tool,
- key quality factors,
- activity and resource schedules,
- standardised, coherent structures for key project documents.

The use of these concepts, tools and standard document layouts throughout the life of a project is sometimes referred to as the "integrated approach" to managing the project cycle.

Like all concepts and tools, the usefulness of PCM depends on the quality of information available (especially from intended beneficiaries and target groups), and on how well it is used.

### 8.3 Appraisal

#### Strengths :

- PCM provides a type of approach which employs a range of tools to methods to ensure that the objectives will be reached;
- PCM is not sector specific, nor only useful for emergency aid, but can be applied to any kind of project or programme
- PCM incorporates tools and techniques already widely used, such as the "Logical Framework"

#### Weaknesses:

- PCM is not designed for rapidly-changing environments, and lacks flexibility for some of the fast changes which sometimes take place in humanitarian operations
- There is no single PCM model, but rather a range of models as the PCM has been evolving through time and many organisations have added or modified the PCM to suit their particular type of activity

## **9. Logical Framework Approach (LFA)**

### 9.1 Background

The Logical Framework , or LogFrame, is a deductive framework that has been used for many years in all fields of activities, before becoming one of the reference tools for humanitarian aid organisations. Given the need to use an appropriate tool to design, plan and implement projects and programmes correctly, the LogFrame presents a hierarchical structure. It reads from bottom left to top right, in a sequential deductive process. There are many subtle variations of the LogFrame, especially in terms of wording, as each school of thought has added its own touch to the model. The model hereunder is a commonly used model, but is by no means the only reference model. As annex to this report please find a specific LogFrame model proposal tailored for Humanitarian Aid and shared through ALNAP by its author, Bernard Broughton.

## 9.2 Basis, objectives and field of application

### Rows

Each row of the matrix represents a different level of the project’s objectives, with the highest level at the top and lowest at the bottom. This is commonly called the project’s Hierarchy of Objectives. The terminology used by **LogFRAME** is as follows:

<b>GOAL</b>	The higher order objective to which the Project contributes
<b>PURPOSE</b>	The effect or impact of the Project
<b>OUTPUTS</b>	The deliverables or Terms of Reference (ToR) of the Project
<b>ACTIVITIES</b>	The main activities that must be undertaken to accomplish the outputs (typically, these form the first level of the project’s Work Breakdown Structure (WBS))

### Columns

Each column in the matrix contains the following information for each objective level:

<b>Hierarchical Objectives</b>	<b>Key Performance Indicators</b>	<b>Means of Verification (MOV’s)</b>	<b>External Factors</b>
A description of the objective	Measurements to verify the accomplishment of the objective (i.e. Performance Indicators)	Sources of data needed to verify the status of the objectives	Important external factors needed to attain the objective. Risks as well as assumptions are defined in this column

The structure of the **LogFRAME** is shown diagrammatically below:

<b>Hierarchical Objectives</b>	<b>Key Performance Indicators</b>	<b>Means of Verification</b>	<b>External Factors</b>
GOAL			

The higher order objective to which the project contributes.	Measures to verify accomplishment of the GOAL.	Sources of data needed to verify status of the GOAL level indicators.	Important external factors necessary for sustaining the objectives in the long-run.
<b>PURPOSE</b>			
The effect or impact of the project.	Measures to verify accomplishment of the PURPOSE.	Sources of data needed to verify status of the PURPOSE level indicators.	Important external factors needed to attain the GOAL.
<b>OUTPUTS</b>			
The deliverables or Terms of Reference of the project.	Measures to verify accomplishment of the OUTPUTS.	Sources of data needed to verify status of the OUTPUTS level indicators.	Important external factors needed to attain the PURPOSE.
<b>ACTIVITIES</b>			
The main activities that must be undertaken to accomplish the OUTPUTS.	A summary of the Project Budget.	Sources of data needed to verify status of the ACTIVITIES.	Important external factors that must prevail to accomplish the OUTPUTS.

### 9.3. Appraisal

#### Strengths :

- The LogFrame facilitates adequate forward planning, design, and implementation by ensuring that all steps of the process leading to the stated results are achieved.
- Its application is not limited to humanitarian aid but to all fields of activity, both within the aid world and without
- It is a part of the Project Cycle Management

#### Weakness :

- The LogFrame does not allow to incorporate rapid or sudden changes, reason for which some have complained about its excessive rigidity or lack of flexibility
- It may lead to overlooking factors which have not been initially identified in the LogFrame (only looking inside the box)

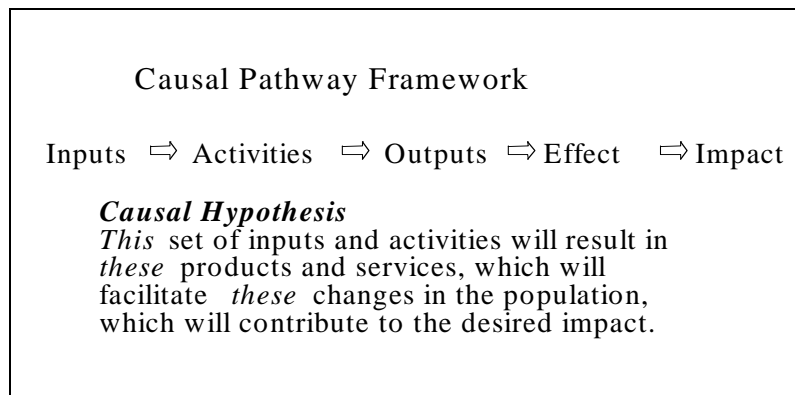
## 10. Causal Pathway

### 10.1 Background

The causal pathway is an attempt by two New York based institutions, Colombia University, and the International Rescue Committee (IRC) to clarify language and the logical thinking used in the project cycle. This method has been copyrighted by Colombia University and IRC. It presents one way of looking at the chain of relationships and the logic of humanitarian responses. 'Causal' because it is based on the premise that the project you put into place should cause something else to happen. A

‘pathway’ because the causal relationships are intended to lead somewhere – i.e. an increased ability for people in disasters to live with dignity.

## 10.2. Basis, objectives and field of application



**IMPACT.** To improve the quality of life and rights of those affected by calamity and conflict, as espoused by the Humanitarian Charter. In the language of the causal pathway, this is the desired impact of humanitarian response.

**EFFECT** (sometimes known as **OUTCOME**, or **OBJECTIVE**). In emergency programmes, some effects might involve the stability of a population (death rates, migration patterns, asset disposal, for example). Effects have to occur before impact can be achieved. Effect is a medium term change in the state of a population, resulting from outputs that a project delivers.

**OUTPUT.** In the language of the causal pathway, the products and services that cause effects on a population are called outputs. For example food distributed, housing, numbers of people trained, joint management structures.

**ACTIVITIES.** Activities must happen to achieve outputs. For example transport of food, construction of water systems, meetings, training.

**INPUTS.** Finally, before life-saving activities are begun, the necessary resources must be available in adequate amounts. In the language of the causal pathway, the things needed to carry out activities are inputs.

In summary, there are five ingredients necessary to developing a causal pathway. One of the benefits of this model is that it forces an organisation to build a programme from the impact backwards to the inputs. The process will always make one ask, “What has to happen before I observe change?” But one key ingredient is missing – assumptions.

**ASSUMPTIONS.** Assumptions are essential in a humanitarian response. The urgency of an emergency requires that some assumptions be made. Rapid initial humanitarian response is usually based on a large number of assumptions which in time should be reduced as assessments, analysis and monitoring reveal the context, track changes, and clarify the impact of the project.

Once the causal pathway (impact to inputs) of a project has been diagrammed, it is necessary to locate the project objective along the pathway. This will be the furthest point at which it will be possible to present quantifiable data, and the point for which the NGO will be accountable (used by US PVOs).

## 10.3. Appraisal

### Strengths :

- CP is a fairly simple concept which can be applied easily even inexperienced staff in project and programme design and implementation
- It provides a framework for planning activities at every step of the way looking at the longer term objective, the approach of which resembles somewhat the Logical Framework (minus the assumptions column)

### Weaknesses :

- Because it does not contemplate the underlying assumptions, it may be difficult to identify causes of failure and may lead to an overly simplistic causal relation between the different factors which affect aid activities.

## **11. ZOPP** (more details at [www.gtz.org](http://www.gtz.org))

### 11.1 Background

The term "ZOPP" stands for Objectives Oriented Project Planning. It began when GTZ, the German Technical Cooperation Agency, was established as a corporation under private law in 1975. Based on the LFA (Logical Framework Approach), GTZ applied it in a pilot phase in 1980/81 for ZOPP with some new steps such as participation analysis, problem analysis and objectives analysis.

### 11.2. Basis, objectives and field of application

ZOPP stems from the same "family" as the PCM and LFA, and follows a similar logic and approach, also using a Project Planning Matrix or PPM. It has initially completed some of the missing steps of the early PCM and LogFrame, in particular in regards to :

- participation analysis
- problems analysis
- objectives analysis

This is the reason why it has been called at times "Zeroing in On People and Processes". As with the other tools, it has itself been reviewed and somewhat readapted to keep up with new management practices.

In the nineties, several critical points were made about ZOPP being about creating workshop dependency and spreading GTZ hegemony. It was also criticised for being too rigid. As a result between 1992 and 1995 GTZ made an in-house project "Planning and sustainability" in which it better defined quality in project management and flexibilised the procedure for project preparation.

As an alternative to the original ZOPP procedure, new sequences were developed, e.g. the SINFONIE, 12-step toolbox that aims to help better understand the systemic relationships and develop strategies for action in complex systems. In 1996 GTZ's Director General decided to deregulate all organisation project directives except those

to which GTZ was bound by outside rules. Project steps could then be designed more flexibly in agreement with all involved.

### 11.3. Appraisal

#### Strengths :

- ZOPP included in much detail all necessary steps of the project cycle, making it then more comprehensive than other tools;
- ZOPP was largely and widely used through many training workshops in project recipient countries
- The German Ministry of Foreign Affairs (BMZ) reviewed ZOPP in theory and practice from 1993 to 1996. The findings : ZOPP should be retained at all events, but its concept and implementation should be reviewed.

#### Weaknesses :

- Excessive rigidity in the initial model regarding the different steps; too normative;
- ZOPP needs to be more realistic and better account for social contexts (BMZ review findings)

### **C) Management tools**

## **12. The Excellence Model - EFQM (European Foundation for Quality Management)** (more details at [www.efqm.org](http://www.efqm.org))

### 12.1. Background information

The EFQM is a membership based not for profit organisation created in 1988 by fourteen leading European Businesses, with a mission to be the driving force for sustainable excellence in Europe and a Vision of a world in which European organisations excel. By 1999 membership had grown to over 750 members. The EFQM Excellence model was introduced at the beginning of 1992 as the framework for assessing applications for The European Quality Award. It has been revised to remain dynamic and in line with current management thinking. The last major revision was launched in April 1999, at which time a new scheme for evaluating performance against the Model was introduced under the acronym RADAR (Results, Approach, Deployment, Assessment and Review).

### 12.2. Basis and objectives

Any model or system needs to be based on some underlying principles and fundamental concepts. In the case of EFQM's Excellence Model, these are the following :

1. Results orientation
2. Customer Focus
3. Leadership & constancy of purpose
4. Management by processes and facts
5. People development & Involvement



6. Continuous learning, innovation & Improvement
7. Partnership Development
8. Public Responsibility

At the heart of the model lies the logic known as RADAR, consisting of four elements : **R**esults, **A**pproach, **D**evelopment, **A**ssessment, and **R**eview. The logic states that an organisation needs to

- Determine the results it is aiming for as part of its policy and strategy making process. These results cover the performance of the organisation, both financially and operationally, and the perceptions of its stakeholders.
- Plan and develop an integrated set of sound approaches to deliver the required results both now and in the future
- Deploy the approaches in a systematic way to ensure full implementation
- Assess and review the approaches followed based on monitoring and analysis of the results achieved and ongoing learning activities. Based on this identify, prioritise, plan and implement improvements where needed.

The two evaluations tools of the Model are : the Pathfinder Card and the RADAR Scoring Matrix, which allow organisations to undertake self-assessments and determine where improvements are needed.

### 12.3. An appraisal of the Excellence Model

#### Strengths :

- The EFQM Model is a non prescriptive framework that recognises there are many approaches to achieve sustainable excellence. It is neither normative nor dogmatic and does not present a single manner to achieving the stated results. Therefore several methods and tools can be used within the framework of the model. It focuses on processes.
- It allows each organisation to decide how it will get there, while allowing it to identify its shortfalls and potential fields of improvement. It is essentially an organisational quality management tool.

Weaknesses : The EFQM Model shares **the same weaknesses as other models based on private business relations** emanating from the current global neo-liberal economic system :

- It assumes a type of relationship between service provider and customers that normally does not exist in the humanitarian aid world. In particular, customer satisfaction is not a common concept in humanitarian aid, nor is the customer the one providing the financial resources, unlike in market economies. Customer satisfaction does not have a direct relation with funding in humanitarian aid, as beneficiaries do not pay for service. Customer dissatisfaction does not translate into lower "market shares" (read field activity) of a humanitarian aid agency, and customer satisfaction is not linked to results in ECHO evaluations.
- Furthermore the concept of partnership is as difficult to reach as that of customer satisfaction, because beneficiaries often have neither the information or level of education to allow them to make an informed choice, and in many cases there is no alternative to the services provided, unlike business assumptions which state

and assume that competition exists and is what regulates market economies (freedom of choice from the customer's perspective given a range of suppliers, not often the case in humanitarian aid).

- Finally in many cases there are strong political and security implications when actions are undertaken in humanitarian aid, because it is part of a larger operating context which affects the aid provision and may at times even be in opposition with the actions undertaken, whereas the management models assume a much simpler business enabling context.

### **13. ISO Standards** (more details at [www.iso.ch](http://www.iso.ch))

#### 13.1. Background

ISO stands for International Organisation for Standardisation. It is a Geneva-based organisation that is constantly working to expand the existing standards family to the fullest extent. There are basically two "families" of standards. The ISO 9000 and ISO 14000, both known as generic management systems standards.

ISO 9000 is a set of international standards that define a Quality Assurance System. Within the updated ISO 9000:2000 family of standards, ISO 9001:2000 specifies the requirements for a quality management system for any organisation that needs to demonstrate its ability to consistently provide product that meets customer and applicable regulatory requirements and aim to enhance customer satisfaction. It is the ISO 9001 that is mostly of interest to humanitarian aid organisations, some of which have already obtained said certification.

#### 13.2. Basis, objectives and field of application

There are eight principles underlying the family of ISO 9000 standards. These are

1. Customer focus
2. Leadership
3. Involvement of people
4. Process approach
5. System approach to management
6. Continual improvement
7. Factual approach to decision making
8. Mutually beneficial supplier relationships

The ISO 9000 system is articulated around the following model, valid for ISO 9001:2000 :

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### *The meaning of ISO 9001 Certification.*

This means that an objective external party will confirm by an audit that a quality system is in conformity with the set quality standard. A quality system certificate will confirm this conclusion.

The ISO 9001:2000 is currently the only standard in the ISO 9000 family against which third-party certification can be carried.

Several of ECHO FPA partners have received ISO certification, including from earlier ISO families.

### 13.3 Appraisal

#### Strengths:

- The standards say WHAT you have to do, not HOW you have to do it
- The quality system determines the standards for the quality of both the organisation and services, and is not simply a product standard

#### Weaknesses:

- The large number of ISO families requires a brochure and road map to understand which standards may be of interest to the organisations; it could be more simply explained.
- The comments under the Excellence Model apply equally to ISO standards, especially given that the first principle of ISO is customer focus.

## **14. The Balanced Scorecard (BSC) Approach** (more details at [www.bscol.com](http://www.bscol.com))

### 14.1. Background

The BSC concept was created by Drs. Robert S. Kaplan and David P. Norton in 1992, and has been implemented in thousands of corporations, organisations, and government agencies worldwide. The BSC allow organisations to implement strategy rapidly and effectively by integrating the measurement system with the management system, based on the premise that "measurement motivates".

### 14.2. Basis, objectives and field of application

Central to the BSC methodology is a holistic vision of a measurement system tied to the strategic direction of the firm. The BSC is based on strategic implementation through focus on four perspectives, with financial objectives and measures supported by customer, internal, and learning and growth objectives and metrics. By measuring and managing the business using this balanced set of measures, an organisation can ensure rapid and effective implementation of strategy and facilitate organisational alignment and communication.

The BSC design includes the following six features :

1. Perspectives

2. Objectives
3. Measures
4. Targets
5. Cause and Effect Linkages
6. Strategic Initiatives

Hereunder an example of a basic Scorecard design :

Perspective	Cause & Effect Linkage	Objectives	Measures	Targets	Initiatives
Financial	<p>Profitability</p> <p>Revenue Growth</p>	-Profitable Business growth	-Operating income -sales vs. last year	- 20% increase -12% increase	- likes program
Customer	<p>shopping experience</p>	-Quality product from a knowledgeable associate	- return rate - customer loyalty -ever active%	- reduce by 50% - 60%	-quality management programme -customer loyalty programme
Internal	<p>"A" Class Factories</p> <p>Line Plan Management</p>	-improve factory quality	-% of merchandise from "A" factories -Items in-stock vs. plan	-0% by year 3 - 85%	- corporate factory development programme
Learning & Growth	<p>Factory Relationship Skills</p> <p>Merchandise Buying/Planning Skills</p>	-train & equip the workforce	-% of strategic skills available	yr 1 50% yr 3 75% yr 5 90%	-strategic skills plan - merchants desktop

The BSC is patented to Balanced Scorecard Collaborative, Inc., who provide professional services on the use of the BSC and have developed a BSC application to ensure that the functional BSC standards are respected. The purpose is to protect the BSC application market by clearly defining the BSC functional baseline. This programme is called Balanced Scorecard Collaborative Certified Program.

### 14.3. Appraisal

#### Strengths :

- BSC provides an open management system which allow both for product quality and management quality improvements

#### Weaknesses :

- Profitability and revenue growth are not necessarily objectives of humanitarian aid organisations
- Emphasis on quantifiable indicators
- In addition the initial comments on the first EFQM model also apply to BSC

### **15. Investors In People** (more details at [www.iipuk.co.uk](http://www.iipuk.co.uk))

#### 15.1. Background

Investors in People is a UK quality standards, which sets a level of good practice for improving an organisation's performance through its people. The Standard was developed during 1990 by the National Training Task Force in partnership with leading UK business, personnel, professional and employee organisations and the Institute of Personnel and Development. The work was supported by the Employment Department. The experiences of the UK's most successful organisations, large and small, representing all sectors of the UK economy, were very positive and the Standard received the full endorsement of the wide range of interested parties. Since 1991 tens of thousands of UK employers have become involved with the Standard.

#### 15.2. Basis, objectives and field of application

The Standard provides a national framework for improving business performance and competitiveness, through a planned approach to setting and communicating business objectives and developing people to meet these objectives. The result is that what people can do and are motivated to do, matches what the organisation needs them to do. The process is cyclical and should engender the culture of continuous improvement.

The Investors in People Standard is based on four key principles :

- Commitment, to invest in people to achieve business goals
- Planning, how skills, individuals and teams are to be developed to achieve these goals
- Action, to develop and use necessary skills in a well defined and continuing programme directly tied to business objectives
- Evaluating, outcomes of training and development for individuals' progress towards goals, the value achieved and future needs.

These four key principles are a cyclical process and are broken down into 12 indicators, against which organisations wishing to be recognised as an 'Investor in People' will be assessed.

## **ACHIEVING THE STANDARD**

Being recognised as an 'Investor in People' involves a number of steps:

- Understanding the Standard and its strategic implications for your organisation
- Undertaking a review against the Standard to identify any gaps in current practice
- Making the commitment to meet the Standard and communicating that commitment to all members of staff
- Planning and taking action, to bring about change
- Bringing together the evidence for assessment against the Standard
- Achievement or recognition as an Investor in People
- Working to keep the culture of continuous improvement alive.

The Standards' principles are supported by the following twelve indicators :

### **Commitment :**

1. The organisation is committed to supporting the development of its people
2. People are encouraged to improve their own and other people's performance
3. People believe their contribution to the organisation is recognised
4. The organisation is committed to ensuring equality of opportunity in the development of its people

### **Planning :**

5. The organisation has a plan with clear aims and objectives which are understood by everyone
6. The development of people is in line with the organisation's aims and objectives
7. People understand how they contribute to achieving the organisation's aims and objectives

### **Action :**

8. Managers are effective in supporting the development of people
9. People learn and develop effectively

### **Evaluation :**

10. The development of people improves the performance of the organisation, teams and individuals
11. People understand the impact of the development of people on the performance of the organisation, teams and individuals
12. The organisation gets better at developing its people.

### 15.3 Appraisal

#### Strengths :

- The Standard focuses on people as intrinsic value in organisational performance, and foments active participation and investment in people as a valuable resource
- It is not sector specific and can be applied to humanitarian aid organisations with some adjustments
- It is similar to the People in Aid Code in that it addresses human resource management as a key issue, but with a different perspective.

#### Weaknesses :

- There are no obvious weaknesses in the Investors in People Standard which would prevent its application to ECHO FPA partners, once "business goals" are replaced by the "organisation's goals" with due adjustments in the process.

### **16. The Institute of Social and Ethical AccountAbility** (more details at [www.accountability.org.uk](http://www.accountability.org.uk))

#### 16.1. Background

AccountAbility is an international, not-for-profit, professional institute dedicated to the promotion of social, ethical and overall organizational accountability, a precondition for achieving sustainable development.

AccountAbility is a democratic membership organization, governed by an international multi-stakeholder Council. The Council currently includes representatives from the Association of Chartered Certified Accountants (UK), Business for Social Responsibility (USA), Co-operative Bank (UK), Copenhagen Business School (Denmark), Instituto Ethos (Brazil), KPMG, LearN (South Africa), New Economics Foundation (UK), Novo Nordisk (Denmark) and PricewaterhouseCoopers.

Organizational members include small and large businesses, not-for-profit organizations, consultancies, accountancy practices and other service providers, and research and academic institutions. Individual members come from a wide range of backgrounds and benefit from up-to-date information on best practice in the accountability field and the opportunity for professional development and qualification.

#### 16.2. Basis, objectives and field of application

Developing practical tools and standards, including AA1000 (and its revision AA1000 Series), the leading management system for professionals in the field. AccountAbility plays a significant role in complementary initiatives, including the Global Reporting Initiative and SIGMA, the UK-government supported sustainability management guidelines initiative.

Current partnership projects address a range of issues, including the business case for corporate citizenship; tools for sustainability management; new ways of stakeholder engagement; innovation; and rating corporate performance.

- Gradient, a study comparing corporations' performance on labour standards in supply chains.
- Innovation through partnerships, determining how companies can learn and enhance core business activities from engagement with communities.
- [SIGMA](#), developing an integrated set of guidelines for the management of sustainability issues.
- Virtual Engagement, building effective processes of stakeholder engagement through the Internet, as part of wider programmes focused on many aspects of stakeholder engagement.
- Conversation with disbelievers, exploring the arguments that corporations can achieve financial benefits for themselves as well as have a positive effect on the social and natural environments of which they are a part.

supporting structured professional development, including access to AA1000 Series based training services that provide an introduction to issues of social and ethical accounting, auditing and reporting, and sustainability management. Individuals can be certified to the AA1000S standard.

Connection accountability practitioners across the world through web-based forums, regular seminars and conferences on practical issues of accountability management as well as a leading quarterly journal on current topics.

Delivering member services, including the research, networking, knowledge-sharing and professional development opportunities outlined above.

#### *The AA1000 Framework*

The AA1000 Framework (1999) is undergoing revision based on a programme of learning and consultation with users and non-users alike, and backed by extensive research.

On the basis of learning to date, the framework will evolve as the AA1000 Series (AA1000S) underpinned by three propositions; that:

1. Stakeholder engagement remains at the core of the accountability processes of accounting, embedding, assurance and reporting.
2. Accountability is about 'organisational responsiveness', or the extent to which an organization takes action on the basis of stakeholder engagement.
3. This responsiveness requires the organisational capacities to learn and innovate effectively on the basis of stakeholder engagement.

So, in addition to AA1000's core principle of *inclusivity* and the centrality of *stakeholder engagement*, the AA1000 Series will reflect *responsiveness* and *organisational learning and innovation* and performance improvement as critical dimensions of true accountability.





AccountAbility's *AA1000 Framework: standard, guidelines and professional development* was developed to address the need for organisations to integrate their stakeholder engagement processes into daily activities. The Framework provides guidance to users on how to establish a systematic stakeholder engagement process that generates the indicators, targets, and reporting systems needed to ensure its effectiveness in impacting on decisions, activities, and overall organisational performance.

The principle underpinning AA1000 is inclusivity and this is worked through in a further 11 principles. The building blocks of the process framework are planning, accounting and auditing and reporting. It does not prescribe what should be reported on but rather the 'how'. The AA1000 Series builds on this by recognising the importance of responsiveness and learning and innovation for improved sustainability performance.

### *AA1000 Series*

The new AA1000 Series builds on the AA1000 AccountAbility Framework. The Series will consist of the core Framework plus an on-going programme of specialised modules for accountability practitioners. The series are composed of 5 Specialised Modules, of which only the first module is already available, the others being still at the phase of "work in progress".

#### Specialised Modules

1. **AA1000S Assurance Standard**, providing a basic equivalent for 'generally accepted accounting principles' for auditing and verification purposes.
2. **Governance and risk management**, a means for effectively managing, and responding to investor demands concerning, social and environmental risks.

3. **Measuring and communicating the quality of stakeholder engagement**, with the aim of improving such engagement and increasing the associated benefits.
4. **Integration of accountability processes with existing management and metric systems**, particularly planning tools like the Balanced Scorecard.
5. **Accountability for small and medium organizations** – takes into account the practical issues facing small and medium sized organizations.

### 16.3 Appraisal

#### Strengths :

- This approach reflects an effort to incorporate social and ethical issues, despite its complexities and difficulties
- It is directly part of a wider effort to incorporate non-quantifiable factors into quality management

#### Weaknesses :

- The Specialised Modules likely to be of interest to humanitarian players are not yet available and therefore cannot be appraised.

### **17. Social auditing** (more details at [www.neweconomics.org](http://www.neweconomics.org))

#### 17.1. Background

##### *Changing the Rules*

When people have to work in sweat-shops, breathe polluted air or live in fear of their neighbours, it's time to change the rules.

NEF was founded by the leaders of The Other Economic Summit (TOES) 1984, which challenged the G7 Summit meeting of the world's most powerful political leaders.

TOES has become a regular international event, bringing voices from the world's poorest countries to the G7 and G8 summits and forcing issues such as international debt and climate change onto the agenda. NEF has helped to shift the economic discussion in favour of people and the environment.

But walk down any high street, and you'll still choke on traffic fumes. Go into the shops, and see mass-produced goods made in a sweatshop on the other side of the world. Go home, and see how many neighbours chat to each other. Look in the newspaper under 'economics' and read about money, not people.

NEF believes that if we don't change the rules, we will still live in an economy where big business counts more than child labour. Where inner city neighbourhoods continue to decay. Where fast cars count more than global warming. Where people are frightened to go out of their houses. Where the powerful take decisions for the poor.

The new ethical and sustainable economy is still small, but it shows us what is possible. If we can imagine a new economy, we can build it.

## 17.2. Basis, objectives and field of application

### Tools for the New Economy

#### Social accounting and auditing

Social accounting and auditing is a way of measuring and reporting on an organisation's social and ethical performance. An organisation which takes on an audit makes itself accountable to its stakeholders and commits itself to following the audits recommendations.

NEF has helped to make this a mainstream approach and has demonstrated how these approaches enable companies to manage more effectively. From 1995 to 2000 NEF carried out a series of pioneering social audits of companies (Camelot, The Body Shop, Traidcraft, the Co-operative Wholesale Society, Ben and Jerry's) as well as international public and voluntary sector organisations.

Having led the development of the method with these organisations, NEF helped to form the [Institute of Social and Ethical Accountability](#) to promote professional standards around social accounting and auditing.

## 17.3. Appraisal

### Strengths :

- Social auditing is part of a wider effort to deal with complex and difficult issues such as ethical and social accountability.
- It is itself a part of the social and ethical responsibility system which it has helped develop

## **18. Practical Quality Assurance System for Small Organisations - PQASSO**

(more details at [www.pqasso.org.uk](http://www.pqasso.org.uk))

### 18.1 Background

**A Practical Quality Assurance System For Small Organisations (1997)** was written by Tony Farley and published by Charities Evaluation Services to help small voluntary organisations and projects develop a practical quality assurance system that would help them to provide better services for their users, and demonstrate to funders that they are doing so.

## 18.2. Basis, objectives and field of application

The original version of PQASSO™, designed specifically with the requirements of small voluntary organisations in mind, was published in 1997. Its straightforward approach and ease of use led to it rapidly becoming the most popular model used by voluntary organisations. Now in a revised 2nd edition (2000), current estimates show about 5000 organisations have used it directly, and larger organisations such as action for children and the Princess Royal Trust for Carers have adapted it as the model for all their centres.

Local Authorities and CVS's are using it as a model to help organisations meet the requirements of Best Value reviews, and as a base for capacity building programmes supported by European Social Funding initiatives.

[Birmingham Voluntary Services Council](#) (BVSC) who implemented the largest capacity building programme using the PQASSO™ based approach went on to develop '[Quality First](#)' a model for the smaller local community groups (mainly organisations without staff). This too has proved very successful, and is even being exported to Russia to help the development of their growing voluntary sector.

**Quality First** is a workbook designed for those voluntary organisations and community groups with few or no staff, who wish to develop ways of assessing the quality of their work. Many local authorities and other funders are increasingly requiring organisations they are funding to be able to show how they will manage programmes they are asking before giving them financial support.

BVSC identified the need for a system designed specifically for such groups. They commissioned Tony Farley, the author of PQASSO to develop a suitable model, and launched Quality First in 1999. Using the Quality First system provides the first step in developing a quality assurance system, but it can also form the basis for any of the recognised quality systems, such as PQASSO, Investors in People, Quality Mark and ISO 9000.

It has been very well received, and a number of local authorities are using it for organisations in receipt of small grants or service agreements (under £10K p.a).

A major voluntary organisation is adapting it to use with their community and church groups.

It has also been adopted as the most suitable model for developing non-governmental organisations in Eastern Europe.

### 18.3. Appraisal

No appraisal has been made as there is no public information on the model or its approach. The book must be purchased in order to find out the structure of PQASSO, which was not possible in the time frame of the report.

## **PART FOUR A - PRESENTATION OF THE QUESTIONNAIRE SURVEY ANALYSIS AND RESULTS**

Based on the Terms Of Reference, the preparatory meeting in Brussels on 7 August 2002, and the resulting note for the file, the consultant has prepared a questionnaire survey form which was to be shared and completed by as many FPA partners as possible within a short time-frame. The forms (letter of presentation, questionnaires in excel format and guidelines for filling the questionnaire) were sent on 23 August 2002 to all FPA partners; however due to mail server problems the forms have had to be resent individually a second time on 30 August 2002.

As a result 44 Questionnaires have been returned, processed and analysed, out of a list of 215 partners, representing 20.5% of all ECHO FPA partners. On a methodological note, it should be noted that the information is not statistically representative nor does it provide a scientifically significant sampling of ECHO FPA partners. On a practical note given time constraints the questionnaire was not tested; as a result some difficulties were experienced by some partners specifically for answering question 37. On other questions (such as number 40) the yes or no answer proved inadequate, as many partners answered with a "yes" but under conditions.

Despite its limitations, the survey yields interesting information about quality management practices amongst ECHO partners. It should be noted that although all answers emanate from ECHO FPA partners, 6 out of the 44 organisations (13.6%) that answered the questionnaire have received no ECHO funding over the past three years.

### **MAIN HIGHLIGHTS OF THE SURVEY AND DATA ANALYSIS**

1. The nationalities of those partners that answered the questionnaire are as follows :

Nether-lands	Spain	Belgium	Italy	Germ-any	Switzer-land	United Kingdom	Ire-land	Den-mark	France	Sweden	Austria	Fin-land	total
3	6	3	7	8	1	5	2	3	1	1	3	1	44
6.8%	13.6%	6.8%	15.9%	18.2%	2.3%	11.4%	4.5%	6.8%	2.3%	2.3%	6.8%	2.3%	100%

2. The cumulative annual budget size of these organisations amounted to (in Euros) :

1999	2000	2001**
€656,997,985.50	€718,669,819.46	€613,897,096.00

\*\* not all partners could provide available information for 2001 yet, and two had changed their financial year. Total actual 2001 figures are therefore higher. For very large organisations (such as Red Cross Societies), only their international department budget is counted, not that of the entire organisation.

3. The number of organisations that are audited yearly :

yes	no	total
40	4	44
90.9%	9.1%	100.0%

Out of the four organisations that are not audited yearly, one is a small Spanish organisation with a small budget that cannot cover external audit costs; one is an Italian

NGO not bound by law to be audited; one is a German organisation, last audited in 1998, and one is an Italian NGO which will start performing external audits this year 2002.

4. NGO typology of human resources based on number of full staff members (not including volunteers)

small staff (1-9)	medium (10-20)	large (21 +)	total
16	7	21	44
36.4%	15.9%	47.7%	100.0%

5. Number of NGOs that are affiliated to a wider body :

yes	no	total
36	8	44
81.8%	18.2%	100.0%

6. Number of years of field experience

	1 to 5	6 to 10	11 to 20	21 and more	total
number	3	6	15	20	44
percent	6.8%	13.6%	34.1%	45.5%	100.0%

7. Number of organisations active in the medical sector

28as compared to 44 responses				63.64%
of those, number which use :				N/A
Standard Operation procedure		26		1
of 28		92.9%		
protocols for project implementation		18		5
of 28		64.3%		
others : - WHO materials		4		
- protocols for physiotherapy		1		

8. Number of organisations with LRRD experience

Yes	No	Somewhat	total
32	5	7	44
72.7%	11.4%	15.9%	100.0%

9. Number of organisations with LCB support/training experience to local NGOs

Yes	No	Somewhat	total
36	3	5	44
81.8%	6.8%	11.4%	100.0%

10. Number of NGOs with gender specific project/activities

Yes	No	Somewhat	total
21	9	14	44
47.7%	20.5%	31.8%	100.0%

11. Number of organisations that KNOW the following (ranked from higher to lower according to "yes" answers, not according to "combined" answers) :

	Yes	Somewhat	combined
Logical Framework	42	1	43
%	95.5%	2.3%	97.7%
Project Cycle Management	40	1	41
%	90.9%	2.3%	93.2%
Code of Conduct for RC and NGOs	34	1	35
%	77.3%	2.3%	79.5%
Sphere Standards	32	3	35
%	72.7%	6.8%	79.5%
ISO standards	22	13	35
%	50.0%	29.5%	79.5%
People in Aid Code	21	8	29
%	47.7%	18.2%	65.9%
ZOPP	18	3	21
%	40.9%	6.8%	47.7%
ALNAP materials and publications	15	4	19
%	34.1%	9.1%	43.2%
HAP	10	6	16
%	22.7%	13.6%	36.4%
EFQM Excellence	8	7	15
%	18.2%	15.9%	34.1%
Social auditing	7	8	15
%	15.9%	18.2%	34.1%
Social and ethical accountability	7	10	17
%	15.9%	22.7%	38.6%
Balanced Scorecard Approach	6	9	15
%	13.6%	20.5%	34.1%
Causal Pathway	6	4	10
%	13.6%	9.1%	22.7%
Others		5	
%		11.4%	11.4%
of which			
CPPE (comprehensive participatory planning and evaluation)		1	
Do No Harm		1	
ECHO material		1	
BPI (Better Initiatives Programming)		1	
InterAction PVO standards	2	3	5
%	4.5%	6.8%	11.4%
Groupe URD Quality Project	2	2	4
%	4.5%	4.5%	9.1%
Practical Quality Assurance System for Small Organisations	2	2	4
%	4.5%	4.5%	9.1%
Investors in people	1	3	4
%	2.3%	6.8%	9.1%

12. Number of organisations that ACTUALLY USE the following (ranked from higher to lower according to "systematically" answers, not according to "combined" answers) :

	Systematically	Regularly	Occasionally	Combined
Logical Framework	32	5	3	40



%		72.7%	11.4%	6.8%	90.9%
	Project Cycle Management	29	5	3	37
%		65.9%	11.4%	6.8%	84.1%
	Code of Conduct RC and NGOs	21	7	2	30
%		47.7%	15.9%	4.5%	68.2%
	Sphere Standards	12	12	2	26
%		27.3%	27.3%	4.5%	59.1%
	ISO standards	2	3	9	14
%		4.5%	6.8%	20.5%	31.8%
	ZOPP	2	3	8	13
%		4.5%	6.8%	18.2%	29.5%
	Causal Pathway	2	0	3	5
%		4.5%	0.0%	6.8%	11.4%
	Balanced Scorecard Approach	2		3	5
%		4.5%	0.0%	6.8%	11.4%
	Others	2			2
%	of which	4.5%			4.5%
	CPPE (Comp. Part. Plan. & Eval.)	1			
	TQM	1			
	Social and ethical accountability	1	4	4	9
%		2.3%	9.1%	9.1%	20.5%
	People in Aid Code	1	2	4	7
%		2.3%	4.5%	9.1%	15.9%
	ALNAP materials and publication		3	9	12
%		0.0%	6.8%	20.5%	27.3%
	Social auditing		3	3	6
%		0.0%	6.8%	6.8%	13.6%
	HAP		1	8	9
%		0.0%	2.3%	18.2%	20.5%
	InterAction PVO standards		1	3	4
%		0.0%	2.3%	6.8%	9.1%
	EFQM Excellence			6	6
%		0.0%	0.0%	13.6%	13.6%
	Groupe URD Quality Project			1	1
%		0.0%	0.0%	2.3%	2.3%
	Investors in people			1	1
%		0.0%	0.0%	2.3%	2.3%
	Practical Quality Assurance System for Small Orgs				0
%		0.0%	0.0%	0.0%	0.0%

13. The same ranking, from a combined answer (systematically, regularly and occasionally), changes significantly the middle part :

	Systematically	Regularly	Occasionally	Combined	
	Logical Framework	32	5	3	40
%		72.7%	11.4%	6.8%	90.9%
	Project Cycle Management	29	5	3	37
%		65.9%	11.4%	6.8%	84.1%
	Code of Conduct RC&NGOs	21	7	2	30
%		47.7%	15.9%	4.5%	68.2%

	Sphere Standards	12	12	2	26
%		27.3%	27.3%	4.5%	59.1%
	ISO standards	2	3	9	14
%		4.5%	6.8%	20.5%	31.8%
	ZOPP	2	3	8	13
%		4.5%	6.8%	18.2%	29.5%
	ALNAP materials and publications		3	9	12
%		0.0%	6.8%	20.5%	27.3%
	Social & ethical accountability	1	4	4	9
%		2.3%	9.1%	9.1%	20.5%
	HAP		1	8	9
%		0.0%	2.3%	18.2%	20.5%
	People in Aid Code	1	2	4	7
%		2.3%	4.5%	9.1%	15.9%
	Social auditing		3	3	6
%		0.0%	6.8%	6.8%	13.6%
	EFQM Excellence			6	6
%		0.0%	0.0%	13.6%	13.6%
	Causal Pathway	2	0	3	5
%		4.5%	0.0%	6.8%	11.4%
	Balanced Scorecard Approach	2		3	5
%		4.5%	0.0%	6.8%	11.4%
	Others	2			2
%	of which	4.5%			4.5%
	CPPE Comp. Part. Plan.& Ev.	1			
	TQM	1			
	InterAction PVO standards		1	3	4
%		0.0%	2.3%	6.8%	9.1%
	Groupe URD Quality Project			1	1
%		0.0%	0.0%	2.3%	2.3%
	Investors in people			1	1
%		0.0%	0.0%	2.3%	2.3%
	Practical Quality Assurance System for Small Orgs.				0
%		0.0%	0.0%	0.0%	0.0%

14. Number of organisations using at least one tool for :

	Systematically	Regularly	Occasionally	Combined
Needs assessment	25	12	1	38
	56.8%	27.3%	2.3%	86.4%
Project identification/planning	31	7	1	39
	70.5%	15.9%	2.3%	88.6%
Project implementation	30	8		38
	68.2%	18.2%	0.0%	86.4%
Monitoring and Evaluation	27	10	2	39
	61.4%	22.7%	4.5%	88.6%
Reporting	34	4	1	39
	77.3%	9.1%	2.3%	90.7%

15. Number of organisations with training expertise on quality control tools :

Number of organisations with training expertise in quality control tools of all answers	14 44	31.8%
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16. Number of organisations using performance indicators

Number of organisations using performance indicators of all answers (44)	38	86.4%		
number of organisations using performance indicators at the different levels				
	Systematically	Regularly	Occasionally	Combined
OUTPUT	23	13	2	38
% of 37 positive answers	52.3%	29.5%	4.5%	86.3%
OUTCOME	20	14	4	38
% of 37 positive answers	45.5%	31.8%	9.1%	86.4%
IMPACT	14	11	13	38
% of 37 positive answers	31.8%	25.0%	29.5%	86.4%

17. Number of organisations using at least one quality management tool

16 Number of organisations using at least one quality management tool of total number of answers (44)	25	56.8%
Number of organisations that answered "Not Familiar" with quality management tools of total number of answers (44)	8	18.2%
Number of organisations that answered "No" of total number of answers (44)	9	20.5%
Number of organisations that did not answer of total number of answers (44)	2	4.5%
total		100.0%

18. Number of organisations using the same quality tools at HQ and in the field

Number of organisations using the same quality tools at HQ and in the field of total number of answers (44)	26	59.1%
Number of organisations that answered "No" of total number of answers (44)	6	13.6%
Number of organisations that did not answer of total number of answers (44)	2	4.6%
Number of organisation that answered "Sometimes" of total number of answers (44)	10	22.7%
total		100.0%

19. Number of organisations that have a policy in, or for :

Human Resources of total number of answers (44)	41	93.2%
Gender of total number of answers (44)	29	65.9%
Quality Control Strategy of total number of answers (44)	28	63.6%
Monitoring and Evaluation Strategy	36	

% of total number of answers (44)	81.8%
Quality Control Training	19
% of total number of answers (44) of which :	43.2%
internal 2 external 0 both	17

20. Number of organisations that have IN-HOUSE quality standards :

Number of organisations possessing IN-HOUSE quality standards	26
% of total number of answers (44)	59.1%

21. Number of organisations open to acceptance of quality standards from ECHO

Number of organisations open to acceptance of quality standards from ECHO	39
% of total number of answers (44)	88.6%

NB : However issues over which standards should be applied to should be subject to discussion for most organisations that answered positively, and should not be applied straight out. Also there are reservations and limitations as to how far the standards can be used, and there are varying perceptions regarding their fields of application. Very few answers are a simple "yes", so despite a large positive percentage, they are mostly conditional answers.

22. Number of organisations interested in a sharing process on quality control :

% of total number of answers (44) issues :	12	27.3%
CPPE	1	
quality as a continuous improvement process	1	
ECHO contract duration and budget, as QMT is not free of charge	1	
which QMT are used by other NGOs	1	
Internal good practices/lessons learned exercises	1	
good practices in responding to needs of older people in emergencies	1	
project identification and management, administration and M&E	1	
humanitarian emergencies, D/P and mitigation, post-emergency rehabilitation	1	
evaluation and project implementation	1	
drug donation policy, humanitarian mine action and psychosocial projects	1	
implementing a quality system mechanism placing the beneficiary as the client	1	
project measurement standards	1	

23. Number of organisations interested in follow-up work in the QMT process :

Number of organisation interested and available to participate in the QMT process	39
% of total number of answers (44)	88.6%
of which :	
on their own funds	14
% of 39 positive answers	35.9%
on ECHO funding	39
% of 39 positive answers	100.0%

## **PART FOUR B. FINDINGS AND RECOMMENDATIONS REGARDING THE QUESTIONNAIRE RESULTS.**

### **Finding 1.** Typology of answers received

The most numerous response was received from German NGOs (18.2%), Italian NGOs (15.9%), Spanish NGOs (13.6%) and UK NGOs (11.4%). 6.8% of responses came from Dutch, Belgian, Austrian and Danish NGOs. Irish NGOs accounted for 4.5% of responses, while Swedish, Finnish, Swiss and French NGOs only contributed one response from each country, a disappointing 2.3% considering the number and type of NGOs based in these last two countries.

**Finding 2.** The cumulative total annual budget of these 44 ECHO FPA partners amounts to over €656 million for 1999, and over €718 million for 2000. Incomplete figures for 2001 stand at some €614 million. The financial capacity of these organisations is therefore quite large. Although it is not possible to extrapolate as to what budgets the other 211 ECHO FPA partners may cumulatively represent annually, a "guesstimate" on the basis of the 20% of partners that answered the questionnaire would quintuplicate the amount to an impressive €3.28 billion for 1999 and €3.59 billion for 2000.

Recommendation : The size of these figures is enough justify the need for adequate quality management practices to be put in practice across the board.

**Finding 3.** External Auditing is a well established practice amongst ECHO partners, with over 90% of the organisations audited yearly. Of the remaining 10%, one is an Italian NGO, not bound by law to be audited, another is an Italian NGO which intends to start external audits this year; one is a German NGO last audited in 1998, and one is a small Spanish NGO whose budget does not allow to cover external audit costs.

Recommendation : Yearly external auditing should be compulsory for all ECHO FPA partners and should be one of the FPA eligibility criteria. In the case of small NGOs, a threshold for compulsory auditing should be established, perhaps for yearly budgets over €200,000.

**Finding 4.** NGO typology of human resources based exclusively on number of full staff members, should that over a third of ECHO partners are small NGOs with less than 9 staff members, one seventh is composed of medium size NGOs with 10 to 20 staff members, and almost half of ECHO partners are large NGOs employing over 21 staff. The division in size along those lines was requested by ECHO. ECHO has therefore a diversified partnership structure in terms of human resources, with a comparatively greater constituency of large NGOs.

**Finding 5.** Almost 82% of partners are members or affiliated to a wider body. This is an important positive finding whereby organisations can share and participate in knowledge sharing and dissemination among peers, carry out peer review, discuss the adoption of new methods and working tools, etc.

Recommendation : all ECHO FPA partners should be encouraged to participate or be affiliated to a wider body as a sharing and learning experience. In particular small NGOs could greatly profit from peer experience. It could also be part of the minimum standard for FPA eligibility.

**Finding 6.** ECHO partners have extensive field experience. Almost half (45.5%) has over 21 years of experience, and over one third (34.1%) has between 11 and 20 years experience. Only 3 NGOs (6.8%) have less than 6 years experience. The experience level (80% of partners possessing more than 11 years experience) also clearly allows for greater accountability and transparency.

Recommendation : Strategic learning partnerships could be designed between the more recent NGOs and the more experienced NGOs in joint field activities wherever possible.

**Finding 7.** Almost two thirds (63.6%) of partners are active in the medical sector. Of those almost 93% use Standard Operation Procedures, while only 64% use Protocols for project implementation.

Recommendation : the medical sector covers a wide range of activities. Under the present questionnaire structure it is not possible to know why the use of protocols is not consistently applied. Possibly some of the medical activities undertaken do not fall into the protocols category. If ECHO wants to find out the procedures in the medical sector, it should commission a specific medical sector study.

**Finding 8.** Almost three quarters of NGOs have significant LRRD experience, and an additional 16% has some LRRD experience. In total ECHO can boast of over 90% of partners with LRRD experience.

Recommendation : this should translate into the submission by ECHO partners of adequate quality projects at field level forward looking into the rehabilitation and post-emergency phases. In particular, there should be a high volume of post-emergency LRRD projects in the pipeline for ECHO financing in order to avoid funding gaps with other EC services and / or that of other donors. This should also mean that ECHO's funding in a given region should not drop sharply after an initial emergency phase but ideally should continue into the still fragile consolidation phase until other donors and / or EC services can take over such funding. But at the same time it underlines the difficulty of having short budget cycles of up to one year maximum.

**Finding 9.** Over 80% of partners have Local Capacity Building (LCB) experience with local NGOs, with an additional 11% having "some" degree of experience. Overall 93% of partners have LCB experience. This is extremely important and positive and is a key factor of LRRD as over the longer-term only local structures will remain to deal with humanitarian aid and development challenges.

Recommendation : LCB should become a part of the standard procedures for project implementation and form a part of the evaluation criteria, with clear benchmarks as to the results obtained.

**Finding 10.** Less than half (46.5%) of partners has gender specific projects and activities, but an additional third (32.6%) has "somewhat". In total almost 80% of partners have to some extent gender specific projects and / or activities.

**Finding 11.** Over 90% of partners have the knowledge of the main implementation tools such as the Logical Framework (97.7%) and the Project Cycle Management - PCM- (93.2%). For minimum standards SPHERE is known to almost 80% of partners. Codes and governance are also known at 80% for the Code of Conduct for Red Cross and NGOS and 66% for the People In Aid Code. In regards to management tools, the most widely known system (almost 80%) is the ISO standards.

**Finding 12.** Low systematic use of methods and tools. A problem of rigidity?

Regarding the use of the same methods and tools, the results are quite surprising. Only 73% of partners use systematically the Logical Framework, and only 66% use systematically the PCM, which is a sharp drop from the percentage of partners that know these tools. The SPHERE minimum standards are only systematically applied by 27% of partners, while the Code of Conduct for Red Cross and NGOs is systematically applied by only 48% of partners, and the People in Aid Code by a meager 2.3%. For management tools, despite the widespread knowledge of ISO standards, only 4.5% use them systematically.

There is improved performance when the combined answers of systematic, regular and occasional use are presented.

In this case the combined percentage for the Logical Framework increases to almost 91% (e.g. 18 percent use it only regularly or occasionally), the PCM reaches 84% (again 18% using it only regularly or occasionally), the SPHERE standards are up to 59% (32% using it only regularly or occasionally), and the Code of Conduct for Red Cross and NGO goes up to 68% (20% using it regularly or occasionally). The People In Aid Code use increases to 16% (almost 14% using it regularly or occasionally), and ISO standards rise to 32% (27.5% using it regularly or occasionally).

Recommendation : there is still a wide gap between theory and practice, or knowledge and use. There is a need for a systematic use of methods and tools in all cases to be applied by all partners.

**Finding 13.** Between 88.4% and 90.7% of partners use AT LEAST ONE TOOL for the different stages of the Project Cycle (simplified as needs assessment, project identification and planning, project implementation, monitoring and evaluation, reporting). However there are still between 11.6% and 9.3% of partners that use NONE, which should be a cause of concern.

Amongst the 44 answers received, the SYSTEMATIC use of at least one tool at each stage is quite low : the worse result is a surprising 58% for needs assessment, indicating that 42% of NGOs using at least one tool do not apply it systematically to needs assessment. The second lowest result is 63% for monitoring and evaluation, almost 70% for project implementation (leaving 30% not applying tools systematically), 72% for

project identification and planning (28% not applying tools systematically). The highest score is a 79% for reporting, indicating that this is the stage where tools are most systematically used by ECHO partners.

Recommendation : The systematic use of tools at each step of the Project Cycle remains low, especially for needs assessment, and should be compulsory for all ECHO partners.

**Finding 14.** Almost a third (32.6%) of ECHO partners possess training expertise in quality control tools.

Recommendation : ECHO should draw on the existing partners expertise to further increase the partners knowledge base and ensure that all ECHO partners have received adequate skills training in quality control tools as a step towards the application of minimum standards.

**Finding 15.** 88.4% of partners use performance indicators, versus 11.6% which don't. The SYSTEMATIC use of at least one performance indicator at the output, outcome and impact levels starts at 60% for outputs, and drops to 52.6% for outcomes, and finally a small 36.8% for impact.

Recommendation : the systematic use of performance indicators at the output, outcome and impact levels should form a part of the basic quality management toolkit.

**Finding 16.** 59% of partners use at least one quality management tool. However a large percentage (18%) answered "not familiar", indicating that the concept of "quality management tool" is not self-explanatory and requires explanation.

Recommendation : Quality management needs to be defined in order for ECHO partners to be able to answer unambiguously. All ECHO partners should be using at least one system of quality management with the relevant tools which support it.

**Finding 17.** The same percentage (59%) of partners use the same quality tools at headquarters levels than in the field, with an additional 22.7% using it "sometimes". This leaves 20% of negative (13.6%) or blank (6.8%) answers.

Recommendation : While needs and the extent to which quality tools are applied may obviously vary between headquarters and field levels, the tools that are being used for quality control should be the same. ECHO partners should strive to encourage their field offices to systematically use the same quality tools as those being used in Headquarters.

**Finding 18.** 93% of ECHO partners have a human resource policy, something quite positive. However only 64% have one for quality control, 66% for gender, and 82% for monitoring and evaluation.

Recommendation : all ECHO partners should have a policy for each of the critical factors, at least in : human resources, gender, quality control, monitoring and evaluation, and IT.



**Finding 19.** A large number of partners (59%) have their own IN-HOUSE quality standards. These tend to be "tailor made" to the type of activity undertaken.

**Finding 20.** Almost 89% of partners would tentatively agree on conditional basis and subject to discussion that ECHO set some quality standards for FPA partners.

**Finding 21.** A quarter of partners possess information on quality control which they would like to share with ECHO.

Recommendation : ECHO could take the opportunity to hold a workshop drawing on the existing experience to identify good practices in quality control from its own network of knowledgeable partners.

**Finding 22.** Almost 89% of partners would be interested and available to participate further in the quality management debate, and over a third would be willing to do so on their own funds.

LIST OF NGOS HAVING RESPONDED TO THE QUESTIONNAIRE

1. Care Nederland
2. Solidaridad Internacional, Spain
3. Vétérinaires Sans Frontières, Belgium
4. Comité Internacional de Rescate, Spain
5. The Netherlands Red Cross Society
6. Comitato Collaborazione Medica, Italy
7. Asociación Nous Camins, Spain
8. Medical Mission Action (Memisa), Belgium
9. Deutsche Welthungerhilfe (DWHH)/German Agro Action (GAA)
10. International Catholic Migration Commission (ICMC), Switzerland
11. Arbeiter-Samariter-Bund e.V. (ASB), Germany
12. Fondazione Terre des Hommes Onlus, Italy
13. Food for the Hungry, UK
14. Save the Children, Holland
15. Geologos del Mundo, Spain
16. Associazione Italiana Amici di Raoul Follereau (AIFO), Italy
17. HELP - Hilfe zur Selbsthilfe e.V., Germany
18. Comitato di Coordinamento delle Organizzazioni per il Servizio Volontario-COSV, Italy
19. Istituto Sindacale per la Cooperazione allo Sviluppo (ISCOS), Italy
20. Handicap International, Belgium
21. Mission East, Denmark
22. World Vision, Germany
23. HelpAge International, UK
24. Atlas Logistique, France
25. PMU Interlife, Sweden
26. Cruz Roja Española, Spain
27. Intersos, Italy
28. Caritas, Austria
29. FinnChurchAid, Finland
30. DanChurchAid, Denmark
31. Goal, Ireland
32. Medair UK, UK
33. Deutsche Caritas Verband, Germany
34. Danish Red Cross, Denmark
35. Österreichisches Rotes Kreuz, Austria
36. World Vision, Ireland
37. Medico International e.V., Germany
38. Care Österreich, Austria
39. Care Deutschland e.V., Germany
40. Care International, UK
41. Entreculturas, Spain
42. Medical Aid for Palestinians, UK
43. ADRA Germany, Germany
44. Vispe, Italy