



Organisational Review Caritas Norway

Final Report

Norwegian Agency for Development Cooperation

P.O. Box 8034 Dep, NO-0030 OSLO
Ruseløkkveien 26, Oslo, Norway
Phone: +47 22 24 20 30
Fax: +47 22 24 20 31

ISBN 978-82-7548-538-8
ISSN 1502-2528

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Organisational Review

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October 2010

Stein-Erik Kruse (NCG)

Marilyn Lauglo (NCG)

Eli Koefoed Sletten (Norad)

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Executive Summary

This organisational review has been commissioned by Norad with the purpose of assessing Caritas Norway's (CN) capability and capacity to achieve its goals. It is based on a review of existing documents, interviews with CN staff and a visit to Caritas Zambia – one of CN's three main partners. The review has focused on issues of partnership and achievement of results. All the findings are not necessarily valid in other partner countries.

The overall findings are:

- CN's strength lies in its strong and clear identity as a partner organisation within the Catholic international network. The organisation is also perceived as a reliable and professional partner.
- CN has ambitious goals, competent and committed staff, but limited human and financial resources. There is no clear strategic focus and prioritisation of scarce resources in order to make optimal impact in priority areas.
- CN's programmes are relevant for partners and beneficiaries and in line with Norwegian Government principles. Implementation through existing structures also secures a cost efficient use of resources.
- CN has well established financial and managerial systems and procedures reducing the risk for corruption and financial mismanagement.
- CN has reliable and professional partners and can document its ability to produce short-term results. To a lesser extent, it appears to have achieved some of its overall strategic objectives (e.g. advocacy, capacity building).
- CN's relates effectively to Norwegian and international partners, but there is weak coordination within the Caritas international network and insufficient attention to issues of aid effectiveness, e.g. alignment of planning and reporting systems, etc.

The more specific findings are:

1. The Caritas network represents one of CN's strengths and comparative advantages. CN can build on an existing structure that reaches local communities and individuals in most parts of the world.

2. It is clearer what CN is than what it wants to do. The strategic direction and thematic areas are all relevant, but comprehensive and covering a broad range of activities.
3. CN is a small organisation with few staff where most decisions are taken based on internal discussion and consensus. There is a clear division of responsibilities if there are disagreements and when decisions have to be taken.
4. Staff is competent and committed, but it could possibly have been strategically wiser to focus scarce human and financial resources on fewer thematic areas.
5. CN has adequate systems for financial management and control. CN practices zero-tolerance of all forms of corruption including misappropriation of funds, use of bribes, favourism or use of power and position for personal benefits.
6. CN is well known at the Ministry of Foreign Affairs as a credible partner in humanitarian assistance and at Norad/Norwegian Embassies. CN is also known by relevant partners in Norway as a member of several fora and networks in Norway.
7. The strategy for gender equality indicates that CN sees this as a cross-cutting issue that should permeate all CN's programmes and partnerships.
8. CN has been a good partner in Zambia – predictable, respecting the integrity of the Zambian partners and not imposing their own agenda, flexible and supportive.
9. The programme is referred to as the "Caritas Norway Programme". The system of contracting with four equal partners may undermine the role of CZ as the national coordinating body. There is also a lack of alignment between CN and CZ in the area of planning and reporting systems.
10. CZ expressed a preference for more strategic support in which CN provides core funding to their national strategic plan.
11. CZ appears to be a solid and credible national organisation with the capacity and capability to manage funds on behalf of CN. Providing

organisational support does not necessarily mean reducing the role of CN to a financier.

12. The international Caritas organisations operate independently and with separate bilateral agreements with CZ. Caritas Internationalis plays a weak role in coordination at international and regional level in the area of long term development.
13. In reporting to Norad, there is little information about the scale and impact of interventions - how many people are involved and have benefited – directly and indirectly. The report would have been strengthened with a better combination of quantitative and qualitative data.
14. CZ provides comprehensive biannual reports to CN with several hundred indicators. It is questionable if such a level of detailed reporting is required and useful for CN. A few core indicators for the strategic objectives and within the thematic areas could sufficiently capture quantitative and qualitative aspects of the programme.
15. There are two types of results: strategic objectives focusing on processes of empowerment and operational objectives linked to HIV/AIDS, environment, gender. It is not always clear what the results are and the balance between strategic and operational objectives.
16. With some exceptions, it is a norm to collect gender disaggregated data.

Recommendations

To Caritas Norway

1. Assess the need to sharpen its strategic focus and direction in order to achieve more and better results with existing human and financial resources.
2. Specify its added value as a partner and develop a more systematic plan for working with and building the capacity of partners.
3. Increase its public visibility in a few selected areas.
4. Change the mode of support to long term partners from earmarked programmes to core funding. Focus the partnership at national level focusing more on strategic support and advice.
5. Strengthen the coordination and communication with other international Caritas partners.
6. Define the core performance indicators more clearly and identify which ones will be used for reporting. Simplify the reporting system and, make it more analytical. Reduce the number of indicators. Focus more on end results; how target groups are affected; and how the local and national context is influenced.
7. Collect gender disaggregated data for top and middle leadership positions in all the partner organisations CN works with and on all capacity building activities in all sub-programmes.

To Norad

1. Continue its cooperation with CN and prepare for a new frame agreement from 2012.
2. Agree with CN on the level and type of reporting required from partners to CN and from CN to Norad.
3. Agree on the mode of support and the conditions for moving from programme to core support of the partner strategic plans.
4. Request CN to prepare a response to this evaluation and a progress report next year on the implementation of the recommendations.

CHAPTER 1: INTRODUCTION

1.1. Background and Purpose

Organisational reviews are part of Norad's quality assurance of Norwegian NGOs. The findings and conclusions contribute to Norad's decision on future cooperation with the organisation. There was a major review of Caritas Norway's (CN) programmes in Uganda and Honduras in 2005, but this is the first organisational review of CN. It was planned for 2009, but was postponed to September 2010.

CN has received support from Norad since 1994 through multi-year frame agreements. The present agreement was entered into in 2008 and expires in 2012.

1.2. Purpose and Scope of Work

According to Terms of Reference (Annex 1), the purpose of the review is to assess the extent to which CN is capable of achieving results in accordance with agreed goals, in line with the guidelines for the grant scheme, and in conformity with general Norwegian policy and guiding principles for development cooperation.

The review assesses CN's professional and technical, organisational, financial, managerial and administrative qualifications for achieving planned results in collaboration with its partners. There is a specific focus on CN's relationship with its partners. The review presents recommendations for follow-up actions by CN and Norad.

This is not an impact assessment of CN, but a review of the extent to which CN has the right systems and procedures for creating results. The review does not cover humanitarian assistance (funded by MFA) nor CN's information and advocacy work in Norway and internationally.

1.3. Model and Methods

The following table provides a framework for the review. It suggests that an effective organisation needs four key abilities - two internal and two external. The abilities determine to a large extent organisational performance. It is the successful combination of all four abilities which provides the basis for an efficient and effective organisation.¹ Checklists of questions were developed based on this model and presented in the Inception report.

The review has used three different methods to collect data and information: Review of existing documents²; interviews with CN staff, external partners, and stakeholders; and a visit to and observations in Zambia – one of CN's main partner countries³. Two team members (Kruse and Sletten) attended a Steering Committee Meeting in Mansa, Zambia including visits to selected projects. The third member (Lauglo) carried out an in-depth review of two of CN's thematic priorities: gender equality and HIV/AIDS. These findings are integrated into the report.

¹ The model is further described in Annex 4.

² See Annex 2: References

³ See Annex 3: People Met

Internal dimensions	External dimensions
<ul style="list-style-type: none"> AN ABILITY TO BE <p>Maintain an identity reflecting important purposes, values and strategies, and leadership to direct and manage the organisation.</p>	<ul style="list-style-type: none"> AN ABILITY TO RELATE <p>Respond and adapt to new demands and changing needs in society, and retain standing among its partners.</p>
<ul style="list-style-type: none"> AN ABILITY TO ORGANISE <p>Establish effective managerial systems and procedures, and ensure that human and financial resources are available.</p>	<ul style="list-style-type: none"> AN ABILITY TO DO <p>Provide relevant services for its partners and beneficiaries.</p>

There are certain threats to the validity and reliability of findings in a review like this. The scope of the review is comprehensive, while it was not feasible for the team to adequately answer all questions – given limited time and resources (22 days). It should also be emphasized that we have only visited one country and analysed plans and reports from this country. As such, we do not claim that all our observations and conclusions are valid in other partner countries.

CHAPTER 2: ANALYSIS AND FINDINGS

2.1. Ability to Be

- To what extent does Caritas have a clear identity reflecting important purposes, values and strategies?
- Does Caritas have the leadership to articulate and provide direction for the organization?

Standing and Visibility

The Catholic Church is a small church in Norway. Compared to other NGOs receiving funds from Norad, CN is a medium sized organisation. CN is well known by the Ministry of Foreign Affairs as a credible partner in humanitarian assistance and by Norad/Norwegian Embassies in the respective countries.⁴

CN is also known by relevant partners in Norway as a member of several fora and networks such as Felleskirkelig Fredsplattform, Aidsnett, Publish What You Pay Norway, Bistandstorget, Forum for Utvikling og Miljø. CN is also part Caritas Internationalis (CI). The General Secretary is Vice President in Caritas Europe and CN takes active part in discussions and policy development within CI.

⁴ However, it seems that CN has problems competing for funds from MFA. For example, a recent application for support to Caritas in Haiti was turned down – a country where the Catholic Church is dominant and Caritas has a strong presence.

The international Caritas partnership is an alliance among 165 independent national member organisations. The Catholic partnership is technically a confederation – an association of sovereign members that have delegated certain functions to Caritas Internationalis (CI). Such characteristics are important to keep in mind in the analysis of CN's international work.⁵

Identity and Added Value

CN has a strong identity. Caritas' values and principles are founded on the international Catholic partnership, which is about how different actors can work together to put the social teachings of the Church into practice in regards to alleviating distress and creating justice.

The values and principles are spelled out in the Statutes and more clearly in the Caritas Partnership document, Action Plan for 2008-2012 and in the Application to Norad for a frame agreement for the same period.

The Caritas partnership is seen as *“an alliance between members of the Caritas network and like-minded organisations that express solidarity with people in the South and the North. We recognise all women and men as part of a global society built on mutual dependency and demonstrate a profound commitment to social justice and precedence for the poor. A partnership is more than a work form for Caritas Norway. It is about identity, understanding of roles and relations and also solidarity in practice”* (Partnership document).

Hence, CN is not an operational organisation, but works with and through national and local partners. The national Caritas organisations are independent entities linked to national and local archdioceses. There are more than 3000 such Caritas structures in the world covering more than 200 000 communities – making Caritas Internationalis one of the largest humanitarian networks in the world.

CN claims in the application to Norad to have three types of added value:

- Access to national and international networks.
- Caritas partnerships.
- CN's knowledge base and ability to define the agenda within CI in e.g. HIV/AIDS, guidelines for emergency appeals, gender equality

The Caritas network represents one of CN's strengths and comparative advantages. CN can link up with and utilise an existing structure that reaches local communities in most parts of the world. There is no need for them to establish country offices, hire staff and establish an infrastructure. As such, CN is able to deliver and channel funds in a cost efficient manner. Whether the funds are also used effectively is another question – depending on the quality of the national and local partners. This will be discussed later.

The Caritas partnership is seen as long-term “accompaniment” – close cooperation between equal and like-minded partners characterised by friendship and trust. In Zambia, we observed CN providing advice, financial and moral support to a partner. CN was seen as an exemplary international partner – active without being imposing or dominating, predictable,

⁵ See Annex 5 for an introduction to Caritas and Annex 2 for a list of strategy documents.

and flexible. CN could possibly have prepared a more systematic approach and plan for capacity building of partners, but it is clearly perceived as a “good” partner.

In brief, CN is a value and partnership - based organisation within the international Catholic church network – a comparative advantage for the organisation which CN is also able to use effectively.

Strategic Direction

- To what extent has CN been able to prepare a clear and robust strategy based on the stated values and understanding of partnerships?

In the current programme period, CN focuses on five thematic areas: democracy and human rights, gender equality, environment and sustainable development, peace and reconciliation and HIV/AIDS. CN has also prepared eleven thematic strategy papers: for Caritative Work, Democracy and Human Rights, Environment and Sustainable Development, Gender Equality, HIV/AIDS, Humanitarian Assistance, Information, Linking Humanitarian Assistance to Long-Term Development, Long Term Development Cooperation, Peace and Reconciliation and Promotion of Democracy and Human Rights. In addition, there are guidelines for Conflict Sensitivity, Evaluations, and Sustainability and Phasing Out.

CN currently has three long-term partner countries: Zambia, Uganda and Honduras and aims to include a fourth (Congo) in 2011. In addition, CN works with peace and reconciliation work in the Philippines, Sri Lanka and Colombia and provides some support to earlier partners in Vietnam and the Philippines using CN's own resources.

The thematic papers are well written and provide interesting insights and perspectives, but they are relatively generic – more like policy or reference documents than strategies with operational and measurable targets. They are quite long (ten to twenty pages each) and may not communicate clearly what CN wants to do. The next chapter will look more in - depth at two of the strategy papers: HIV/AIDS and gender.

As such, it is much clearer what CN is than what it wants to do and does. It is difficult to see a thematic or geographic focus and direction – or in other words an understanding of the need to prioritise the use of scarce resources. The five thematic areas are all relevant, but possibly too many for a small organisation. While other NGOs select specific target groups or becomes known in health, governance, gender, HIV/AIDS, CN wants to do everything. This could be justified as being “holistic” or responsive to local needs, but it affects CN's profile and possibly also its credibility. As will be discussed later (human and financial resources), it is also difficult to be and do “everything” with limited human and financial resources.

The overall objective for the programme period is: *“Caritas Norway will contribute to changing unjust structures by supporting rights-based work in long-term partnerships”*. This will be achieved through fifteen sub objectives presented in Annex 5.

As will be discussed in the results chapter, CN operates with two main categories of objectives: Overall strategic objectives focusing on individual and institutional empowerment – creating awareness and capacity among people to understand their own situation to fight injustice and to build sustainable structures. The programme educates people about their rights based on the Freire-philosophy in which development is perceived as an individual and collective liberation process starting with awareness and then moving on to conscious

collective action. CN's ambition is to change people and societies. On the other hand, there are more operational objectives linked to HIV/AIDS, environment, gender in which lower level tangible outcomes are expected. The balance between the two is not always clear.

Leadership and Governance

The leadership of CN has been stable. CN is a small organisation with few staff where most decisions are taken based on internal discussion and consensus. However, there is a clear division of responsibilities if there are disagreements and when decisions have to be taken. The General Secretary presents and represents well the values and interests of Caritas. There is an adequate division of labour between the Board and the Secretariat. The Secretariat has a considerable level of autonomy, but the Board takes responsibility for strategic decisions and approves strategies, policies and budgets. The initiatives for strategic changes, as well as for management of the programmes, rest within the Secretariat.

The governance function has proved to be effective throughout the history of the organisation and appropriate given its size. On the other hand, CN could consider establishing an advisory body of interested professionals within one or more of the thematic areas to strengthen its internal technical capacity.

Gender and HIV/AIDS Case Study

For 2008 -2012, CN has identified five thematic areas. We have looked at two of them, HIV/AIDS and gender, to see what they tell about how CN, as an organisation, works. The starting point is the 'Action Plan 2008 – 2012.' The 'Action Plan' does not include the usual features that one normally finds in such plans e.g. clearly defined goals, strategic goals, objectives, activities, timeframe, accountability and budget. Rather, the 'Action Plan' establishes CN identity in terms of purpose and values, areas of focus and ways of working. It is an indication of the direction of the organisation during the period 2008 – 2012. The 'Action Plan' is supplemented by a number of strategy papers.

The strategy papers provide background information about each area and selected issues related to it. They do not clearly state a central strategic goal. Instead issues identified are related to CN's values and principles: a commitment to human dignity, social justice, concern for poor people, and achieving 'a world where peace, truth, freedom, and solidarity prevail.'

The HIV/AIDS and gender strategy papers identify 'objectives' for the plan period. Because the objectives are worded in a general manner and do not include specifics with regard to expected outcomes, the so-called 'objectives' appear to be more like strategies for work in HIV/AIDS and gender equality. Each 'objective' in turn lists a number of activities for its achievement, but the activities are non-specific in that they do not identify who the target group is, the timeframe or the programme to which they apply.

While the HIV/AIDS and gender strategy papers cover important issues, in both cases, the objectives and activities are somewhat fragmented and do not appear to be part of a conceptually comprehensive approach. For example, regarding HIV/AIDS, prevention is a prioritised area. Initially, this sounds as if the focus is on individual behaviour change (information and ABC prevention), but further reading indicates a recognition of underlying drivers of the epidemic because the significance of gender is discussed. However, the

strategy document does not deal fully with gender relations in terms of power imbalances, but seems to focus most attention on women's control over their own bodies and sexuality. Similarly, fighting stigma & discrimination is commented upon, but that seems to be from the point of view of ensuring human dignity and does not identify this as another of the underlying factors preventing people from coming for voluntary counseling and testing which is essential for reducing the spread of the virus. Given CN's holistic approach to its work, it is surprising that the HIV/AIDS analysis leaves out other underlying drivers of the spread of the virus such as poverty, lack of access to treatment, and marginalisation.

One could view the 'objectives' of both the HIV/AIDS and gender strategy papers as seeking to mainstream these thematic areas in the country programmes and in CN work in the CI network. The gender strategy's objectives include: 'Ensure women's participation and influence in all activity,' 'Promote women's influence on social development,' and 'Improve the position of women and laity in the Catholic Church nationally and internationally.' Together with 'Promote understanding for gender equality in our partnerships,' the gender strategy sounds like this is a cross-cutting theme. It is therefore surprising not to find gender mentioned in three of the other four thematic areas: peace & reconciliation, democracy & human rights, and environmental & sustainable development.

2.2. Ability to Organise

- To what extent has Caritas established necessary systems and procedures?
- Are sufficient human and financial resources available to translate intentions and objectives into action as efficiently and effectively as possible?

The following will only be able to address such questions briefly since other parts of the mandate are given higher priority.

Organisational Structure and Human Resources

CN has a small Secretariat in Oslo with eight staff – 1 General Secretary, 2 Programme Coordinators, 1 Emergency Coordinator, 1 Office Administrator, 1 Information Officer, 1 National Programme Officer and a Secretary. All the staff have relevant expertise and experience. CN is a small organisation with a low degree of formal division of responsibilities which seems to be an efficient and effective way of organising the work.

CN is a trusted partner in Norwegian development cooperation. The organisation has managed funds from Norad since 1967. The first cooperation agreement was signed in 1992. CN has also channeled significant funds from the Ministry of Foreign Affairs to a broad range of humanitarian, rehabilitation, peace and reconciliation projects.

CN claims to have special competence in its five thematic areas: democracy and human rights, HIV&AIDS, gender equality, environment and sustainable development, and peace and reconciliation. Each of the Programme Coordinators is meant to be updated in their respective thematic area. The membership in Caritas Internationalis also provides CN access to a wider international network of expertise.

The HIV/AIDS focal point estimated he spent approximate 0.5 – 1.0 day/week on HIV/AIDS in addition to attending relevant meetings. This is similar to what was reported in an earlier review of Norwegian humanitarian organisations with regard to the time spent on gender

issues by CN's gender focal point. Being the programme officer responsible for humanitarian work helps to insert gender sensitivity in CN's emergency relief work – an area that often overlooks the needs of women and girls given the perceived urgency of intervention. But, this means that gender is not adequately resourced in the long-term development work if the overall thrust of the 'Action Plan' is to mainstream gender.

Being responsible for a thematic area such as gender and AIDS does not mean that the designated focal point is accountable for the achievement of the 'objectives' in the strategy papers. Both staff members for gender and HIV/AIDS described their role as keeping an eye on how the thematic area is covered in programmes. They both report it was important to stay abreast of relevant developments in their respective areas and participate in other fora. The gender focal point felt it was the responsibility of the CN programme coordinators to monitor partners.

CN also claims to have geographic experience including knowledge of social, political, cultural and economic conditions for more than ten countries in Africa, the same in Latin America, five in Asia and three in Europe – nearly thirty countries all over the world (Norad Application, page 5). However, there are three main partner countries: Honduras, Zambia and Uganda.

In its application to Norad, CN commits itself to a broad range of professional and administrative follow - up such as: improve the competence internally and among partners on results based management and risk analysis; update guidelines for conflict sensitivity and evaluation; improve organisational learning; establish a database for evaluations; revise guidelines for phasing out and sustainability; systematize training tools.

In a sum, such ambitious goals would be problematic even for much larger organisations than CN. The staff is competent and committed, but it could possibly have been strategically wiser to focus scarce human resources on fewer areas.

Financial Resources

CN has basically four sources of income: Norad, MFA, private individuals and foundations. Norad is the major and most stable donor. Funds from MFA for humanitarian assistance has been more variable and on a downward trend. Private donations come from three annual campaigns, collections in churches and donations from individuals. These have increased since 2006. Total income decreased by 30% between 2005 and 2009 – mainly due to fluctuations in support from MFA. In other words, CN has few sources of income and depends to a large extent on Norad. There is not much flexibility and scope for expansion. New programmes to a large extent will have to be financed within the existing budget.

Table: Sources of Income (in Mill NOK)

	2005	2006	2007	2008	2009	2010 (expected)
Norad	17,5 mill	18,4 mill	19,1 mill	18,7 mill	18,8 mill	19,3 mill
MFA	28 mill	17,2 mill	25 mill	19,1 mill	13,6 mill	18,9 mill
Other external donors	1,3 mill	1 mill	0,9 mill	1,3 mill	1,2 mill	1,2 mill
Private donors	8,3 mill	3,7 mill	4,1 mill	4,8 mill	4,7 mill	5,2 mill
Others	0,1 mill	0,1 mill	0,1 mill	0,1 mill	0,1 mill	8 mill*
Total	55,2 mill	40,5 mill	49,2 mill	44 mill	38,3 mill	52,6 mill

* Including surplus from the sale of property.

Planning

There are several levels of planning. The first is the selection of countries and partners. The partnership with Zambia started with emergency support and moved into long-term cooperation. The same is true for Honduras. In the case of Uganda, CN had a long standing relationship with a nurse training school which expanded into a national programme. It was reported that when selecting a national partner, the following factors are considered:

- A national presence which can facilitate CN's work with other partners at the diocesan level.
- Agreement with CN's priorities.
- A national partner who wants to work with CN.
- A country where there is the possibility for further south-to-south collaboration.

When seeking partners at the diocesan level, CN looks for partners that are in remote and underserved areas – partners which do not have many partners from before. It was reported that part of the work with such partners is to build their capacity so they can find their own future financing and strategic alliances with local, regional, national and international organisations.

CN is currently looking into the possibility of adding another African national partner. All of the above factors will be taken into consideration when deciding new national and local partners. As a partner within the Caritas Internationalis confederation, CN has the freedom to decide where they want to work.

When it comes to programme preparation, CN takes the concept of partnership seriously. The planning of the new programme in Zambia was done in a highly participatory manner involving the Caritas Zambia staff and key stakeholders including the Zambia Episcopal Conference, dioceses and NGO network members. We were not able to find any formal assessments of needs, risks, conflicts, situation of women, etc., but a baseline study was carried out when the programme was agreed.

The structure of the planning documents from Zambia is adequate – including a comprehensive log frame. But there are weaknesses in the substance which will be discussed in the chapter on results – in particular in the formulation of objectives and the lack of measurable targets.

Financial Management and Anti Corruption

CN has adequate systems for financial management and control. CN practices zero-tolerance of all forms of corruption including misappropriation of funds, use of bribes, favourism, or use of power and position for personal benefits. In addition, CN aims at an optimal level of transparency and accountability in financial management. All contracts require that partners provide biannual reports and carry out an annual external audit. The contracts have a specific paragraph stating the responsibility for each partner to fight all forms of corruption. In their dialogue with partners, CN staff also emphasizes the need for solid internal control mechanisms. The Catholic Church is not immune to corruption and the Zambian partners explained that they had experienced cases of petty corruption. Such cases were all detected by their own internal control system and resolutely dealt with. CN has also well established internal systems and procedures for programme and project management.

Evaluations

All long - term development programmes are supposed to be evaluated regularly (Application to Norad for 2008-2012, p. 8). The evaluations primarily serve the participants and are mostly semi-external – involving both internal and external participants. Evaluations are also used to increase ownership and participation, strengthen knowledge and understanding, enhance capacity, and support learning and development.

In Zambia, there was an external review after the first phase of the programme. However, the findings and recommendations were not referred to in the new programme proposal. There have been no major changes since the programme started in 2005.

There will be a review of the Zambia programme in 2011. Strong external participation would be necessary since the programme will be coming to an end and difficult decisions will have to be made regarding continuing, changing or discontinuing Norwegian support.

2.3. Ability to Relate

- To what extent is CN visible and able to retain standing among its stakeholders?
- Does the organisation build on and utilise national and international partnerships effectively?

Standing and Visibility

Given the focus of this report, the rest of this chapter will assess the partnership between CN and Caritas Zambia. in greater depth

Caritas Zambia and Church/Government Relationships

Caritas Zambia (CZ) is a development, advocacy and relief agency under the Zambia Episcopal Conference (ZEC) with the following objectives:

- Engage in programmes of conscientisation in order to awaken God's people to a deeper understanding of their call as Christians with regard to social justice.
- Form a critical conscience that empowers people to challenge and to act to overcome unjust situations in national governance.

- Promote development as a process of liberation from constraints of ignorance, poverty, disease, oppression, exploitation and injustices so that people become masters of their own lives.

Since Independence, the churches in Zambia have played key roles in shaping and influencing the social and political direction of the country. The Catholic Church is regarded as the most outspoken of the Christian Churches and often speaks on behalf of civil society in Zambia.⁶ The Evangelical churches are often much less vocal and critical of the Government.

As part of the lead up to the Zambian elections, officials in the Catholic Church campaigned with other churches and NGOs against a proposed amendment to the country's constitution, which would have enabled Fredrick Chiluba to be a candidate for a third term as President.

The Catholic Church, alone and in cooperation with the other church bodies, issued several declarations on political issues. Occasionally, the Catholic Church circulates Pastoral letters on issues like the new Constitution, governance, the Presidential By Election, the National Constitutional Conference⁷

The Catholic Church has also been very active and influential on issues around voter education. This has put the church on a collision course with the government. The authorities accuse the church of being an extension of the political opposition. Recently, the Vice President, George Kunda accused the Catholic Church of conniving with some opposition political parties with the sole purpose of attacking the Government.

Churches and faith - based organisations played a central role during the recent national consultations on the new constitution. Through church driven efforts, public participation in the constitution making process was high, both in terms of public debate and actual contributions to the draft constitution. Church bodies also made submissions to the process.

The churches are also very influential in the provision of social services in Zambia. Some of the best run schools, training institutions and health service providers in the country are run by churches, mostly the Roman Catholic Church. The church has shaped the direction of the media, particularly community media. While in the past, the church radio stations were preaching, they have now emerged as powerful tools of information for Zambia's marginalised communities.

The Cooperation between CN and CZ

The cooperation between CN and CZ is based on a "Consolidated Programme Document for Governance, Gender, HIV/AIDS and Environment". This programme consists of four sub-programmes – with three local dioceses (Mpika, Mansa and Kasama) and with the National

⁶ The churches are organised in three "mother bodies": The Christian Council of Zambia (CCZ - protestant churches), the Evangelical Fellowship of Zambia (EFZ) and the Zambia Episcopal Conference (ZEC - Catholics).

⁷ All major Pastoral Letters and Statement from 1953 to 2001 can be found in "The Social Teaching of the Catholics Bishops" (2003).

Office (Caritas Zambia). The contract is signed by all the involved partners. As such, it is cooperation between CN, three local dioceses and the national Caritas organisation. The role of the dioceses is to plan, implement and report on local level activities. The role of CZ is to coordinate the planning and reporting processes, channel and manage funds from CN, provide technical support to the three dioceses and implement certain activities at national level.

This arrangement allows CN to work closely with CZ and benefit from their capacity in coordination, technical support and financial management. It allows CN also to interact directly and regularly with the three dioceses. CN visits the programme two to three times a year, takes part in biannual Steering Committee Meetings that rotates among the dioceses; and is involved in supervision and monitoring. Such a “hands on” approach has allowed CN to establish long term and solid partnerships with all the implementing partners at national and local level. CN has been closely involved in improving and streamlining proposals and reporting systems in order to ensure that the documents are of high quality. Such an approach has also made it possible for CN to document an “added value” and helped ensure that the programme is properly implemented and that systems are in place and procedures followed.

There is no doubt that CN has been a “good partner” – predictable, respecting the integrity of the Zambian partners, not imposing their own agenda, being flexible, supportive and perceived as “better” than other international donors. CN could possibly have developed a more systematic approach and plan for its capacity building work in Zambia, which could have been used as a basis for assessing the efforts and performance of CN.⁸

However, there are certain dilemmas inherent in such a partnership that deserves attention and discussion. The programme is often referred to by partners in Zambia as the “Caritas Norway Programme” – reflecting that CN supports a specific programme within CZ and that CN is directly involved in funding and monitoring. CN’s contracts with four equal partners may undermine the role and power of CZ as the national coordinating body. It would have been more appropriate for CN to have one agreement with CZ and for CZ to form agreements with the three dioceses. This would have contributed to empowering the national structure and followed a trend in which international partners primarily work through and support national structures, and avoid being directly involved at lower levels.⁹

There are clearly short - term benefits with the existing arrangement. The direct involvement with staff and activities at local level ensure quality. On the other hand, this is a sort of micro-involvement. It could be more appropriate if CN moved up one level – from providing operational support to local partners to offering more strategic advice to CZ at national level. Such an approach would also be more in line with principles of national ownership and building a stronger national church structure.

⁸ The Programme Coordinator spends for instance a considerable amount of the time in Zambia in participating in the Steering Group meetings, while other alternatives could have been possible.

⁹ We are aware that each diocese is autonomous within the Caritas partnership, but mechanisms for coordination could be established and be respected also within such a system.

Programme versus Organizational Support

CN supports a programme in Zambia with a number of strategic and operational objectives for various thematic areas with clearly defined activities. CN does not provide basket funding¹⁰ or general support to CZ's strategic plan, but earmarked funding to a particular programme.

While CZ is able to manage such type of support, they expressed a preference for another mode of support in which CN provides core funding to their national strategic plan. It seems that such an option has never been seriously considered.

When the funding period expires in 2012, the time may have arrived to discuss alternative arrangements. CZ appears like a credible organisation with the capacity and capability to manage funds well. CN could be more actively involved in preparing the strategic plan for CZ and/or ensure that proper M&E systems are in place to measure and document results. Providing such support does not reduce CN to a financier. It will increase the need for strategic planning and reporting – involving CN in supervision, monitoring of progress and evaluation.

Coordination, Harmonization and Alignment

In practical terms, all the international Caritas organisations (Netherlands, UK, US) operate independently with separate bilateral agreements with CZ. CN can on its own decide to select CZ as a partner. CI is a network of independent organisations with no coordination authority in the area of long-term development¹¹. The international discourse about aid effectiveness and improved harmonization and alignment has not been sufficiently addressed for long term development cooperation within Caritas internationally or in Norway. CN has a direct bilateral agreement with CZ. Other international Caritas organisations have similar agreements. A few donors provide general support to CZ, but most of the partners offer earmarked support. CZ has to prepare a separate plan for CN along with separate narrative and financial reports – as they have must do for most other international donors. The planning and reporting burden is considerable. It seems that CZ is able to cope, but such a practice may not be desirable and should be discussed further.

There is an annual meeting between CZ and their major donors, but mainly for sharing of information and not for coordination and shared funding – since many of the donors are not able to provide such type of support. A possible scenario is that CZ presents their strategic plan at a meeting where the donors then pledge general support. The same meeting could also be used for reporting on progress and results. The cooperation between CZ and their partners would then build on three pillars – one plan, one M&E system and one report – possibly complemented with individual reports to some donors with special interests in specific thematic areas. It seems it is the international partners that currently represent the barrier for developing such a system.

¹⁰ CN's support to the strategic plan is not an example of basket funding since it is earmarked certain activities.

¹¹ CI plays a coordinating role in emergency relief, including an emergency coordination team in Rome, guidelines, toolkits, meetings, etc.

In many international NGOs, there has been a movement towards more coordination and harmonization of support to national partners. Save the Children used to have separate country offices, but the Save the Children Alliance has now agreed to a unified country presence. The same changes have not been discussed in Caritas.

The lack of effective coordination between Caritas donors for long term development does not ensure fair allocation of funds. Weak national partners may lose out in the competition for resources. The system is not cost efficient with multiple and often duplicate planning and reporting systems. Most importantly – it does not build and empower independent national structures.

There is also a lack of alignment between CN and CZ in the area of planning and reporting procedures and systems. The programme document is prepared and tailored to the needs of CN.¹² The reporting template follows the requirements from Norad. There are several advantages for CN – ensuring sufficient quality and consistency and making their own reporting to Norad easier, but it constrains the development of a single CZ planning and reporting system. An alternative approach would be for CN to define minimum requirements for planning and reporting which would use CZ's own general systems.

2.4. Ability to Do

- CN's ability to report on results and achievements.
- The quality of plans, formulation of objectives, systems for measuring results and methods of reporting.

The overall impression from Zambia in terms of relevance and results is positive. CZ has a major impact at the national level through its active and professional advocacy work. What happens at the community level seems also to be relevant and important for local people. This chapter does not try to summarize and assess results, but looks more at the reporting processes and systems.

Understanding of Results

One of the problems is the understanding of results – or in other words, what are the expected results and how to measure them? If we look at the proposal, the vision is “*Strengthened communities where all members are able to influence and manage their own development*”. The developmental goals of the 2008-2012 programme are:

- Developed local competent structures that are able to influence democratic systems and styles of governance.
- Empowered communities able to initiate and manage processes for improving their lives.

¹² CN states that such a system was introduced to contribute to establish a minimum standard for planning and reporting.

The strategic objectives are:

- Strengthen existing community structures that will influence democratic governance and equal participation of men and women in development.
- Enhance community awareness and capacity to reduce the spread of HIV through prevention and the impact of AIDS through care and support in collaboration with public institutions and other stakeholders.
- Increase women's participation and influence in decision-making and in setting the agenda for democratic governance and development.
- Create public awareness on the sustainable and just use of natural resources and the environment.
- Enhance capacities of partners in order to improve on program performance and competence in working with other partners.

As discussed earlier, the objectives are of different categories. The strategic objective focus on processes of empowerment, while the operational objectives for HIV/AIDS, environment, gender have more tangible outcomes. The reporting of results could have and probably should have focused more on aspects of empowerment and not the outputs and outcomes in HIV/AIDS, environment, gender. It was also mentioned by CN staff that the latter are less important - more means to an end – supporting the realization of individual and collective empowerment. On the other hand, empowerment is much more difficult to capture and present in a report to Norad.

There are, in principle, two ways to define objectives and results. One approach is to describe what you are going to do: for example, to strengthen an organisation, to contribute to respect for human rights, to build networks, to develop infrastructure. The other approach is to describe what you want to achieve, that is, to express what the situation should be like when the action is over. Both approaches have their strengths and weaknesses. It is often easier to define processes than to define end states, but expressing objectives as end states would be stronger and more useful for CN.

CN needs to change its understanding of results. The dominant process orientation, which is often vague and abstract, needs to be discussed and changed in order to focus more on how the programme affects the target group and/or how framework conditions are influenced. Such results are much more important than means to an end.

The Reporting of Results

The most obvious place to look for a description of what CN has achieved is the Annual Report to Norad. Box 2 presents results for Zambia for 2009.

Results for Zambia
- The programme is rights based and educates people about their rights.
- The people are organised in groups and encouraged to influence and participate in existing structures.
- CZ has carried out studies of the Parliamentary Constituency offices.
- The services for people affected by AIDS have been improved, e.g. groups are established for home based care.
- The programme has encouraged people to go for HIV testing and trained ART observers.
- Support groups for orphans have been established.
- Livelihood activities have improved the economic status in families.
- Several awareness raising campaigns have been carried out.
- Several women have obtained functional literacy.
- There has been an increase in reported cases on gender violence.
- There is increased awareness about the importance of trees, the need for tree planting and handling of garbage.
- Various types of training have been provided. Improved internal organizational routines have been established.

When examining this report, one finds that:

- The report reflects unconvincingly what has happened and happens in Northern Zambia. The reality appears much richer.
- There is no information about scale and impact: How many people are involved and have benefited – directly and indirectly? Is it a handful of people, a few hundreds or several thousands? It would have been useful to know the coverage and to what extent CZ is a significant player in the three dioceses in Northern Zambia. The report would have been strengthened with some quantitative data.
- Assertions such as: “The situation has improved”, “awareness has increased” are made, but we are left to wonder about the scale and importance of change. How much improvement has occurred and can this be reported in qualitative and quantitative ways?
- There is a mix of process and end results objectives, e.g. “awareness campaigns have been carried out” versus “economic status of families has improved. It is sometimes unclear what the results are.
- There seems to be no or weak empirical evidence for the outcome statements, such as “an increase in reported cases on gender violence” or “improved economic status”.

What information is available about the programme from Caritas Zambia? Looking at the reports submitted by CZ, there is a huge amount of information, but not necessarily the right information:

- The reports are based on the consolidated programme proposal and also separate sub-programme proposals from each diocese and from CZ.
- The programme document for Mansa Diocese first presents the general background, then the strategic and operational objectives linked to approx. 170 indicators on which progress and results are supposed to be measured.
- The reports follow the same structure - after a general introduction, the results are described in two ways – in terms of outputs (e.g. “290 people attended the consultative meetings”) and what is called “activity adoption indicators” (e.g. “Participants became aware of the roles of their elected leaders”).
- Each sub - programme (diocese) prepares these reports biannually. In other words, there are eight reports submitted to CN every year. The first four reports for 2010 add up to approx. 210 pages. Hence, CN receives around 400 pages of text every year with information about the Norwegian funded programme.

We appreciate the considerable time and effort spent on preparing the plans and subsequent reports. They are comprehensive and accurate, but raise certain questions that need to be discussed:

- Is such a level of detailed reporting on every activity required and useful for CN for purposes of accountability and reporting?
- The number of indicators is overwhelming. Is it possible for CZ to collect relevant data and information and make effective use of all? A few core indicators for the strategic objectives and within the thematic areas could have been better capturing both quantitative and qualitative aspects of the programme.¹³
- What is the empirical evidence for the “activity adoption indicators”? They seem to be based primarily on impressions and subjective judgements by project staff and not any systematic collection of data. As a matter of fact, systematic collection of outcome data has not yet taken place, but is meant to happen in 2011 when the first baseline survey will be repeated. In other words, there are no data to support statements like “improved economic situation”, “increased number of abuse cases reported”.¹⁴
- Would it be possible to expand the overall analysis and assessment of programme implementation and results? There is a broad analysis of the general political, social

¹³ One possibility would be to collect and use some quantitative data in combination with a narrative description.

¹⁴ Such information is difficult to collect, but selected outcome measurements could have been done – instead of all the activity reporting.

and economic situation in Zambia, but much less analysis of the interventions – what has been achieved and why, what are the constraints and what can be improved?

- Is the local M&E capacity sufficient? One of the dioceses has an M&E officer, but otherwise there is not much capacity in the programme to collect data and analyse results. Proper outcome measurement requires both expertise and resources.
- What about the results of CN's work? The results focus on CZ's achievements, while some analysis could have been included on the role and importance of CN in the area of capacity building.

Box 2 reflects some of the findings from the review of the two thematic areas gender and HIV/AIDS.

Results in Gender and HIV/AIDS

Clear and measurable goals and objectives need to be stated in order to see the results achieved. The goal hierarchy in CN's 'Strategy for Gender Equality' does not flow in the conventional manner. If we look at the so-called 'objectives' in the Gender equality strategy, they can be interpreted as 'strategies'. They are not objectives in the sense that they have clearly stated achievements that can be measured. All the objectives are phrased somewhat vaguely where the key verbs are: 'promote', 'ensure', 'contribute', and 'improve.' 'Improve' requires baseline data on the current situation - data that require considerable research to acquire. 'Ensure' implies a management system functioning in an operational arena. 'Promote' and 'contribute' do not set any standards or benchmarks for when the degree of contribution is adequate.

The Annual 'Country Programme Report for Governance, Gender, Environment, HIV and AIDS in Zambia' covers the reporting period of 2009 which is the second year of the CN funded programme. We find the output indicators and the 'activity adoption indicators' which are another type of output indicator. It is too early to report on programme impact. Nevertheless, we find indicator achievements for the strategic and operational objectives. We question some of the operational objectives such as 'to reduce the prevalence of early marriages by 80% in our 24 centres by the year 2012.' Clearly, in order to measure this and other operational objectives that are worded in 'percent improvement,' good baseline data are required and it is not clear what those data consist of. Moreover, we note that in the notes on indicator achievement, individual people are identified and we suggest that personal privacy should be observed. Other operational objectives are framed in ways that are not conducive to measurement.

We can also look forward to see whether and how the gender and HIV/AIDS strategy papers have impacted on the planning of future work. When looking at 'Caritas Zambia Strategic Plan for the Period 2010 - 2013' we find that the notion of gender equality is very shallowly rooted in Zambia strategic plan. There is no reporting on the position of women under the section on 'social development.' Generally women are seen as beneficiaries rather than agents of their own development or as important participants within the organisation. Gender issues are not mentioned in the different capacity building efforts. There is little indication that gender disaggregated data will be collected with regard to activities outside the gender and HIV/AIDS sub-programme.

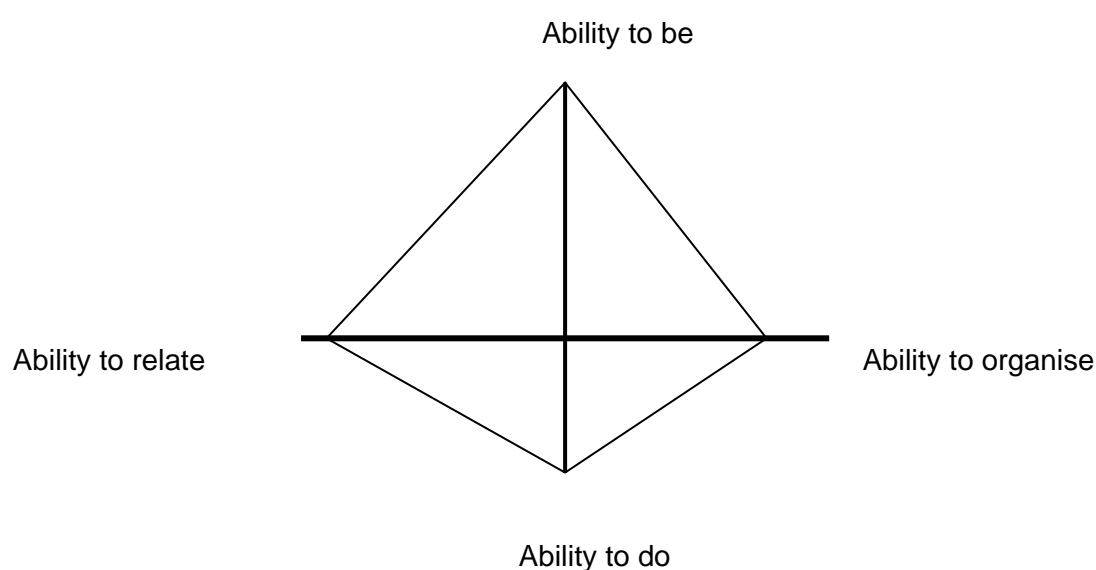
Another assessment of progress can be found in 'Temarapport.' This covers the 'objectives' in all the thematic areas and spans the work in long-term development and emergency relief. However, while the reporting gives an impressionistic snapshot, it cannot be said to document results.

CHAPTER 3: CONCLUSIONS AND RECOMMENDATIONS

3.1. Conclusions

The analytical model used in this review implies that CN needs four abilities to provide effective aid. It is the successful combination of all four which provides the basis for high performance. The figure below tries to sum up the analysis in Chapter 2. If all abilities had been equally strong, the figure would have been a perfect quadrate, with one corner at the end of each scale. The figure below indicates that:

- CN's strength lies in its strong and clear identity as a partner organisation within the Catholic network. The organisation is also perceived as a reliable and professional partner.
- CN has ambitious goals, competent and committed staff, but limited human and financial resources. There is no clear strategic focus and prioritization of scarce resources in order to make optimal impact in selected areas.
- CN's programme has been found to be relevant for partners and beneficiaries and in line with Norwegian Government principles. Implementation through existing structures secures also a cost efficient use of resources.
- CN has well established financial and managerial systems and procedures reducing the risk for corruption and financial mismanagement.
- CN has reliable and professional partners and can document the ability to produce results – though to a lesser extent for its overall strategic objectives (advocacy, capacity building, etc.) and results are not adequately measured.
- CN's relates effectively to Norwegian and international partners, but there is weak coordination within the Caritas international network and insufficient attention to issues of harmonisation and alignment.



Some of the more specific findings are:

Caritas in Norway

1. The Caritas network represents one of CN's strengths and comparative advantages. CN can build on a structure which already exists and reach out to local communities and individuals in most parts of the world.
2. It is clearer what CN is than what it wants to do. The strategic direction and thematic areas are all relevant, but comprehensive.
3. CN is a small organization with few staff where most decisions are taken based on internal discussion and consensus. There is a clear division of responsibilities if there are disagreements and when decisions have to be taken.
4. Staff is competent and committed, but it could possibly have been strategically wiser to focus scarce human and financial resources on fewer thematic areas.
5. CN has adequate systems for financial management and control. CN practices zero-tolerance of all forms of corruption including misappropriation of funds, use of bribes, favourism or use of power and position for personal benefits.
6. CN is well known at the Ministry of Foreign Affairs as a credible partner in humanitarian assistance and at Norad/Norwegian Embassies in the respective countries. CN is also known by relevant partners in Norway as a member of several fora and networks in Norway.
7. The strategy for gender equality indicates that CN sees this as a cross-cutting issue that should permeate all CN's programmes and partnerships.

Caritas in Zambia

8. CN has been a "good partner" in Zambia – predictable, respecting the integrity of the Zambian partners, not imposing their own agenda, flexible, and supportive.
9. The programme is referred to as the "Caritas Norway Programme". The system of contracting with four equal partners undermines the role of CZ as the national coordinating body. There is also a lack of alignment between CN and CZ in planning and reporting.
10. CZ expressed a preference for more strategic support in which CN provides core funding to their national strategic plan. It seems that such an option has never been seriously considered.
11. CZ appears like a solid and credible national organisation with the capacity and capability to manage funds. Providing organisational support does not necessarily mean reducing the role of CN to a financier.
12. All the international Caritas organizations operate independently and with separate bilateral agreements with CZ. Caritas Internationalis does not play any effective role in coordination at international and regional levels in the area of long-term development.

Caritas reporting

13. There are two types of results: strategic objectives focusing on processes of empowerment and operational objectives linked to HIV/AIDS, environment, gender. It is not always clear what the expected results are and the balance between strategic and operational objectives.
14. In reporting to Norad, there is little information about scale and impact of interventions - how many people are involved and have benefited – directly and indirectly. Reports would have been strengthened with a combination of quantitative and qualitative data. There is weak empirical evidence for some of the assertions like “increase in reported cases on gender violence” or “improved economic status”.
15. CZ provides comprehensive biannual reports to CN with several hundred indicators. It is questionable if such a level of detailed reporting is required and useful for CN. A few core indicators for the strategic objectives and within the thematic areas would be sufficient.
16. Gender disaggregated data is not systematically collected in the non-gender equality sub-programmes.

3.2. Recommendations

To Caritas Norway

1. Assess the need to sharpen its strategic focus and direction in order to achieve more and better results with existing human and financial resources.
2. Specify its added value as a partner and develop a more systematic plan for working with and building the capacity of partners.
3. Increase its public visibility in a few selected areas.
4. Change the mode of support to long term partners from earmarked programmes to core funding. Focus the partnership at national level focusing more on strategic support and advice.
5. Strengthen the coordination and communication with other international Caritas partners.
6. Define the core performance indicators more clearly. Make a selection of a small number of indicators which will be used for reporting. Simplify the reporting system; make it more analytical; and reduce the number of indicators. Focus more on end results including how target groups are affected and how contextual conditions are influenced.
7. Collect gender disaggregated data for top and middle leadership positions in all the partner organisations CN works with and on all capacity building activities in all sub-programmes.

To Norad

1. Continue its cooperation with CN and prepare for a new frame agreement from 2012.
2. Agree with CN on the level and type of reporting required from partners to CN and from CN to Norad.

3. Agree on the mode of support and the conditions for moving from programme to core support of the partner strategic plans.
4. Request CN to prepare a response to this evaluation and a progress report next year on the implementation of the recommendations.

Annex 1: Terms of Reference

TERMS OF REFERENCE FOR AN ORGANISATIONAL PERFORMANCE REVIEW OF CARITAS, Norway

1. Background

Organisational reviews are part of Norad's quality assurance of its cooperation with NGOs. The outcome of a review will form part of the basis for Norad's decision on future cooperation with the NGO.

There was a major review of Caritas Norway's (CN) programmes in Uganda and Honduras in 2005. This is the first organisational review of CN. It was planned for 2009 but had to be postponed.

CN has received support from Norad since 1994 through multi-year frame agreements. The present agreement was entered into in 2008 and expires in 2012.

2. Purpose of the review

The purpose of the review is to assess to what extent CN is capable of achieving results in accordance with agreed goals, in line with the guidelines for the grant scheme and in conformity with general Norwegian policy and guiding principles for development cooperation.

The review shall assess CN's professional and technical, organisational, financial, managerial and administrative qualifications for achieving planned results, in collaboration with its partners, in a cost-effective and efficient manner. Specific focus shall be on CA's relationship with its partners.

The review shall draw conclusions regarding CN's suitability and ability to deliver desired results, and shall present recommendations for follow-up actions by CA and Norad.

3. Scope of the review

The review shall describe and analyse CN's qualifications/ability to deliver in accordance with agreed goals, including – but not limited to – the following:

- CN's objectives, mandate, development assistance strategy and its response to the priorities of the Norwegian development cooperation policy.
- CN's thematic and geographic priority areas, cross-cutting issues, work methods and added value.
- CN's organisational structure
- CN's administrative/management capacity, including financial management.
- CN's professional and technical capacity and knowledge management
- CN's use of resources in relation to activities and results (cost effectiveness)
- CN's result management
- CN's coordination with other stakeholders
- CN's partnership works, hereunder strategy for choosing partners, competence and capacity development, roles of partners, level of transparency in partnerships, sustainability and exit strategies.
- CN's international affiliation and working relationship.

4. Implementation

The following methods and sources of information will be used in the review:

- Document studies with particular emphasis on CN's strategy, 5 year action plan, review reports (Uganda, Honduras), agreement with Norad, annual plans- and reports, applicable guidelines for grants to civil society and relevant government white papers.
- Interviews with CN management and staff and Norad-staff.
- One week field visit to Zambia to assess and have interviews with 2-3 local partners and Norwegian Embassy staff.

5. Composition of the review team

The team will be composed of one external consultant who shall be the team leader and one representative from Norad.

6. Timeline

The review shall be conducted within a total time frame of 1 month. 1 week for background study/interviews, 1 week field trip and 2 weeks for report writing/presentation. Anticipated start mid August.

7. Reporting

Norad will arrange an inception meeting with the review team to clarify any questions related to the assignment description.

After completion of document studies and interviews in Norway, the team will submit an inception report containing a brief overview of preliminary findings, along with a plan and focus points for the field visit.

A draft report shall be submitted to Norad and CN for comments within 14 days after the field visit has been completed.

The final report shall be submitted to Norad and CN within 14 days after receipt of Norad's and CN's comments to the draft.

The report shall be written in English and not exceed 20 pages, including a summary of max 3 pages. Submission shall be in electronic Word-format.

The report may be presented orally by the team/team leader to a stakeholders' audience in Norway if deemed necessary.

Annex 2: References

Caritas Norway

Temarapport 2008-2009

(a) Policy and strategy documents

Caritas Norway Action Plan 2008-2012

Guidelines for Conflict Sensitivity

Guidelines for Evaluations

Guidelines for Sustainability and Phasing Out

Stiftelsen Caritas Norge Statutter (revidert 2004)

Strategy for Caritative Work

Strategy for Democracy and Human Rights

Strategy for Environment and Sustainable Development

Strategy for Gender Equality

Strategy for HIV-AIDS

Strategy for Humanitarian Assistance

Strategy for Information

Strategy for Linking Humanitarian Assistance to Long-Term Development

Strategy for Long Term Development Cooperation

Strategy for Peace and Reconciliation

Strategy for the Promotion of Democracy and Human Rights

The Caritas Partnership – An identity document

Programme Documents and Reports

Programdokument . Femårig søknad for organisasjoner med samarbeidsavtale 2008-2012

Årsrapport til Norad for 2009

Vedlegg 3 til Statusrapport for 2009 om CN's innsats for styrking av sivilt samfunn i Sør

Caritas Zambia

Consolidated Programme Document for Governance, Gender, HIV/AIDS and Environment
2008-2012

Country Programme Report for Governance, Gender, Environment, HIV/AIDS in Zambia, 2009

Diocese of Mansa, Programme Document 2008-2012

Diocese of Mansa, Annual Report 2009

2010 Mid Year Report

A Perspective of the Catholic Bishops Conference on the National Constitutional Conference Draft Constitution of the Republic of Zambia

Caritas Kasama, January to June 2010

Caritas Zambia Literacy Syllabus

Caritas Zambia, Zambia Prisons Conditions Research Report 2007

Caritas Mpika, Mid Year Report 2010

Caritas Mansa, Mid Year Report 2010

The Social Teaching of the Catholic Bishops, Major Pastoral Letters and Statements 1953 – 2001, Nission Press 2003

Joint Statement on the National Constitutional Conference from CCZ, EFZ and ZEC (2010)

Joint Pastoral Statement from the Three Church Mother Bodies on the Forthcoming Presidential By Election (2008)

Where We Stand on the Constitution, Zambia Episcopal Conference 2007.

Annex 3: People Met

Caritas Norway

Kari-Mette Eidem, General Secretary

Dag Albert Bårnes, Programme Coordinator

Darya Rekdal, Emergency Relief Coordinator

Peter Bruce, Office Manager

Kirsten S, Natvig, Programme Coordinator

Norad/MFA

Terje Vigtel, Director, Civil Society Department, Norad

Lene Hasle, Policy Department, MFA

Caritas Zambia

Milimu Mwiba, Head – Justice and Peace

Eugene Kanilika, Programme Specialist Governance and Human Rights

Miriam Mwiinga, Programme Officer, Alternative Livelihoods

Mavis K. Bota, Programme Officer, Gender HIV&AIDS

Martin Chileshe Sampa, Head Development

Sam Mukafulafu, Director

Lucy Bwalya Munthali, Programme Officer, Economic Justice

Annette Malulu, Programme Specialist, Sustainable Livelihoods

Emmanuel George Ngulube, Institutional Development Programme Specialist

Christopher Kaleya – Programme Officer Governance Unit

Fr. Chabu Nicodemus, Coordinator, Caritas Mansa

Fr. Patrick Chibuye, Director Caritas Mpika

Wilbroad Kangala, Animator Caritas Mansa

Sr Marie Goretti Mayuka, Asst. Accountant Caritas Zambia

Maurice Mwate, M&E Officer, Caritas Kasama

Fidelis Mwanto, Caritas Mansa

Catherine Mwale, Caritas Mwansa

Nicholas Kaliminwa, Director Kasama

Annex 4: Assessment Model

The following model is an interpretation and specification of “organizational performance”. We suggest that CN needs four key abilities to provide effective aid. They determine to a large extent organizational performance. One of them in isolation is not sufficient. It is the successful combination of all four which provides the basis for high performance. The report will discuss to what extent CN has those abilities.

- **AN ABILITY TO BE**

Maintain an identity reflecting important purposes, values and strategies, and leadership to direct and manage the organisation.

CN needs to know what it wants to achieve – both in terms of a long-term vision and more short-term objectives and targets. These values are important for staff and partners and should be understood and shared. The organisation also needs effective leadership and governance systems to articulate and support values and direction.

- **AN ABILITY TO ORGANISE**

Establish effective managerial systems and procedures, and ensure that human and financial resources are available.

A clear identity is a necessary condition, but not sufficient for NGOs that want to make an impact on society. They also need capacity and capability to organise and establish effective systems and procedures for translating objectives into activities and results. CN should have adequate human and financial resources to implement its policies.

- **AN ABILITY TO RELATE**

Respond and adapt to new demands and changing needs in society, and retain standing (legitimacy) among its partners.

There are many action oriented NGOs with a high ability to deliver services for a period of time, but they then reach a point where energy tends to dissipate because a clear cause or ideology is missing, or because needs are changing. High performing organisations create often results through partnerships.

- **AN ABILITY TO DO**

Provide relevant services for its partners and beneficiaries.

The three former abilities are not sufficient. Good policies, effective organisational structures and partnerships represent useful preconditions – but no guarantee for effective aid. CN needs also the ability to deliver and provide services that are relevant and valued. Such ability is measured through an assessment of relevance, effectiveness (ability to achieve agreed goals and objectives) and sustainability.

INTERNAL DIMENSIONS	EXTERNAL DIMENSIONS
<ul style="list-style-type: none">• AN ABILITY TO BE <p>MAINTAIN AN IDENTITY REFLECTING IMPORTANT PURPOSES, VALUES AND STRATEGIES, AND LEADERSHIP TO DIRECT AND MANAGE THE ORGANISATION.</p>	<ul style="list-style-type: none">• AN ABILITY TO RELATE <p>RESPOND AND ADAPT TO NEW DEMANDS AND CHANGING NEEDS IN SOCIETY, AND RETAIN STANDING (LEGITIMACY) AMONG ITS PARTNERS.</p>
<ul style="list-style-type: none">• AN ABILITY TO ORGANISE <p>ESTABLISH EFFECTIVE MANAGERIAL SYSTEMS AND PROCEDURES, AND ENSURE THAT HUMAN AND FINANCIAL RESOURCES ARE AVAILABLE.</p>	<ul style="list-style-type: none">• AN ABILITY TO DO <p>PROVIDE RELEVANT SERVICES FOR ITS PARTNERS AND BENEFICIARIES.</p>

Annex 5: Overview of Caritas Norway

Caritas Norway was established in 1952 as Norsk Katolsk Flyktingehjelp (Norwegian Catholic Refugee Aid). In 1964, Caritas Norway was established as an independent organisation, first under the Catholic Diocese of Oslo, later under the Catholic Bishop Conference of Norway (which includes the country's 3 dioceses of Oslo, Trondheim and Tromsø). Representatives from the Catholic parishes in Norway form the Annual Meeting. The Annual Meeting happens once per year. They elect the Board and they can amend the Statutes.¹⁵

Purpose

According to the Statutes, Caritas Norway is the Catholic Church in Norway's organisation for welfare work among immigrants and the poorest in the country as well as development assistance to poor countries:

- a) Contribute to engaging Catholic parishes and individuals in the work to improve living conditions of the most vulnerable.
- b) Help immigrants settle in Catholic parishes and adapt to Norwegian society as well as work to contribute to other particular needs among immigrants and asylum seekers.
- c) Through information work create interest for the situation of poor countries in the world and support development assistance in these countries.
- d) Through development and emergency relief projects support the national local organisations' work to improve the living conditions of the poor and the situation for refugees.
- e) Work to fund the above mentioned tasks in cooperation with the Catholic parishes, the Catholic Bishop Conference of Norway and Norwegian authorities.

In its social functions, Caritas Norway is not limited by confessional considerations. The foundation should to the best of its abilities seek cooperation with other organisations within the social sector. Caritas Norway is affiliated with Caritas Internationalis in Rome, with all rights and obligations implied.

Vision

The vision of Caritas Norway corresponds with the vision of Caritas Internationalis - a world:

- That reflects the Kingdom of God, where justice, peace, truth, freedom and solidarity prevail.
- In which the paramount value is human dignity, because man is created in the image of God.
- Where exclusion, discrimination, violence, intolerance and humiliating poverty no longer exist.

¹⁵ Based on information from Action Plan 2008-2012

- Where the goods of the earth are shared by everyone.
- Where the whole of Creation is preserved for the benefit of future generations.
- Where everyone has the opportunity to realise their human potential as active participants in a global community.

Mission

Caritas Norway will contribute to changing the world through caritative work in the parishes in Norway, working among the poor in the South, and by doing advocacy and informational work. The vision will be obtained by:

- Being a solidarity organisation which, through the social teachings of the Catholic Church and through universal human rights, will influence social development abroad and at home.
- Inspiring Catholic parishes and organisations to do social work in Norway.
- Being a professional tool that promotes the Church's social responsibility in the North and in the South.
- Participating in partnerships in order to alleviate destitution, contributing to long-term and sustainable development and promoting peace and justice.
- Ensuring a voice for poor women and men in the decision-making processes that concern their future.
- Promoting the prevention of HIV and preventing the development of AIDS.
- Fighting for allowing people affected by HIV/AIDS to live a life with dignity.
- Fighting for equality between women and men.
- Fighting for freedom from violence and oppression.
- Supporting the efforts of the Catholic Church for building peace and reconciliation in conflict-affected societies.
- Supporting the struggle to safeguard the local and global environment.
- Preventing natural disasters and conflicts.
- Promoting knowledge and willingness to change unjust structures both within and between the North and the South.

Values and Principles

Caritas' values and principles are founded on the Caritas partnership, which is about how different actors can work together to put the social teachings of the Church into practice in regards to alleviating distress and creating justice.

The Caritas partnership is an alliance between members of the Caritas network and likeminded organisations that express solidarity with people in the South and the North. We recognise all women and men as part of a global society built on mutual dependency and demonstrate a profound commitment to social justice and precedence for the poor. A partnership is more than a work form for Caritas Norway. It is about identity, understanding of roles and relations and also solidarity in practice.

The Caritas network in itself represents one of the strengths of the Caritas partnership. The network consists of 165 independent national member organisations that are present in more than 200 countries and territories. Through the approximately 3 000 dioceses and 200 000 parishes that are part of the network, Caritas Norway can reach local communities all over the world.

Thematic Focus Areas

Caritas Norway will focus on five thematic areas during the action plan period from 2008 to 2012. These are: democracy and human rights, gender equality, environment and sustainable development, peace and reconciliation, and HIV/AIDS. The organisation will focus on these thematic issues in communication work, caritative work in Norway and in international work.

In the action plan period we will focus on a prioritised thematic issue very year according to the following plan:

Gender Equality:	2008
Environment:	2009
Peace:	2010
HIV/AIDS:	2011
Democracy:	2012

The annual thematic issue will be emphasized in internal work to increase competence, communication work, fundraising work, caritative work as well as in the dialogue with our partners.

Long-term Development Cooperation

Long-term development is implemented through partnerships in the countries that are our main partners. During the period, Uganda, Zambia and Honduras will continue to be our main partners possibly alongside a new country in Africa. These five countries will, together with networking in the regions, form the basis of the cooperation agreement with NORAD.

The allocation of resources has been quite stable and followed the same pattern between 2005 and 2010

Table: Allocation of Resources (in Mill NOK)

	2005	2006	2007	2008	2009	2010 (expected)
Zambia	4,2 mill	5,4 mill	5,6 mill	5,5 mill	5,7 mill	5,4 mill
Uganda	5,9 mill	7 mill	7 mill	5,9 mill	6,3 mill	5,9 mill
Honduras	4 mill	5,7 mill	5,7 mill	6,1 mill	5,7 mill	6,1 mill
Other countries:	3,6 mill	0,8 mill	1,2 mill	–	–	0,2 mill
Regional	–	–	–	1,5 mill	1,5 mill	1,9 mill
Non Norad-supported projects	30,7 mill	19,4 mill	27,3 mill	21,2 mill	15,4 mill	19,1 mill
Information	0,3 mill	0,6 mill	0,8 mill	0,9 mill	1 mill	1,1 mill
Admin	4,1 mill	4,1 mill	4,4 mill	3,3 mill	3,5 mill	4,5 mill
Total	52,8 mill	43 mill	52 mill	44,4 mill	39,1 mill	44,2 mill

The objective for the period:

Caritas Norway will contribute to changing unjust structures by supporting rights-based work in long-term partnerships.

This will be achieved by:

- Developing Caritas partnerships with national partners that have the potential of being agents of change on a national and local level in selected main cooperation countries.
- Contributing to enabling the participants in development activities to claim their civil, political, social, cultural and economic rights.
- Allowing the participants of the activities to have real influence on the planning and implementation of these.
- Strengthening the awareness and knowledge of the grassroots concerning democracy and their ability to mobilise and organise in order to influence their own future, their local communities and the development of their countries.
- Promoting understanding for equality between women and men, ensuring equal participation and influence for women and men on all levels in all activities.
- Assessing the need for specific HIV/AIDS components in all activities, promote preventive awareness, counteract stigma and discrimination and work for the access to medication for those suffering from AIDS.
- Promoting sustainable development by focusing on our right and obligation to a justifiable management of Creation and the consideration for future generations, as well as calling

for local, national and global action for a just distribution and management of the world's natural resources.

- Displaying conflict sensitivity in all activities and support peace processes where the circumstances are such that our partners can play the role of peace builders.
- In our long-term development work contribute to strengthening the power of resistance of local communities against disasters as well as our partners' capacity to prevent and manage emergency situations.
- Promoting the use of participatory evaluations in order to increase local knowledge and ownership of the activities.
- Forming the basis for sustainable changes and local rooting by planning a reasonable phasing out from the beginning of the activity.
- Actively advocate both directly as well as through Caritas Internationalis and Norwegian networks in order to influence decision-makers and authorities to rectify unjust international structures and ensure more and better development assistance.
- Continuously evaluate and improve international administrative routines and increase the professional knowledge of the staff through continuous updating, training and exchange of experiences.
- Promoting transparency and accountability in our own organisation as well as among our partners.
- Ensuring long-term funding.

Internal Organisation

As a Catholic organisation in Norway, Caritas Norway has close relations to the Norwegian Bishops' Council and the three Norwegian dioceses of Oslo, Tromsø and Trondheim. Caritas Norway intends for the Annual Meeting to have a function beyond what is instructed by the Foundation Act. The Annual Meeting is to be a meeting place for the representatives of the parishes, who represent the constituency of Caritas Norway. The Annual Meeting gives room for systematic networking between the parishes as well as the exchange of experiences and information about local social work.

In addition to performing the tasks that the Board is obliged to according to the Foundation Act, Caritas Norway wishes to have an active board that knows and puts its mark on the operations of Caritas Norway. Continuity and the Board members' learning will be ensured through knowledge of the thematic focus areas. Caritas Norway wishes for the Board and staff to have a close dialogue.

During the period, the staff will adapt to agreements and obligations according to the objectives of this action plan. Caritas Norway seeks to attend to ethnic diversity and gender equality issues in the staff.

Caritas Norway will prioritise giving the members of the secretariat the time, space and budget to keep updated and acquire the necessary and preferred competence. There will be

professional, economic and cost-effective decisions as to whether it is most expedient to bring new, necessary competence from external (employment or consultant contracts) or by building competence inwards in the secretariat. The management of Caritas Norway sees to it that the staff at all times has the necessary competence and ensures that staff members receive the competence building that is needed.

Finance

The majority of Caritas Norway's income consists of governmental support. The foundation still depends on economic contributions from sister organisations in the Caritas network in order to keep administration at a reasonable level. The fundraising potential in the target group for the fundraising – the Catholics in Norway – is greater than the fundraising volume of today. This is true for absolute figures as well as total income.

The new accounting standards for non-profit organisations presuppose that the costs are distributed between the different activities of the organisation (including administration). In order for such a distribution to be made in a reasonable, reliable and consistent way, a continuous review and classification of the different costs of Caritas Norway will be carried out according to the rules and definitions of the accounting standards.

Traditionally, the administration percent of Caritas Norway has been low, less than 10% of the costs, and the question arises as to whether this at all times makes for a defensible management of Caritas Norway's resources.

Norad

Norwegian Agency for Development Cooperation

Postal address:

P.O. Box 8034 Dep, NO-0030 OSLO

Office address:

Ruseløkkveien 26, Oslo, Norway

Tel: +47 22 24 20 30

Fax: +47 22 24 20 31

postmottak@norad.no

www.norad.no