ALNAP governance, management and membership

ALNAP

Contents

1 Introduction

ALNAP is a system-wide network organisation dedicated to improving the accountability and performance of humanitarian action by strengthening the humanitarian evidence base through sharing lessons, identifying key issues and, where appropriate, providing leadership to find collective approaches and solutions. The vision, values, strategic focus areas and key principles of ALNAP are set out in the Strategy (2013-18) which was ratified and adopted by the Membership in March 2013[1].

The ALNAP Membership aims to reflect the main organisations and other institutions that make up the formal 'humanitarian system'. Currently, Full Members include agencies from the United Nations, the Red Cross/Crescent Movement, bilateral and multilateral donor organisations and foundations, non-government organisations, research institutes and academics. Associate Members include humanitarian networks and inter-agency initiatives, and consultancy groups.

ALNAP aims to foster and develop a culture of learning and evaluation that brings about improvements in the performance of the humanitarian system. ALNAP seeks to identify collective approaches to common problems and an important principle for guiding discussions is that no one group dominates proceedings. It is therefore important that a 'balance' of representation is maintained in the Membership (and in the Steering Committee) and that interaction between Members is conducted on a mutually respectful basis and guided by the four core values (equality; neutrality; enquiry; and shared ownership) as laid out in the ALNAP Strategy.

2 Legal status/hosting arrangements with ODI

2.1.1 The Secretariat is hosted by the Overseas Development Institute in London. As a respected independent research institute, ODI provides ALNAP with a suitably 'neutral' location from which to serve its diverse Membership; ease of access to information flows, research and debates within the humanitarian sector; and the institutional support of an established organisation.

2.1.2 ODI has sole legal responsibility and liability for ALNAP Secretariat staff, premises, insurance and activities[2].

2.1.3 All ALNAP Secretariat staff are contracted to the ODI; are subject to standard ODI terms and conditions of employment and operate in accordance with the financial, personnel and legal structures of the ODI, including ODI disciplinary and grievance procedures.

2.1.4 ALNAP funds are managed through ODI financial systems and procedures.

2.1.5 ALNAP consultants are recruited on ODI contracts

2.1.6 Although the ALNAP Secretariat is part of the Overseas Development Institute, the ALNAP Membership and the ALNAP Steering Committee retain separate and distinct identities and are independent from all ODI processes and structures. The ALNAP work plan is determined by the ALNAP Membership and Steering Committee.

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[1] ALNAP Strategy 2013-2018
[2] Neither ALNAP nor the Steering Committee has an independent legal status. In legal terms, ALNAP is part of the ODI.

3   Steering Committee

3.1   Purpose and mandate

3.1.1   The Steering Committee functions as ALNAP's quasi-executive body and is mandated to act on behalf of all Full Members.

3.1.2   The purpose of the Steering Committee is to determine the direction and development of ALNAP in accordance with the views and priorities of the different constituent groups in the Membership. Steering Committee decisions are therefore informed by the priorities of ALNAP Full Members. Each Steering Committee Member is mandated to represent the views of his/her constituent grouping[3].

3.1.3   Decisions are taken on the basis of consensus (see 3.7).

3.2   Composition of the Steering Committee

3.2.1   The Steering Committee is composed of eight Full Member representatives plus the Steering Committee Chair (nine Members total).

3.2.2   To ensure balanced representation of the different constituent groups, two Steering Committee Members each are selected from the donor/ foundation, UN, and NGO constituencies and one each from the Red Cross / Red Crescent Movement and the Academic/research groups.

3.3   Term of office for Steering Committee Members

3.3.1   The term of office is two years with a staggered rotation to ensure continuity whilst providing the opportunity for new Members to engage. Steering Committee Members can extent their term of office by one year by agreement with the rest of the Steering Committee and the Chair.

3.4   Procedure for replacement of vacant positions

3.4.1   On completion of the two-year (or three year extended) term, or in the event of the resignation of a Steering Committee Member, Full Members within the relevant constituent group are asked to nominate/elect candidates from that group. Re-election is possible.

3.5   Frequency of meetings and quorum

3.5.1   The Steering Committee meet on a quarterly basis (twice per year in person and twice by videoconference). Steering Committee Members are required to attend all meetings. In unusual circumstances, additional ad-hoc meetings and/or telephone conference calls can be called by the Chair to discuss specific issues.

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[3] Currently there are five Full Member constituency groups: i) Donor/ Foundation group; ii) UN group; iii) NGO group; iv) Academic/research institutes; and (v) Red Cross/Red Crescent.

3.5.2   Steering Committee meetings require a quorum of at least 50% of the committee present, either in person or by telephone/videoconference.

3.6   Specific functions

3.6.1   To provide advice and support in the development of the ALNAP strategy and monitor its implementation.

3.6.2   To organise and consult with the relevant constituency groups and provide constructive feedback on the draft ALNAP annual work plans.

3.6.3   To feed back to constituency groups on discussions in the Steering Committee and on other key issues.

3.6.4   To approve final ALNAP annual work plans, budgets, expenditure and strategies and policies.

3.6.5   To encourage and, where necessary, facilitate prompt delivery of funding from constituency group Members.

3.6.6   To monitor the progress and implementation of the annual work plan in collaboration with the Secretariat.

3.6.7   To offer advice, critical support and guidance to the Secretariat staff on substantive issues relating to the implementation of the annual work plan and to provide new ideas.

3.6.8   To maintain a watching brief on the capacity of the Secretariat to be able to meet the demands of approved activities.

3.6.9   To actively identify potential new Members

3.6.10 To consider and rule on new Full Membership applications.

3.6.11 To oversee the development of the Network in the light of the ALNAP Strategy.

3.6.12 To maintain a watching brief on the implementation of the ALNAP Strategy.

3.6.13 To engage in working/advisory groups on specific pieces of work.

3.6.14 To promote ALNAP when the opportunity arises.

3.7   Steering Committee Chair

3.7.1   The Chair of the Steering Committee will lead and facilitate the Steering Committee in carrying out their roles and responsibilities as set out in 3.1 and 3.6 above.

3.7.2   The Chair is identified/elected by the Steering Committee from amongst the Membership and the wider humanitarian community.

3.7.3   The Chair serves a two year term with an option of re-election for one additional term.

3.7.4   A Vice-Chair may be chosen by the committee and will stand in for the Chair in his/her absence

3.7.5   Specific responsibilities for the Chair:

- To ensure a relevant flow of information to the Steering Committee.

- Chair Steering Committee meetings and provide leadership and guidance to the Committee, especially when difficult or significant decisions are required.

- To offer support and advice to the Director and to take part in his/her appraisal.

- To Chair the Full Members day of ALNAP annual meetings and the themed event, when appropriate.

- To attend where possible all committee meetings and any other relevant meetings.

- To promote ALNAP wherever appropriate.

3.8   Steering Committee/Chair Relationship Description

3.8.1   The Chair of the Steering Committee receives his/her authority by the election of the Steering Committee and the Chair is authorised by the Steering Committee to provide leadership.

3.8.2   In the fulfilment of the responsibilities of this position the Chair may not:
- take any action not authorised by the Steering Committee
- give personal management direction to the Director or his/her staff
- cause or allow any Member of the Steering Committee to be in violation of the limitations of its authority
- prevent any proposal from the Director from being considered.

3.8.3   Accountability is mutual. The Chair is accountable to the rest of the Steering Committee for performance with respect to the responsibilities outlined above and compliance with the limitations of authority of the role (3.8.2).

4   The ALNAP Secretariat

4.1.1   The key role of the ALNAP Secretariat is to realise the ALNAP Strategy though the implementation of annual work plans. All activities are developed by the Secretariat with guidance from the Steering Committee and consultation with the Full Members.

4.1.2   Currently, Secretariat Staff consist of a Director; Head of Research; Research Fellow - Effectiveness and Innovation; Research Fellow - participation, partnerships and National and Local NGOs; Research Fellow - Evaluation, Learning and Accountability; Research Officer - Evaluation, Learning and Accountability; Research Officer -Urban and Leadership; Operations and Partnerships Manager; Communications Manager; Communications Officer;

and Programme Officer. The ALNAP Director is responsible for the management of the Secretariat (see 5.1).

Specific key functions of the Secretariat include:
- to draft annual work plans and budgets
- to ensure funding meets agreed budgets and donors reporting requirements are fulfilled
- to manage income and expenditure and report to the Steering Committee
- to prepare, participate in, minute and report back on Steering Committee meetings
- to maintain, develop and promote the Humanitarian Evaluation and Learning Portal (HELP)
- to maintain, develop and promote the ALNAP website allowing for broad dissemination of, and free access to, ALNAP products
- to manage the conception, production and dissemination of key ALNAP products such as the *State of the Humanitarian System*, *Lessons Papers, Evaluation of Humanitarian Action Guide.*
- to develop the agenda and, in conjunction with the host organisation, organise and run ALNAP annual meetings
- to write and distribute the ALNAP Annual Report.

5   The ALNAP Director

5.1   Role of the Director

5.1.1   The Director functions in accordance with his/her job description which has been approved by the Steering Committee and the ODI.

5.1.2   The Director is responsible for leading the process of strategy implementation through the planning, resource development and management of the Network. He/she leads and manages the Secretariat in the implementation of the annual work plan and, with the support of the Steering Committee, has primary responsibility for the effective functioning of the Network.

5.1.3   The Director provides the Steering Committee with all the organisational information it needs for its governance responsibilities, including strategic planning and implementation and resource development. This information is made available in a timely, accurate and understandable manner.

5.1.4   The Director is responsible for giving regular progress reports to the Chair

5.1.5   The Director is responsible for developing and maintaining a healthy relationship with the Steering Committee (including the Chair), the Full Members, Secretariat staff, interns, volunteers and ODI staff and governance.

5.1.6   It is expected that the Director will be guided by the Network's values and strategic objectives and that he/she will model and promulgate the Network's values; that he/she will maintain

and develop teamwork at all levels of the Network and ensure that the relationships between key stakeholder groups are open and cooperative.

5.2   Director/ODI/Chair/Steering Committee relationship description

5.2.1   The Director is contracted by the ODI and is bound to all ODI conditions of   employment, rules and regulations.

5.2.2   The Director has dual reporting lines, reporting to the ODI directorate on all matters relating to Secretariat management, including personnel, management, finances, contractual and legal issues; and reporting to the Steering Committee via the ALNAP Chair with respect to substantive issues of ALNAP, including the implementation of the annual work plan.

5.2.3   Accountability is mutual. The Steering Committee is accountable to the Director for providing the affirmation and involvement required for the successful realisation of the responsibilities of the position. The Director is accountable to the Steering Committee via the Chair through his/her annual performance appraisal.

6   Membership

6.1   Full Members

6.1.1   The role of Full Members is to support, promote and play an active role in the implementation of ALNAP's vision and five-year Strategy.

6.1.2   There is substantial demand for ALNAP Membership. To meet this demand, Full Membership has been raised to a maximum of 105.[4] (See ALNAP website for current Full Members)

6.2   Criteria for Membership

Successful applicants for ALNAP Membership will:

  i.   Be a key player in humanitarian action, as demonstrated by involvement in activities such as: disaster preparedness and mitigation; humanitarian relief; recovery and rehabilitation. Types of role include fundraising; provision of funds; assessing, supplying and evaluating humanitarian assistance/recovery and rehabilitation; developing policy in one or more of these areas; informing/educating the public and other stakeholders.
 ii.   Have a demonstrable track record and an established reputation in one or more of the above areas over at least two years of existence as an organisation.
iii.   Demonstrate a commitment to learning, accountability and improving performance.
 iv.   Agree to abide by the rules and regulations of Full Members as outlined below.
  v.   Be a subscriber on the ALNAP website, normally for at least one year and/or be able to demonstrate good knowledge of ALNAP's work, for example through engagement with CoPs, the HELP and/or disseminating ALNAP's research for at least one year.

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[4] See Steering Committee Meeting Minutes April 2016

vi. Provide a reference from an existing ALNAP Full Member.

Please note:

<u>For NGOs:</u> When an NGO applies for Membership, if the humanitarian head office is applying for Membership and is successful, the federation will become a Member. If a country office applies for Membership, federation Membership will depend on where the humanitarian head office is based, and which office pays the contribution fee.

<u>For Red Cross/ Red Crescent Societies:</u> When a Red Cross/Red Crescent society applies for Membership, only the country office will receive Membership status.

<u>For private sector/ consultancies:</u> For the private sector/consultancy constituency, from April 2016 applications will only be accepted from organisations (an entity comprising of multiple people) rather than individuals, and should be able to demonstrate at least two years of demonstrable track record and reputation as an organisation.

6.3   Full Member responsibilities

6.3.1   The responsibilities of Full Member representatives are

a) Participation at annual meetings. Specifically:
- to attend annual meetings every other year and/or ensure appropriate organisational representation and continuity
- to bring issues of common concern to the ALNAP 'table' for discussion and support initiatives and changes to improve accountability, learning and performance
- to provide inputs to ALNAP activities and annual work plans.

b) Promotion of ALNAP and its activities
- To act as 'gatekeepers' and advocates within their own organisation (and, where appropriate, the Alliance or Federation which their organisation represents) and more broadly within the humanitarian sector, to increase awareness of ALNAP and its activities though disseminating relevant ALNAP products and information on ALNAP activities.
- To contribute or collaborate on studies undertaken or commissioned by ALNAP, e.g. though Peer Review/Advisory Groups, hosting of ALNAP researchers.
- To contribute to ALNAP's evolving information systems including newsletters, discussion forums and blogs.
- To make available their own organisation's evaluative reports for posting on the Humanitarian Evaluation and Learning Portal (HELP) and to assist the Secretariat with copyright issues.

6.3.2   Financial and/or in kind support

Full Members should contribute to ALNAP activities with an annual financial contribution and/or in kind support, e.g. hosting meetings, undertaking translation of ALNAP products.

6.3.3 Financial contributions

ALNAP funding contributions are based on organisations' annual humanitarian spend. The tables below represent the suggested minimum financial contributions of relevant Membership groups.

Donors / Foundations	Annual contribution £GBP	Based on estimated humanitarian aid in £GBP
1	85,000	Above 500 million
2	50,000	250-500 million
3	30,000	50-250 million
4	20,000	25-50 million
5	10,000	Below 25 million

NGOs	Annual contribution £GBP	Based on estimated annual turnover £GBP
1	10,000	Above 150 million
2	5,000	50-150 million
3	2,500	25-50 million
4	1,000	10-25 million
5	500	5-10 million
6	200	1-5 million
7	100	Below 1 million

UN Agencies	Annual contribution £GBP	Based on estimated annual turnover £GBP
1	10,000	Above 150 million
2	5,000	50-150 million
3	2,500	Below 50 million

Red Cross	Annual Contribution £GBP	Based on estimated annual turnover £GBP
1	10,000	Above 150 million
2	5,000	50 million-150 million
3	2,500	25-50 million
4	1,000	10-25 million
5	500	5-10 million
6	200	Below 5 million

6.3.4   Academic and research institutions are the only category of Full Member who are not required to make annual financial contributions. These institutions should commit to providing in-kind support particularly by acting as peer reviewers and Members of Advisory Groups for ALNAP publications.

6.4   *Entitlements of Full Members*

Entitlements of Full Members are as follows:

- an invitation to full Annual Meetings (including the Members Day) and discounted attendance fees
- in exceptional circumstances the entire Membership may be asked to vote on a specific matter
- a vote in elections for representatives from their constituency to the Steering Committee
- a voice in identifying and prioritising ALNAP's strategic direction and activities
- depending on availability, ALNAP staff will attend Full Members' learning events to present and host discussions on topics covered in recent ALNAP work
- free copies of each State of the Humanitarian System report
- free copies of other ALNAP publications
- full access to documentation on the Humanitarian Evaluation and Learning Portal.

6.5   *Termination of Membership*

Full Members are free to withdraw from ALNAP at any time. Full Members who do not comply with Full Member responsibilities will be requested to a) adhere to their responsibilities in the future, or b) withdraw their Membership to make way for others. Failure to meet obligations is defined on the basis of the following criteria. The ALNAP Secretariat will review Members and their level of engagement bi-annually.:

- failure to be represented at two consecutive Annual Meetings
- failure to provide evaluation reports for the ALNAP Humanitarian Evaluation and Learning Portal (HELP)
- non-payment of recommended contribution
- failure to make in-kind contributions for agencies not required to make a financial contribution.
- failure to show active engagement with ALNAP work plan and activities

6.6   *Associate Members*

In June 2013, the ALNAP Steering Committee decided to create a new category of Membership. Associate Members have all the entitlements of Full Members (see above) but are not eligible to be on the Steering Committee and do not have voting rights. There are currently two constituency groups in the Associate Membership category: humanitarian networks and umbrella organisations; and private sector organisations. We would also accept Associate Membership applications from National Disaster Management Authorities of governments in crisis-affected countries.

6.6.1   Associate Member responsibilities

Associate Members have the same responsibilities as Full Members (see above) but are not required to attend ALNAP Annual Meetings

6.6.2 Commitment to Corporate Social Responsibility

Private sector Members should demonstrate a commitment to the principles enshrined in the concept of Corporate Social Responsibility (a 'commitment to behave ethically and contribute to economic development, whilst improving the quality of life of the workforce and their families as well as of the local communities and society at large' *World Business Council for Sustainable Development*)

6.6.3 Financial contributions

Humanitarian networks, umbrella organisations and National Disaster Management Authorities are not required to make a financial contribution.

Private sector organisations are required to make an annual financial contribution related to the size of their turnover as per the table below.

Private sector	Annual Contribution £GBP	Based on estimated annual turnover £GBP
1	15,000	Above 150 million
2	7,500	50-150 million
3	3,750	25-50 million
4	1,500	10-25 million
5	750	5-10 million
6	300	1-5 million
7	150	200,000-1 million
8	0	Below 200,000

6.5.4 Entitlements

Associate Members have the same entitlements as Full Members (see above) but do not have a vote in elections for representatives from their constituency to the Steering Committee

6.7 Subscribers

6.7.1 Individuals and organisations that have an interest in issues of accountability, learning and performance in the humanitarian sector can set up an account on the ALNAP website. Individuals whose Full Member organisations already have a nominated representative will be given Full Member access to the website. There are no limits to the number of subscribers.

6.7.2 The key role of subscribers is to add to the debate and extend the dissemination and influence of ALNAP in respect to its values and mission laid out in the Strategy.

6.7.3 Entitlements of subscribers:
- inclusion on the electronic mailing list
- invitation to the 'main days' of the ALNAP annual meeting (subject to space).

6.8   Honorary Members

Honorary membership is given to a select group of respected individuals who have made a significant contribution to both the practice of evaluation and the development of the ALNAP network. The obligations required for Full Membership do not apply to the category of Honorary Membership.

Annex 1 RASCI diagram[5]

TASK DESCRIPTION	ODI	SECRETARIAT	DIRECTOR	STEERING COMMITTEE/ CHAIR	MEMBERSHIP
Policy					
Establish strategies & policies		R	A	S	C
Approve strategies & policies		I	A	R	I
Monitor implementation of strategies & policies				A	I
Workplan					
Establish work plan		R	A	S	S
Approve work plan		I	A	R	I
Implement work plan		R	A	S	S
Monitor work plan		R	A	R	S
Report on work plan		R	A	I	I
Budget & finance					
Establish budget		R	A	S	S
Approve budget & expenditure	A		A	R	I
Manage & report on budget and expenditure	A	R	A	S	I
Others					
Manage secretariat	S		R/A	S	
Management of Director	A			R	
Legal issues	A	S	S	S	I

RESPONSIBLE   [red]   Those who do the work to achieve the task. There can be multiple resources responsible.
ACCOUNTABLE   [orange]   The person/people ultimately answerable for the correct and thorough completion of the task.
SUPPORT   [peach]   Those who may help in the task.
CONSULTED   [cyan]   Those whose opinions are sought. Two-way communication.
INFORMED   [green]   Those who are kept up to date on progress. Two–way communication.

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[5] Although the RASCI diagram shows that Steering Committee is only accountable for one of the task descriptions, it is fully recognised that the SC support and inputs enable the Director and the ODI to be fully accountable. Accountability is thus mutually dependent.

Annex 2 Criteria for Membership

Successful applicants for ALNAP Membership will:

   i. Be a key player in humanitarian action, as demonstrated by involvement in activities such as: disaster preparedness and mitigation; humanitarian relief; recovery and rehabilitation. Types of role include fundraising; provision of funds; assessing, supplying and evaluating humanitarian assistance/recovery and rehabilitation; developing policy in one or more of these areas; informing/educating the public and other stakeholders.
   ii. Have a demonstrable track record and an established reputation in one or more of the above areas over at least two years of existence as an organisation.
   iii. Demonstrate a commitment to learning, accountability and improving performance.
   iv. Agree to abide by the rules and regulations of Full Members as outlined below.
   v. Be a subscriber on the ALNAP website, normally for at least one year or be able to demonstrate good knowledge of ALNAP's work, for example through engagement with CoPs, the HELP and/or disseminating ALNAP's research.
   vi. Provide a reference from an existing ALNAP Full Member.

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