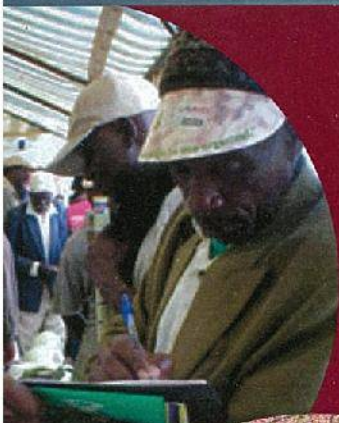


AMERICAN RED CROSS

FINAL EVALUATION

INSTITUTIONAL CAPACITY BUILDING GRANT (FY04-FY08)

Agreement Number: AFP-A-OO-03-00007-00

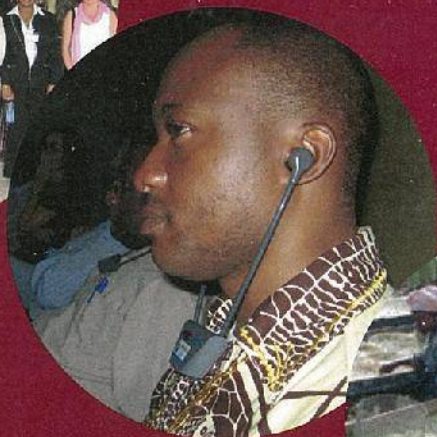
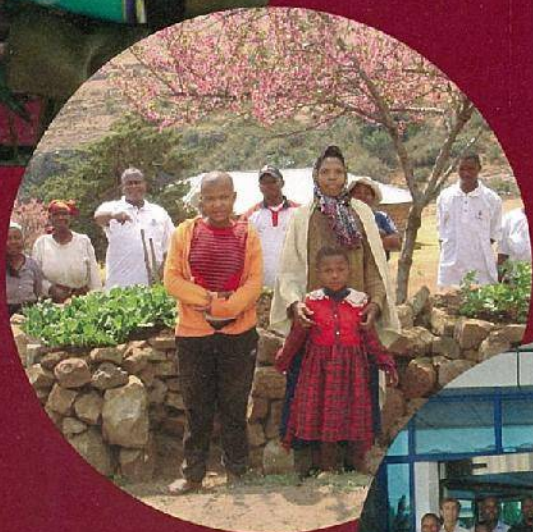


**American
Red Cross**



USAID

FROM THE AMERICAN PEOPLE



Evaluators:
McMillan
. Cohen

Evaluation Coordinator:
oughlin

**AMERICAN RED CROSS
FINAL EVALUATION
INSTITUTIONAL CAPACITY BUILDING GRANT (FY04-FY08)
Cooperative Agreement No. AFP-A-OO-03-00007-00**

December 20, 2007

External Evaluators:

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USAID
FROM THE AMERICAN PEOPLE



**American
Red Cross**

Together, we can save a life

Executive Summary

The American Red Cross (ARC) requested and received USAID funds to implement a Title II funded ICB grant over a five year period beginning in 2004. The overall goal of the ICB was to develop the capacity of the American Red Cross and its partners throughout the Red Cross Red Crescent Movement to protect and promote the nutritional well being of people affected by emergencies. The grant was also expected to produce a number of M&E and programming “tools” that would serve a wider Title II CS audience. It is this emphasis on “tools” –and better documentation of examples of best practice— that distinguished the ICB RFA from the RFA for earlier Title II funded capacity building grants like the ICB and ISG.

The total budget for the ICB is \$2,716,112, of which \$1,800,000 was awarded by USAID with a commitment from the American Red Cross (ARC) of \$916,112 (33% of the grant total) in matching funds that was modified to a straight 34% in 2007.

Execution of the Grant in relation to its original intent under the RFA: The original proposal presented a general plan to expand ARC national HQ capacity to: (a) program food in developmental relief situations, (b) expand ARC Red Cross movement partners’ capacity to program food assistance in development relief, and (c) create domestic awareness/potential support for foreign assistance writ large and for food programming in particular. The same grant also outlined eight tools that ARC expected to produce which would build internal capacity as well as capacity within the movement and the other Title II CS’s.

In the course of executing the ICB, ARC was forced to make considerable changes to the implementation strategy. These changes included: (a) a shift away from MYAPs (Title II funded Multi-Year Assistance Program) paralleling the decrease in available funding for these grants from FFP, (b) expanded support for humanitarian logistics software; (c) more involvement and interest in partnering with WFP; and (d) a specific focus on improving RC management of disaster relief supplies, both food and non-food. Especially important was ARC’s growing unwillingness to support stand alone food programs in the post-Tsunami period. While the implementation strategy changed significantly over the life of the grant, the objective of the grant remained constant. The two intermediate results of the ICB, modified but slightly as per the mid-term review are:

- **Intermediate Result 1 (IR 1):** ARC improves its institutional and technical capacity to design and manage food aid and nutrition interventions as an effective response to food insecure populations including people affected by emergencies;
- **Intermediate Result 2 (IR 2):** Improved knowledge base in national Red Cross societies to design and manage local food aid and nutrition interventions in emergencies and long-term development.

Specific learning objectives relating to these results were defined over time:

- **Learning Objective 1: Strengthen ARC capacity** to understand the basic elements of food (in)security, especially as these relate to what we need to be

aware of in undertaking emergency needs assessments and to train others in targeting, distribution, reporting, etc.

- **Learning Objective 2: Strengthen ONS capacity** to target, distribute report on, and in general manage relief (including food).
- **Learning Objective 3: Strengthen ONS capacity** to access, use and report on food and food security interventions in longer-term programs, especially HIV/AIDS-related strategies.
- **Learning Objective 4: Assist the RC/RC Movement** to define its approach to “chronic” food security disasters such as recurrent drought or drought/flood cycles.

The mid-term evaluation included a detailed explanation of these shifts and made extensive recommendations for revising the indicator tracking table to reflect the new programming directions and a revised list of tools for internal and external audiences. A revised IPTT and plan of activities was submitted to USAID in the FY07 annual grant report. Based on recommendations from the mid-term, the project made a series of management and budget changes that helped accelerate the execution of many key activities—especially those associated with the grant’s second IR, which focused on developing the pilot programs.

Purpose of the Evaluation: The final evaluation of the ARC ICB has three principal purposes. The first is to satisfy the legal requirements of the Title II ICB grant. The second is to feed into the USAID/FFP meta-evaluation of ICB grants and to inform the development of the next generation of ICB Requests for Proposals. The third is to inform future programming of the American Red Cross, particularly as it relates to internal and partner capacity building in the context of food security with key aspects that are applicable to capacity building efforts in general. These three aims are achieved through assessment of the effectiveness, relevance, efficiency, cost-effectiveness, and sustainability of capacities promoted through the grant, highlighting achievements, and formulating recommendations for the remainder of the grant and for future ARC programming. These multiple objectives are spelled out in a detailed evaluation SOW.

How ICB activities have strengthened the capacity of ARC to implement effective food security programs:

ICB Learning Objective 1: Several of the ICB activities, formal and informal training activities have had major institutional impact on ARC’s institutional capacity to design and manage food aid, nutrition and livelihood interventions as an effective response to food insecure populations in emergency and post-emergency recovery situations. Some of these activities were directly funded by the ICB; others were just facilitated by the ICB or benefited from the use of ICB tools or training. The prospects for sustaining these positive results are strengthened by:

- The continued use and updating of three tools: the IPP handbook, Emergency Response Unit (ERU) Relief Manual, and the Logistics Software;
- Major improvements in the core food security and M&E training that many HQ and regional staff received under the ICB;

- The strong partnership with WFP –the first of its kind—which benefited indirectly through ISA and ICB trained staff, training, and technical backstopping which the ARC has taken steps to mainstream; and
- Other partnerships—likely the highly innovative partnership with USDA in Viet Nam and with FAO and WWF in Indonesia—are convincing many inside the ARC about the need for ARC to continue to support the Federation’s efforts to develop a more inclusive model of risk mitigation and recovery.

ICB Learning Objectives 2-4: One major and extremely important output of the ICB has been to increase ARC’s understanding of what types of capacity building and support will be needed to bring about sustainable long-term changes in NS capacity. The concept of capacity building has always been a part of ARC’s international programs. What was missing and very much in demand at the start of the ICB was a realistic model of how to do this. ARC’s initial proposal focused on the creation of two “pilot programs” and the use of classic training programs and TA to build the capacity of staff to execute these programs. Over the course of the grant ARC’s capacity building model evolved:

- *From* its initial focus on the use of ICB funds to develop specific capacities to address food security and nutrition issues within the context of emergency response and developmental relief;
- *To* the use of ICB funds to build capacity to address food security and HIV/AIDS within the context of a broader strategy and coalition of partners (including the IFRC, other international Red Cross societies from developed countries, the UN and local government).

One direct impact of the Title II support under the ICB was to build the capacity of eight of the 10 Red Cross National Societies (NS) to develop national food security strategies. ICB funds have also been used to help fund community based activities in two pilot countries (Lesotho and Mozambique) that reinforce the food security strategies they are developing with help from the IFRC and ARC. This revised strategy—which is in the early stages of execution in southern Africa—is revolutionary in its potential implications for IFRC since it helps structure and focus the input from the wealthier societies into this IFRC wide initiative.

Instead of adopting a third pilot country, ARC requested and received permission from USAID/FFP to use Indonesia as the third pilot country program. The objectives of that program aligned precisely with ICB learning objectives and ARC is committed to learning from its support of integrated food security/health programming. Indonesia was chosen in order to highlight the many lessons learned from the national program’s extensive collaboration with ARC and WFP during the post Tsunami relief and recovery programs.

Key Challenges affecting progress in the implementation and management of the grant: The initial challenge faced by this grant was that ARC did not receive either of the Title II funded programs that it expected to have in FY04 (Malawi and Tajikistan) which were planned to be testing grounds for the new systems and tools being developed by the ICB. The second challenge was the dramatic upsurge in activity and staff displacement

that accompanied ARC's active role in coordinating food assistance to three programs affected by the Tsunami in FY05. A third challenge has been for the grant's administration to weather two major shifts in ARC's priorities for its International Services Department and the conceptualization of food security issues within that program that were announced in new strategic plans: one in 2005 and one in 2007. A fourth challenge has been to build national societies' understanding of the USAID regulations which are far more complicated than what they are used to following. The need for large amounts of proactive mentoring on the USAID/FFP office's rules and regulations has been a major block to ARC's capacity to move forward on its national capacity building programs.

Lessons Learned and Recommendations for ARC

The evaluation makes three broad categories of recommendations that ARC can execute in the next eight months.

The first is a series of recommendations for strengthening staff awareness of and use of the tools by staff within ARC, the Red Cross Movement and the other Title II CS's over the next six months.

The second category is recommendations for strengthening the Lesotho and Mozambique pilot country programs and for engaging with the new regional IFRC strategy for southern Africa which is critical to sustaining the ARC's achievements under the ICB

- One option would be to work with USAID/FFP to develop some sort of regional MYAP (either on its own or with another Title II CS that is active in the region) that would build the capacity of national red cross societies in southern Africa to program cash and food to rebuild the household assets of PLWHA. Two of the 10 Red Cross programs are Title II FFP priority countries; the southern Africa region is a top priority for USAID.
- A second option would be to execute singly or in collaboration with another major Title II CS—such as CRS—to develop a follow-on ICB grant (as opposed to a MYAP) that would focus on developing cutting edged models for building national societies (an national ONG) capacity for emergency preparedness and national NGO capacity building.
- A third option would be to continue providing the type of regional capacity building support that it has provided since October 2007 through a separate grant from USAID or another donor.
- A fourth option would be for ARC to help the IFRC attain its goal of raising \$42 million to support the first phase of its Long-term Food Security Strategy for Sub-Saharan Africa. The strength of this assistance model is its cohesion and opportunity for synergy with other Red Cross societies to develop the capacity of the national societies and to reduce their vulnerability to long-term risk. In the absence of this type of approach, the Red Cross strategy for Sub-Saharan Africa is going to continue to focus on emergency relief as the depth and serious of the problems that are causing the need for relief progressively gets worse and worse.

The third set of recommendations focus on various ways of strengthening ARC's internal systems for integrating food security and livelihood perspectives into emergency relief and response programs. These include: (a) creating a new position of a livelihoods advisor or to task an existing person on staff with covering these functions; and (b) creating an informal "South Africa Food security /risk management working group" to provide some sort of structured "backup" and feedback to ARC's pilot initiative working with IFRC southern Africa. This type of informal "working group" fits well within the institutional culture of the ARC and could be scaled up or down as needed. A separate "learning group" is being tasked with reviewing the bigger issues of extrapolating lessons learned from the major Tsunami partnerships and the ARC-CRS M&E series and revising the text and training for the IPP.

Lessons Learned and Recommendations for Future ICB Grants: ARC's ICB grant shows how a capacity building grant can help emergency programs incorporate a wider food security perspective into their design and execution. While the ARC's focus on emergencies is unique it is not without precedent since most of the larger Title II NGOs have emergency wings that are similar to ARC in structure and focus. Many of ARC's "lessons learned" in trying to expand the focus of its emergency programs can be usefully applied to these programs as well.

- #1: *Require NGOs to Produce Simple Tool Checklists that help HQ and Field Staff Better Use Tools:*
- *Observations:* Website postings of ARC developed and co-developed tools (in internal and external websites) were far less effective in reaching national society and Red Cross clients than TA from HQ staff who were conversant with the tools they had helped develop. The current ICB emphasizes tools development with very little attention focused on either building or recognizing NGO's building sustainable systems for insuring that their staff are aware of and use the tools or monitoring use and impact of the tools. The ARC/ICB provides clear evidence that it is the personal touch (right person presenting the right tool at the right time) that will improve use, not the tools themselves.
 - *Recommendation:* Given the high rates of HQ staff turnover (as staff rotate in and out of positions and in and out of programming), future capacity building grants should require all CS's to develop (and track the use of and utility of) clear simple systems (like checklists) for describing tools and how ICB tools can be used to improve program design, execution and evaluation.
- #2: *Require NGOs to Show Quantitative or Qualitative Evidence of Field Demand and an Institutional Commitment to Using the Tools for Core Training and Retraining or Key functions*
- *Observation:* Certain tools that were developed under the ICB grant had a much bigger impact than others. The two most widely used ARC tools (the pre-evaluation training module and the IPP proposal guidelines, and the logistics software) were tools that responded to specific day to day programming issues (proposal development, warehouse management, evaluation). These same tools, because they were mainstreamed into core training and planning got a great deal

of focused Technical Assistance (TA). One of the best examples of this is the IPP which was used to design 77 post-Tsunami recovery programs. ARC's experience is that it was this type of focused TA—not formal training—that had the greatest institutional impact.

- *Recommendation* : Future grants would require Title II CS's:
 - To show evidence of field input into the identification of the tools being developed by the grant to avoid tools being “supply” rather than “demand driven;”
 - To develop better systems for integrating staff feedback on the tools that will make them more user friendly; and
 - To develop better systems for linking tools development and training to indicators that track staff capacity in the areas being targeted.

#3: *Encourage Title II CS's to build their capacity to develop realistic partnerships with a wide range of Title II and non-Title II partners as part of their early warning and response systems*

- *Observation*: Any emergency response and/or emergency preparedness effort requires working with a variety of food and non-food partners. If USAID/FFP is to achieve its goal of building local capacity to anticipate and manage shocks, then the future ICB grants must encourage the Title II CS's to work with World Food Programme and other donors as well as Title II FFP programs. ARC's extensive work with WFP under the ICB shows some of the potential challenges and constraints that this type of collaboration can involve.
- *Recommendation*: Future ICB grants should require Title II CS's to better analyze the wider network of emergency food partners that they have collaborated with in the past and plan to collaborate with in the future and how any ICB capacity activities might be expected to affect these partners as well as the Title II funded programs.

#4: *Give Priority to CS Programs that Use ICB Funds to Revise Core Training Curricula*

- *Observation*: Any organization that works in emergency preparedness and response has training programs to train HQ and field staff. Any long-term attempt to develop a more holistic approach to emergency preparedness will require revising these core training materials. ARC's experiences under the ICB show how this type of institutional change is *slower but in many ways more sustainable* (over the long-run) than simply producing new and better tools.
- *Recommendation*: Future ICB grants should give priority to organizations that plan to use ICB funds: (a) to generate the demand for and actual revision of training manuals and training programs that the organization will always offer to train new and existing staff; (b) provide clear evidence of how they will use the revised manuals to train and retrain staff over several years so the curricula changes get mainstreamed; and (c) are willing to track simple internal systems for tracking feedback on training programs and manuals and incorporating this information into future revisions and training programs.

#5: *Link workshops to promote national capacity building to follow-up technical assistance*

- *Observation:* ARC's use of ICB funds to help seven of the National Societies in southern Africa to create national food security action plans appears to be an example of best practice. Prior to this assistance, not one of the societies had had the capacity to develop the types of national action plans that the International Federation of the Red Cross mandated at its annual meeting in 2000 in Ouagadougou.
- *Recommendation:* Future ICB initiatives should encourage Title II CS's to support small sub-regional capacity building efforts that link smaller workshops with follow-up TA to address key food security issues like developing and executing food security action plans and bridging the emergency-development link.

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List of Acronyms and Abbreviations

AEA	American Evaluation Association
AP	Action Program
ARC	American Red Cross
ANS	Africa National Societies
CBDM	Community Based Disaster Management
CBAD	Community Based Agricultural Development
CRS	Catholic Relief Services
CS	Cooperating Sponsor
CVM	Mozambique Red Cross (Cruz Vermelha Mocambicana)
DM	Disaster Manager (position)
FAO	Food and Agriculture Organization
FFP	Office of Food for Peace, Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA), USAID
FHI	Food for the Hungry International
FM	Food Monitor
FS	Food Security
FY	Fiscal Year
GL	General Ledger
HQ	Headquarters
ICB	Institutional Capacity Building
IDR	International Disaster Relief
IFEN II	Vietnam Education and Child Nutrition project
IFRC	International Federation of Red Cross
IOM	International Organization for Migration
IPP	Integrated Planning Process
IDR	International Disaster Response Unit (of the International Services Department/ARC)
IPTT	Indicator Performance Tracking Table
IR	Intermediate Results
ISA	Institutional Support Assistance grant
ISD	International Services Department
LCRS	Lesotho Red Cross Society
M&E	Monitoring and Evaluation
MCH	Maternal and Child Health
MYAP	Multi-Year Assistance Proposal
NGO	Non-Governmental Organizations (non-US based NGO)
NHQ	National headquarters
NS	National Societies
PACT	Pan African Coordination Team
PMI	Palang Merah Indonesia (Indonesian Red Cross)
PVO	Private Voluntary Organization (US based NGO)
Plan	Plan International (US PVO)
PNS	Participating National Societies
PVO	Private Voluntary Organization

RCRC	Red Cross Red Crescent
RFA	Requests for Assistance
SO	Strategic Objective
SPMI	Support to Palang Merah Indonesia (Indonesian Red Cross) Project to Build PMI capacity to partner with WFP
SSC	Shared Services Center
TA	Technical Assistance
TAPE	Technical Assistance for Planning and Evaluation unit (now known as TAU)
TAU	Technical Assistance Unit (ISD/ARC)
TRP	Tsunami Recovery Program
USDA	United States Department of Agriculture
WFP	World Food Programme
WWF	World Wildlife Foundation

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1.0. Introduction

1.1. Institutional Context of the ICB Grant

For over 100 years the American Red Cross (ARC) has played a major role in coordinating assistance for domestic and international¹ disasters from the United States (US), among its other core programs. Two unique features of ARC that distinguish it from other Title II cooperating sponsor (CS) private voluntary organizations (PVOs) are its commitments to:

- Executing all of its assistance through a network of 186 international Red Cross, Red Crescent, or Red Crystal National Societies, which are commonly referred to within the “Movement” as NS (see Box 1.1 for a brief clarification of terms related to the Red Cross Movement); and
- Ensuring that all of its international training and interventions conform to principles and the ongoing overarching program of the International Federation of the Red Cross (IFRC) based in Geneva.

Box 1.1: Clarification of Terms Related to the Red Cross

International Federation of Red Cross and Red Crescent Societies (IFRC): Also referred to as the Federation, IFRC is based in Geneva and oversees the international network of National Societies (NS).

National Society (NS): Refers to the national NGO that is officially recognized by the IFRC as its representative in a country. The NS in the United States is the American Red Cross. The terms ONS (Operating National Society) and Host National Society (HNS) are also used to refer to the national Red Cross societies.

The Movement: Refers to the international Red Cross Movement (i.e., the IFRC and all its member Red Cross/Red Crescent/Red Crystal organizations).

American Red Cross (ARC): Refers to the NS of the Red Cross in the United States whose headquarters is in Washington, D.C.

Participating National Societies (PNS): Refers to NSs from more developed countries that assist NSs in developing countries (i.e., ARC, the British Red Cross, and the Dutch Red Cross).

ARC’s role in coordinating US assistance for domestic and international disasters includes providing food assistance to populations affected by these catastrophes. Prior to the Tsunami, however, this food assistance has focused almost entirely on emergency feeding during the initial three months, the time limit ARC has traditionally used to classify an event as a “disaster,” (compared to the “transition” period, which follows the disaster period).

¹ Core program areas for ARC include: (1) international public health; (2) disaster preparedness and response; (3) restoring family links; and (4) international humanitarian law dissemination.

Hurricane Mitch in 1998 demonstrated the need for reconstruction and rehabilitation beyond the “come, do, go” (also referred to as the “truck and chuck”² tactic) premise of most ARC (and Movement) disaster relief efforts (ARC 2003: 9). This shift coincided with a growing and important shift within the Red Cross Movement worldwide. Although IFRC had been responding to food insecurity in Africa since the major famines of the mid-1980s, it first made long term food security a committed strategic priority at the Fifth Pan African Conference in Ouagadougou in September 2000 (IFRC 2007: 1; Box 1.2).



“Although IFRC had been responding to food insecurity in Africa since the major famines of the mid-1980s, it first made long term food security a committed strategic priority at the Fifth Pan African Conference in Ouagadougou.” (IFRC 2007) Photo credit John Weiss

ARC’s first Title II capacity building grant, the Institutional Support Assistance (ISA) grant (FY99-FY01), was designed to build ARC’s internal capacity in three areas that were needed to execute the new strategy. The ISA helped ARC develop a new Technical Assistance for Planning and Evaluation (TAPE) unit that was created to specialize in the range of technical skills and the types of development programming that the organization might pursue. New tools were developed under the ISA grant, including the agency’s first Integrated Planning Process (IPP) handbook and training modules and ARC’s first commodity management tool kit. The grant also seeded the initial funding for two new positions—a food program administrator/advisor and senior monitoring and evaluation (M&E) specialist.

Box 1.2: The Ouagadougou Declaration (2000) and the Algiers Plan of Action (2004)

“Making food security a strategic priority for this decade, recognizing that food insecurity is directly linked to a number of root causes, including poverty, the HIV/AIDS pandemic, the worsening debt crisis, and armed conflict.” (Fifth Pan African Conference, Ouagadougou, 2000).

“The key objective of the Algiers Plan of Action was to significantly contribute to the reduction of food insecurity of populations made vulnerable by HIV/AIDS, using and developing the knowledge available with the Red Cross Red Crescent societies, coping mechanisms of communities and working in partnerships.” (Sixth Pan African Conference, Algiers, 2004)

Source: in IFRC 2007:1.

² North, Rosemarie. 2006. Food Security—A New Paradigm. Red Cross Red Crescent. The Magazine of the International Red Cross and Red Crescent Movement. Issue 2. Geneva: IFRC.

1.2. Goals and Objectives of the ICB Grant

ARC's Institutional Capacity Building (ICB) grant was designed (ARC 2003:11) "to continue adjustment to the changing nature of ARC's and the Movement's use of emergency food aid, specifically." One factor that distinguished the ICB most clearly from the ISA was its strong emphasis on building the capacity of the local National Societies (NS) in collaboration with the wider initiatives being promoted by the IFRC movement.

The activities needed to achieve these goals were conceptualized under the following two intermediate results (IRs).³

- Intermediate Result 1: ARC Improves its Institutional and Technical Capacity to Design and Manage Food Aid and Nutrition Interventions as an Effective Response to Emergencies.
- Intermediate Result 2: Red Cross/Crescent Movement Partners Develop the Capacity to Design and Manage Food Aid and Nutrition Interventions as an Effective Response to Emergencies.

These IRs were broken down into the following specific outputs.

- The first IR focused on building internal capacity at ARC headquarters office by refining tools and developing new tools and training, expanding ARC's collaboration with other PVOs that work in the development and emergency food programming, and promoting the importance and need for food in international emergency responses on the ARC website.
- The second IR focused on design and execution of a new model for national society capacity building in two countries that would serve as "pilot programs." ARC anticipated using many of the tools and training modules used at the HQ level to boost NS capacity building, as well as providing cash support for the development of specific community activities. ARC anticipated that eventually many of the new initiatives being pilot tested in the "pilot programs" would be scaled up to the new projects it was expecting to develop with Title II support in Malawi, Tajikistan, and Bangladesh.

The total budget for the ARC/ICB was \$2,716,112 of which \$1,800,000 was awarded by USAID with a commitment from ARC of \$916,112 (33 percent of the grant total) in matching funds.

1.3. Evolution of the Context of Food Security Programming within ARC and IFRC (FY03-Present)

In the course of executing the grant, ARC's commitment to food programming and different models for integrating food security into its emergency and post-emergency programming changed considerably (Table 1.1).

³ The wording of the IRs was changed slightly at mid-term. The revised phrasing of the IRs is the one used in this document.

Table 1.1. Institutional Context and Major Partners for Food Security Programming at ARC, FY03-Present

Context	Baseline (FY03)	Mid-term (FY06)	Final (FY07)
Policy Document	2000 Strategic Planning ISD	2005 Strategic Planning ISD	2007 Strategic Planning ISD
Food programming institutional context	ARC was considering having a stand-alone sub-unit that would work with other IDR (International Disaster Relief units) to build capacity for and oversee food programming	ARC decided that: (1) All programming must be part of a disaster preparedness/ response package (through IDR) or MCH programming through the national RC rather than through stand-alone sub-unit; (2) IDR/ARC will not incorporate food into emergency response programs in FY06 that ARC directly administers	Reconfirms strategic foci as: (1) Disaster management and health and (2) Developing expertise within a few niches (primarily disaster mgt and health), not including food security
Relationship to Title II	Planning to apply for 3 Title II Projects (Malawi, Tajikistan, Bangladesh)	No longer planning to do Title II MYAPs	- No longer willing to do Title II MYAPs - Use of Title II ICB funds for community based activities that support NS FS strategies in Lesotho and Mozambique
Principal Food Security Partners	IDR managing limited food in emergencies No post-emergency food security programming, but planning to apply for 3 Title II projects	WFP—\$65 million partnership for Tsunami Emergency Relief USDA-Viet Nam	- WFP-78 post-Tsunami recovery programs - FAO-WWF Livelihoods Initiative - Title II ICB for community based initiatives through NS in Lesotho & Mozambique
Institutional Framework for Food Security Capacity Building	- Food program advisor & SR. M&E specialist with food security background - No longer considering a stand-alone food unit	-Food program advisor under TAPE unit	- Regional ARC food delegate in southern Africa - ARC ISD partnership coordinator (with WFP, with IFRC) - 2 M&E specialists (with FS background) - Relief advisor with food security and livelihoods background

Source: Annex III.C.

When the ICB started, ARC was considering having a stand-alone food security unit that would oversee food programs for emergencies and post-disaster recovery and reconstruction. During this same time period, ARC was planning to develop two additional Title II proposals (separate from the ICB grant) in Tajikistan and Malawi. The

Title II funding for one grant (Tajikistan) was withdrawn; ARC withdrew from the other consortium when ARC's funding was reduced. Although ARC did not receive any Title II funds in FY04, it continued numerous activities to achieve the ICB IRs in conjunction with its other types of emergency and non-emergency food programming (Annex II).

Once the Tsunami hit (December 2004), the focus of the ICB's capacity building efforts shifted to collaboration with the World Food Programme (WFP), which became ARC's principal food security partner for \$65 million dollars of food programming to Indonesia, Sri Lanka and Maldives.. In addition to this massive food aid activity, ARC also focused on refining various tools developed under the ISA and during FY04 of the current program for use during the Tsunami relief effort. Since many of the key staff members (including the ICB manager Regis Chapman) were pulled off the grant, the rate and velocity of turning out new products, training new and existing staff, and revising older products that the grant had envisioned slowed down.

The dawn of a new USG fiscal year (October 1, 2005) was associated with a shift from short term emergency efforts to more long term Tsunami recovery programs. This period coincided with ARC attempting to absorb some of the lessons learned from the Tsunami effort, both in terms of programming and philosophy, through a new strategic process. The new strategy included a renewed commitment by ARC to addressing some of the slow onset disasters (such as HIV/AIDS and drought) that have a direct effect on the ability of individuals and households to identify and manage risk. However, at the same time the new strategy stated that ARC would no longer consider a stand-alone food sub-unit and would no longer consider food programming unless it was conceptualized as part of a disaster preparedness response or the health programming package.

While the implementation strategy changed significantly over the life of the grant, the objective, as well as its two intermediate results remained constant. These adjustments were extensively discussed during a six week mid-term review and planning process.⁴ Based on recommendations from the mid-term, the project made a series of management and budget changes that helped accelerate the execution of many key activities—especially those associated with the grant's second IR, which focused on developing the pilot programs.

This same time period (FY03-FY07) is associated with major changes in the international context of IFRC's activities, especially in Africa. The Sixth Pan African Conference in Algiers in 2004 reaffirmed the Ouagadougou conference's commitment to food security as a strategic objective for the Federation's activities in Sub-Saharan Africa (Table 1.2; Box 1.2). To address these issues the IFRC created a small food security unit in Geneva and began to gradually increase its support for food security capacity building, strategy, and program development worldwide, but with a special focus on Africa.

⁴ Della E. McMillan and Ange Tingbo. 2006. American Red Cross. Mid-Term Evaluation. Institutional Capacity Building Grant (FY04-FY08). Washington, DC: ARC.

Table 1.2. Institutional Context and Shifts in National Red Cross Society Priorities and Strategies (2000-Present)

Context	2000	2004	2007
IFRC Priorities and Organizational Support to Food Security	Primary focus on emergencies	-Federation decides to focus attention on improved disaster management at same time they increasingly adopting food security/insecurity approach -Small food security unit created at IFRC (Geneva) to backstop regional capacity building	Five-year strategic framework on food security for Africa 2008-2012
National Red Cross Societies' Priorities	Strong volunteer networks through National Societies represent an effective mechanism for mobilizing relief during disasters	- National Societies (183) want more than short-term interventions, especially in areas where disasters are recurrent - A growing number of National Societies, especially those in chronically food insecure countries in Africa prone to natural disasters, incorporate food into their response to domestic disasters	Half of the Sub-Saharan African National Societies have implemented food security programs with different degrees of support from PNS
National Red Cross Societies in Africa (Policy Context)	Ouagadougou Declaration (Fifth Pan African Conference)	Algiers Plan of Action (Sixth Pan African Conference)	Five year strategic framework on food security for Africa 2008-2012

Source: Annex III.C and IFRC 2007.

1.4 Final Evaluation Methods

The final evaluation of the ARC ICB has three principal purposes. The first is to satisfy the legal requirements of the Title II ICB grant. The second is to feed into the USAID/FFP meta-evaluation of ICB grants and to inform the development of the next generation of ICB Requests for Proposals. The third is to inform future programming of the American Red Cross, particularly as it relates to internal and partner capacity building in the context of food security with key aspects that are applicable to capacity building efforts in general. These three aims are achieved through assessment of the effectiveness, relevance, efficiency, cost-effectiveness, and sustainability of capacities promoted through the grant, highlighting achievements, and formulating recommendations for the remainder of the grant and for future ARC programming. These multiple objectives are spelled out in a detailed evaluation SOW (Annex VI).

The final evaluation used a variety of methods to determine the status of grant activities and accomplishments. These included:

- Document review (project deliverables, ICB documents and documents related to various partnerships);
- In-depth interviews with key informants from ARC's principal operational units in the International Services Department;
- Email and telephone interviews with:
 - IFRC collaborators in Geneva and various IFRC regional programs in Latin America, Southern Africa, and Asia,
 - Field representatives from some of the principal international partners with whom ARC has collaborated on activities that were supported (directly or indirectly) by the ICB (e.g., FAO and WFP); and
 - Various leaders in the National Societies of the Red Cross that were included in the pilot country programs (Indonesia, Lesotho, and Mozambique) and other ICB funded training and technical assistance (Viet Nam).

To harmonize the various email and phone interviews, the evaluators developed a series of "interview guides" (Table 1.3). These guides were developed in close collaboration with various ARC staff members who were involved in the design and execution of key components of the ICB. As such, the two week process of developing the guides provided an "iterative" interview process with these individuals as much as the actual interviews with the field personnel. A total of 50 persons were interviewed over a six week period, some more than once. This included a six-person focus group session at ARC headquarters, during which staff members were asked to review and provide comments on the forms. The major findings of the evaluation were reviewed, discussed, and amended during a debriefing session with ARC staff on December 18, 2007.

Della E. McMillan⁵ (external consultant) served as team leader. Leah A.J. Cohen (external consult) oversaw the collection and analysis of most of the interviews. Patricia McLaughlin, Director, Technical Assistance Unit, and ICB Coordinator served as the internal evaluation manager.

The remainder of the report is divided into the following five sections.

- Sections two and three describe (per IR1 and IR2, respectively) the ICB accomplishments to date, evidence of impact, as well as the major factors (both internal and external to ARC) that seem likely to affect the sustainability of these results.

⁵ Della E. McMillan is an associate research scientist in Anthropology at the University of Florida. She has 30 years experience in farming systems research and extension and food security programming in Sub-Saharan Africa. Leah A. J. Cohen is a geographer/anthropologists working as an independent consultant in Gainesville, Florida. In the last three years she has participated in the evaluation and design of various ICB-related products for several major Title II cooperating sponsors. She is currently the managing editor of the *Africare Food Security Review*.

- Section four reviews the project management and financial systems and examines strengths, weaknesses, opportunities and risks of this system for the current ICB grant, as well as future food security programs.
- Section five presents the major conclusions of the evaluation related to how the ICB activities have or have not increased capacity as defined by the four specific learning objectives and IPTT indicators that were set and revised during the ICB mid-term. This is followed by a series of recommendations for priority actions for the remaining eight months of the grant and some of the global lessons learned from the ARC ICB grant that USAID/FFP might wish to incorporate into future RFAs for Title II funded capacity building grants.

Table 1.3. List of Semi-Structured Interview Guides Developed during the Final Evaluation of the ARC ICB Grant

Form Number	Form Name	Number of Responses
1	General Capacity Assessment	10
2	Tools Assessment	21
3	Pilot Country Assessment	
	A. Indonesia	1
	B. Lesotho	3
	C. Mozambique	7
	D. Viet Nam	6
4	Regional Food Security Initiative with IFRC in Southern	3
5	Logic Software	3
6	Key Partnership Assessment	
	A. USAID/ICB	1
	B. WFP/ARC Collaboration	4
	C. FAO/ARC Collaboration (Livelihoods Project)	6
	D. ARC/CRS Collaboration	2
	E. Interaction (internal and external)	4
7	ERU Refresher Course	1

Source: Annex V.

2.0. Intermediate Result 1: ARC improves its institutional and technical capacity to design and manage food aid and nutrition interventions as an effective response to food insecure populations including people affected by emergencies

2.1. Output: 1.1. Enhanced ARC Technical Knowledge Base

The principal activities that were designed to achieve this output were focused on improved tools and training.

2.1.1. Improved Tools for Needs Assessment, Nutritional Surveillance, and Planning for Emergency Interventions

2.1.1.1. Tools Produced and Distributed: ARC's grant application identified five areas⁶ where ARC anticipated developing or using tools to build general capacity and the M&E systems for ARC's international programs. The proposal's emphasis on creating tools or consolidating existing tools was very much in the spirit of the ICB Request for Assistance (RFA), which gave priority to grants that would develop tools that could be used by other Title II cooperating sponsors. Even with the delays caused by the Tsunami and the massive relief effort of ARC, the ICB has overseen the development, revision, and/or consolidation of 16 documents that respond to some of the broad cross-cutting areas where ARC was attempting to build capacity. This includes (Table 2.1):

- Various handouts and simple training tools that teach basic food security concepts (what they refer to as Food Security Basics);
- A series of revisions in the Integrated Planning Process (IPP) Handbook,
- Two major revisions of the ARC Emergency Response Unit Training Manual (for International Volunteers);
- The development of a new software package for warehouse management (LOGIC); and
- A series of training modules on M&E and Reporting (done jointly with CRS).

ARC did not finalize all of the tools it originally envisioned developing and sharing with other CSs, but it did make considerable progress in finalizing and draft a number of them. Specifically:

- Eleven of the 16 tools were reported to USAID as "official" tools that were finalized and/or likely to be finalized (see the official Arielle reporting format, Annex I.A);
- Nine of the 11 official tools are being or are likely to be shared with other CSs (56%);
- Seven of the 9 official tools (78%) being shared with the other Title II CSs were developed jointly with CRS;

⁶ These tools were expected to be in five areas (ARC 2003: 12-13): (1) training module for emergency field workers; (2) Emergency Handbook, Personal Digital Assistant Technology; (3) Humanitarian Logistics Software; (4) a tool basket of emergency indicators; and (5) a series of monitoring and evaluation modules.

Table 2.1. Tools Developed Under the ARC/ICB Grant for Internal and External Audiences, FY03-FY08

Tool/Training Modules	Counted as an ICB Tool in Reporting to USAID (Annex III.A)	Draft Pilot Tested	Internal Audience-Red Cross	External Audience-Other Title II CS's	Public Website	Short Summary Exists	National Societies Using
ARC/CRS M&E Series							
Success and Learning Story Packet (06/06)	X	X	X	X	CRS & ARC	Yes	No
Planning for High Quality Delivery of Capacity Building Services (06/06)	X	X	X	X	CRS & ARC	Yes	No
Preparing for Evaluation (06/06)	X	X	X	X	CRS & ARC	Yes	Extensive undocumented use
Hiring M&E Field Staff (07/08)*	X	X	X	X	CRS	Yes	No
Editing Human Interest (07/08)*	X	X	X	X	CRS	Yes	No
IP/TI Module (07/08)*	X	X	X	X	CRS 08	Yes	No
Log Frame to M&E Plan (07/08)	X	X	X	X	ARC 08	Yes	No
Additional Tools							
Integrated Planning Process Handbook (IPP)	X	X	X	X	ARC	Yes	IFRC, ONS, & ARC/HQ worldwide
RFP Solicitation Packet for Humanitarian Software	X	X	X	X	ARC	Yes	IFRC worldwide
Logic Warehouse Software	X	X	FY08 ⁷	No		No	
ERU Training manual (revised 06-uploaded 07)	X	X	X	No	ARC Internal only	No	Yes (has been used to train National Societies to develop their own ERUs)
Evaluation of WFP-ARC partnership	No	Reviewed	X	No		Ex. Summary	No
ABCC (Appreciative Inquiry for Behavior Change and Communication) (AED)	No		X			No	Indonesia only
Food Security Fact Sheet	No	X	X	X	ARC	X	No
Case studies	Not yet developed	X	No	No	No	No	No

* Revised IPP Sections (Adapted for the Tsunami TRP Program, i.e. proposal guidance, also for IP)

⁷ This software has not yet been widely within ARC. It is being rolled out first to IFRC supply centers and being pilot tested in Panama only. IFRC said they are sure NS may get hold of it but they are being careful not to provide it yet so they can do adequate and appropriate trainings and support this effort first. IFRC is withholding a more widespread distribution until it has worked out all of the "kinks" and is creating a self-tutorial that will be bundled with the software to provide appropriate training to those who get the software.

- Two of the most important tools (the Logistics software and WFP/ARC Partnership Evaluation) were primarily designed for an internal ARC, IFRC, and NS audience; however the RFP (Request for Proposal) used in the software development has been shared with Catholic Relief Services (CRS) and offered through the ICB toolkit coordination mechanism (that is being developed by Mercy Corps and FHI) and the WFP-ARC evaluation was shared with the Chief Technical Officer for the ICB grant; and
- Another important tool (the WFP/ARC Partnership Evaluation) is available on the internal ARC/IFRC drive and is the joint property of both partners.

2.1.1.2. The ARC/CRS Joint M&E Series: The development of the M&E field-friendly modules series is one of the main avenues intended to increase technical capacity of ARC staff and has also been a key component in increasing collaboration with other PVOs (in this case CRS) in design and management of food and nutrition interventions. The initial agreement that grew out of each partner's ICB proposal anticipated the production of 10 field-friendly modules. These modules were designed to fill known gaps in the basic Food Security M&E resource literature. Table 3.3 shows the progress made on development of these modules during the life of the grant. As of December of 2007, three modules have been completed in final form after several revisions and comments from an extensive review and pilot testing process internal and external to the two organizations. Drafts of four others exist and have been distributed to ARC and CRS staff for review and comment. Until FY07 the principal mechanism for distributing the modules was through the CRS website and ARC staff that were directly involved in producing or editing the different modules. Earlier attempts were made to post the modules on the Interaction website, but the documents were difficult, if not impossible, to access. In early FY07 three of the modules were posted on the ARC public website, and have been available since 2006 on the network neighborhood, ARC's intranet site for field staff.

ARC is noted by CRS as having brought excellent M&E technical know-how to the table in this collaboration and the relationship between the two organizations has been positive, fair, and open, with a shared sense of purpose. While it takes longer to undergo activities in this collaborative manner, the potential to reach a wider audience is greater and worth the effort (Sharrock, interview, 2007). There was an overwhelming sense from respondent's comments that these documents are in high demand and will fill a gap in user-friendly M&E guidance documents across many ARC departments.

The chief weaknesses of the modules that were highlighted in interviews were that:

- Some of the modules may be too long to be truly "field-friendly" (Sharrock, interview, 2007);
- The modules were not posted on either the ARC or CRS public webpage until after mid-term, which made it more difficult for outsiders to find them or come in contact with them when browsing the sites (the completed modules are posted now) (Table 2.1); and
- Distribution of these modules within ARC is poor with well less than half of interviewed ARC staff even knowing that they exist (Table 2.2).

The principal risks to sustaining the results of this set of ICB deliverables are:

- That due to the length of the modules that will be posted, ARC field staff will shy away from using them;
- If these modules are not adequately distributed and reinforced by trainings, their utility will be minimal; and
- The long period needed for field review and revision before producing a final draft that is posted (Table 2.2).

CRS has responded to the critique that the M&E manuals are too long by developing a series of “shortcuts.” The “shortcuts” (short versions) of the ARC-CRS M&E modules are an excellent opportunity to increase program understanding and use of the modules. CRS is providing copies of these shortcuts to ARC, given them an opportunity to distribute these more concise modules when appropriate.

2.1.1.3. Integrated Planning Process (IPP) Handbook: The IPP Handbook was developed under the ISA and revised under the ICB. The IPP was the best known of all the ICB developed tools with 67 percent of the interviewees at ARC reporting they had

Table 2.2. Progress Made on Development of the ICB Sponsored ARC/CRS M&E Modules

M&E Module	FY04	FY05	FY06	FY07	FY08	Percentage of ARC Staff Interviewed who know of Module* (n=21)
Success and Learning Stories Package	Draft produced	Revision	Finalized Posted	Posted on CRS and ARC website		45%
Capacity Building Guidance			Finalized Posted	Posted on CRS and ARC website		25%
Hiring M&E Field Staff	Draft produced		Revision	Final edits and production		15%
Preparing for the Evaluation		Draft Produced	Finalized Posted	Posted on CRS and ARC website		35%
Editing Human Interest						Not yet completed
IPTT Module			Draft produced			Not yet completed
Log Frame to M&E Plan					Draft	38%

*ICB Final Evaluation Survey, November 2007.

heard of this tool. Although precise figures are lacking, there is clear evidence that the tool is being used extensively throughout the Federation, as well as in a large number of ARC programs. As a result of its widespread dissemination, this tool received the most comments on its value, impact, and recommendations.

One major strength of the IPP module was that it was extensively reviewed throughout the ARC/HQ and ARC's field programs during development. It is also the only ARC ICB tool that included focused training. More than 130 HQ and field staff were trained in the IPP methodology under the ISA; another 50 were trained in year three and five in year four of the ICB (Annex I). Another strength was that the IPP was always intended to be a living document that the ARC continued to update. Continued revisions included better adapting some of the IPP materials for use during the Tsunami emergency and relief programs.

The current version of the IPP Handbook is the lynchpin of ARC's international program planning process. The Federation based its Project Planning tool on the IPP and it has now become the official tool of the Movement worldwide. There is a legitimate concern, however, among some of the IPP's most fervent advocates that some of the institutional knowledge about how to use the IPP is already "washing out." This perception was confirmed from the final evaluation survey which showed that only 67 percent (while the highest relative score is not even $\frac{3}{4}$ of the staff interviewed) of the HQ staff had ever heard of the tool, even though the Tsunami Recovery Program (TRP) now has 77 active programs that were written to the IPP guidelines (Table 2.3). During the remaining eight months of the grant ARC needs to include a brief summary of the IPP and how it can be used as part of a more general, "user friendly" bibliography that describes the different tools and how they can be used.

2.1.1.4. LOGIC: The LOGISTIC (LOGIC) warehouse management software (the RFP for this was developed by IFRC with the secondment of Ben Kim to the IFRC for this purpose) is currently in the pilot phase in Panama and IFRC has conducted trainings to make all three regional center logistical units (Panama, Dubai, and Kuala Lumpur) operational. Trainings are currently expanding to next level of regional stockholding units.

At present time, the demand is high for this warehouse management software and IFRC is getting many requests for and interest in the software. IFRC sees this as bringing the warehouse management for individual regional centers, as well as oversight of warehouse stockholdings to a new level, by standardizing reporting, facilitating training, and bring all warehouse staff to the same playing field. This software system has the potential to make immense improvements to a system that was previously unharmonized with varying levels of reporting and different tracking and reporting formats (e.g., manually entered stock cards, excel spreadsheets, access data base files, and outsourcing management of warehouse stocks). The respondents cited a number of factors that contributed to the successful development of the warehouse management software.

- First, this project was adequately funded (compared to the typical pattern of partially or under funded projects of this nature) meaning that there are sufficient

Table 2.3. Progress Made on Development of Other ARC Tools and Training Modules over Life of ICB Grant

Tool/Module	FY04	FY05	FY06	FY07	FY08	ARC Staff Interviewed Aware of Tool/Module* (n=21)
Integrated Project Planning	consultancy to revise handbook and training materials	Revision complete Specialized guidance developed on proposal writing for Tsunami; Two staff trained in needs assessment before emergency deployment	Specialized guidance revised (Tsunami funds); 20 HQ staff trained for five days; 37 field staff trained for 5 days in two workshops (4 staff conducted trainings)	Training conducted informally through M&E staff in field	Project design training materials/method revised; Project design training for HQ staff	67%
RFP for humanitarian software (LOGIC warehouse; pipeline; and distribution)			RFP designed and put out to bid	Bids scored, software IFRC executed LOGIC pilot in Panama; Trainings completed Swiss, Spanish, British, French, and Danish red cross	IFRC LOGIC trainings executed in Kuala Lumpur (3 sites operational) and Dubai (becoming operational)	30%
ERU training manual			Revised	Finalized		40%
ERC Refresher food security materials						25%
Evaluation of WFP-Arc partnership (not paid for by the ICB)				Finalized		40%
ABCC						15%

funds to initiate and complete training in the software and to provide adequate technical support to those trained.

- Second, this project was also adequately resourced through the work that Ben Kim of ARC did when at IFRC related to developing the RFP for LOGIC software and developing systems for managing it. His work has reported had a positive impact beyond just application to this warehouse management system. IFRC now has a stable system for developing blueprints for projects to reduce risk, systems for ensuring and monitoring budget and time requirements, and delivering business products. Despite initial kinks identified during implementation of the first versions of the software in Panama; it is considered to be an improvement from the prior warehouse management system in that it “facilitates standardization of the processes, reports, and coordination within the Red Cross movement” (Galvez, survey, 2007).

IFRC is already planning development of computer-based training modules that may be bundled with the software and will serve as stand-alone training for National Societies once it has been released to this level, as well as translation of the software into other languages. Additional recommendations from the pilot project in Panama include improving the user-friendly interface; offering LOGIC trainings (including perhaps an email or electronic version of a training exercise for delegates to refresh their knowledge of the system since they only use it when deployed on a mission); dedicated FTP server space (an issue already being considered by IFRC); and marketing strategies that might include success cases comparing the old system with LOGIC, brochures, and newsletter reports. The principle weakness cited (by one respondent) was a harsh critique of the vendor. There were also several delays in LOGIC project kickoff.

2.1.1.5. ERU (Emergency Response Unit) Training Manual: The American Red Cross is first and foremost focused on disaster response and preparedness. Like any disaster preparedness or reserve military organization, ARC has developed a series of internal training manuals and regular course offerings that help them prepare staff and volunteers. The ARC Emergency Response Unit Training Manual was the basis for the official IFRC Emergency Response Unit Field Manual (posted on the ARC website) and used throughout the Movement. A similar training model is used at every level of the Red Cross Movement throughout the world. The ERU field manual is a tool for *the operation of a relief distribution unit*. It is NOT the vulnerability and capacity assessment tool used for community based preparedness programs. However, any long-range attempt to move the Red Cross towards a broader concept of risk mitigation and disaster recovery will require additional revision of the training manual. This type of curricula revision is a long-term process because it requires four levels of change.

- First, there must be a perceived need for change by the organizational leaders for disaster management and response.
- Second, there must be some incentive to change (such as increased funding for risk mitigation and community based initiatives to address some of the route causes of slow onset disasters and/or recurrent risks [like drought or flooding]).
- Third, the basic curricula and training courses need to be expanded in ways that will help volunteers (and the programs they serve) take better account of ways

that relief and disaster recovery programs can better protect the livelihoods and assets that communities need to rebuild and manage future risks.

- Fourth, for this change to be sustained it needs to be linked to creation of a feedback mechanism that allows administrators to see how the proposed changes assisted emergency programs help national red cross societies reduce risk or respond more effectively.

The first step to this type of long-range curricula change occurred when the ICB supported the cost of participation of one of the IDR members in an evaluation of the Sri Lanka emergency response (Box 2.1 below). Based on this experience the IDR specialist revised several sections of the ERU manual—most notably the part on beneficiary targeting.⁸ The most recent revision of the manual was used during the internal ERU training in October 2007. This training also piloted an entire section focused on food management and risk mitigation that is not yet part of the manual.⁹ The revised manual has recently been posted on the IFRC/RCS main website where it is accessible to Red Cross societies throughout the world.

2.1.1.6. WFP-ARC Partnership Evaluation: WFP and ARC came together in a partnership to respond to the Tsunami disaster that struck in December 2004. A comprehensive external evaluation was conducted between January and June of 2007 that resulted in a report (Girerd-Barclay 2007¹⁰) summarizing the partnership from both WFP and ARC perspectives, major lessons learned, and recommendation for future partnerships. The evaluation was heralded as a landmark and an example of “best practice” that could be used to analyze other partnerships for emergency and non-emergency programming. This report has now been distributed as a tool for learning about this magnitude of partnership and 40 percent of ARC staff surveyed know of the evaluation report. The report is an internal document however, for an internal ARC audience. Although this document is relevant to the ICB (as a document that describes the lessons learned from the ARC-WFP partnership) it was not paid for with ICB funds.

2.1.2. Training

Training was always an important focus of ARC’s ICB grant. It was a “transversal” activity that was expected to achieve the grant’s objectives for headquarter and national society level capacity building. The initial focus was largely on formal training programs for headquarters and field staff through: (a) organization of formal training programs on specific themes; (b) organization of workshops on priority themes, such as emergency indicators; (c) organization of a food security brown bag series to bring together international staff; and (d) financial support of staff attending various external workshops and capacity building activities (Annex III.B).

⁸ The ICB paid the cost of her participation in the evaluation not the cost of the revision.

⁹ Some staff time for the revision was charged directly to the ICB.

¹⁰ Girerd-Barclay, Ellen. 2007. Evaluation of American Red Cross-World Food Programme Tsunami Relief Operation Partnership: Final Report. Washington DC: Academy for Educational Development.

The vast majority of the formal in house training programs that the original grant proposal envisioned for FY04 and FY04 were never executed. Some of the funds slated for training were used to pay for HQ and field staff to attend training workshops and to fund “non-traditional” training of key emergency staff. One example of this type of non-traditional training funding was when ICB funds were used to pay the costs of IDR disaster specialist, Tracy Reines, to accompany the M&E specialist on a needs assessment mission in Sri Lanka that contributed to the revision of the ERU manual described above.

Box 2.1: Reflections on the Impact of a Joint International Disaster Response and Technical Assistance Unit Internal Evaluation of an Emergency Relief Program in Sri Lanka Facilitated by the ICB

This work—emergency response work—does not lend itself to reflection or revisiting both because of time constraints and because it is often such an intense experience that people don’t have the energy to look back. This experience [in Sri Lanka] let us go back and reassess what we did—beneficiary input, transition out of emergencies, etc. It gave us a chance to look deeply into these issues. Because I participated in the evaluation and am still working here, it has helped us to actually implement some of the recommendations. It gave us a chance to reflect and to put that reflection to good use in a real way. It confirmed things for us and it highlighted the need for quality in emergency response.

Source: Interview, Tracy Reines, IDR/ARC, September, 2006 cited in McMillan and Tingbo 2006: 20.

Based on recommendations made during the ICB mid-term evaluation, ARC reallocated many of the un-spent funds for training into other types of capacity building (Annex III.B), including the new position (that was created) for a regional food security advisor to be based in southern Africa to work throughout the region, but especially in the Mozambique and Lesotho pilot programs. Since being posted to Lesotho in October 2006, the regional food security advisor has provided extensive technical backstopping for the Lesotho Red Cross societies, as well as one-on-one technical backstopping and training for eight programs in the region. Mozambique has had less support until recently. The net impact of this training has been a substantial increase in the quality of the eight NS food security strategies that were presented at the first all-program regional food security programming IFRC workshop for southern Africa (see Section 3.0).

Other non-traditional types of capacity building included a “regional” study tour for the new IDR director (Tracy Reines) and ISD director (Nan Buzard) to observe the ICB-sponsored capacity building in southern Africa and to meet with the senior food security advisor for the IFRC in Geneva.

A third non-traditional training (not envisioned in the original proposal) was realized through presentations by the ARC southern African food security advisor (paid for under the ICB) on the basic principles of food security and the concept of risk management at the ARC-sponsored international ERU (Emergency Relief Unit) trainings in September 2007 and at the RDRT (Regional Disaster Response Team) training for southern Africa in August 2007. In the case of the southern Africa, the RDRT training seems to have strengthened the staff (who are often national leaders for emergency preparedness in their home countries) commitment to the new national food security strategies (Alywar,

interview, 2007). While ARC is unlikely to see any sort of immediate impact from expanding the food security component of the ERU training, the fact that the training module was included in the ERU refresher training is part of a broader shift in ARC's emergency relief model that has several demonstrated linkages (both direct and indirect) to the ICB.

In addition to the formal training, the ICB supported a large amount of "non-traditional" informal training and mentoring by staff on technical assignments (Annex III.B).

2.2. Output 1.2: Enhance Collaboration between the ARC and other PVOs in the Design and Management of Food and Nutrition Interventions in Emergencies and Risks Mitigation Environment

ARC's comparative advantage lies in its extensive volunteer network, "surge capacity" in disasters, and "brand recognition." While these advantages are well adapted to quick responses to disasters, they are less well adapted to more complex technical support that is needed for risk management and addressing the root causes of slow onset disasters such as flood and HIV/AIDS. For this reason, ARC has anticipated the need for building its capacity to negotiate and manage complex partnerships with other international NGOs that have these skills. This increased capacity to **manage partnerships** was deemed a critical output for attainment of IR1.

When the ICB proposal was written, ARC anticipated having at least two Title II programs that would be executed with other Title II CS PVO partners, one that focused on a long-term collaboration with CRS and another that focused on a series of applied research partners. The original indicators for this output were designed to track these partnerships.¹¹

Between FY03 (when the grant was designed) and the end of FY06 (when the mid-term was conducted), ARC had dramatically increased its interest and willingness to engage in technical partnerships as both a grantee and sub-contractor, and even as a donor (Annex I) with a much wider range of **technical and food security institutions** (including the World Food Programme [WFP], Food and Agriculture Organization [FAO], and United States Department of Agriculture [USDA]). While the original indicators may have been useful when the project was designed (and had fewer partnerships) the current scale of partnerships has become so large that it is difficult to track items such as the "# of repeat collaborations." In the current context, it is more useful to discuss:

¹¹ **Original Indicators (ARC ICB Proposal):** Impact Indicator 1: # of repeat collaborations (any type);
Impact Indicator 2: # of sources of internal funding for collaboration;
Monitoring Indicator 1: # of organizations involved in collaborations;
Monitoring Indicator 2: Types of collaborations (e.g., proposals, TA, training, evaluations, conferences);
Monitoring Indicator 3: # of collaborations;
Monitoring Indicator 4: # of lessons learned from the collaborations developed.
Monitoring Indicator 5: % lessons learned disseminated outside of partner organizations.

- The impact of various ICB-funded activities on building and orienting these different categories of partnership;
- The strengths, weaknesses, opportunities, and risks of these results (in terms of increased partnerships) and whether they can be sustained beyond the duration of the ICB; and
- Various recommendations (short-term and long-term) for strengthening sustainability and applying lessons learned from this experience for USAID/FFP and the other Title II CSs, as well as ARC and the IFRC

Given the initial focus of the ICB on building capacity for Title II PVO CS partners, the analysis starts with these initial partners and then moves to the new technical partners with whom ARC worked under its ICB.

2.2.1. NGO Partners

2.2.1.1. Collaboration with Individual Title II Cooperating Sponsors in Title II Program Design: ARC was one of several international organizations and PVOs in the consortium (including the Center for Disease Control [CDC], Counterpart International, Save the Children, and Mercy Corps) that designed the Title II program for Tajikistan, for which funding was withdrawn. ARC was also one of the organizations in the consortium (including CRS, CARE, Africare, Save the Children, Salvation Army, and World Vision) for Malawi, where ARC withdrew when total funding for the project was reduced. Even though ARC was forced to withdraw from the Title II consortium in Malawi, the training provided by ARC senior M&E advisor (whose participation was funded through the ICB) played a key role in determining the final design of the consortium's M&E system. Although ARC's involvement in these grants did not come to fruition, the fact that they were willing to even discuss the partnerships marks a major shift in ARC's thinking about its transition and recovery programs. The aborted MYAPs, combined with dramatic new partnership with WFP during the Tsunami, led ARC to request and receive permission from USAID/FFP office to focus more of its capacity building on its activities with WFP rather than just the Title II CSs.

2.2.1.2. Collaboration with the Wider Title II CS Community through the Interaction Evaluation Interest Group (EIG). The ARC/ICB mid-term highlighted collaboration between Title II cooperating sponsors and Interaction as one of the interesting new partnerships that developed during this cycle of Title II sponsored ICB grants (FY04-FY08). Since the Food Aid Management (FAM) project, which was funded by Title II as part of its ISA grant, terminated at the end of FY03, EIG has taken over some of the functions once played by the FAM M&E working group. Especially important, EIG created one of the main forums for international PVOs, such as ARC, to share lessons learned from various ICB supported applied research and capacity building efforts. These lessons learned were shared during their regular meetings (an average of six per year), as well as the annual EIG roundtable that is organized annually just prior to the American Evaluation Association (AEA) annual meetings. ARC has used some of its ICB funds to support some of the staff time and logistical support needed to (Annex I):

- Organize regular EIG meetings at ARC headquarters office in Washington (an average of one meeting every other month in FY05 and FY06¹²);
- Present papers that summarize lessons learned about the different tools developed under the ICB at the EIG annual roundtables; and
- Support one staff member's participation in an Effectiveness Task Force that was charged with developing an Interaction policy for the Interaction Board focused on "Demonstrating NGO Effectiveness,"¹³ which eventually contributed to the "self-certification plus" process that was adopted by Interaction.

The sustainability of these results is enhanced by the groups' association with Interaction. In 2007, the EIG working group and Effectiveness Task Force merged into a single group which now meets at the Interaction office. There is a regular series of talks on M&E. The group also continues to "backstop" a series of special training workshops and presentations by NGOs at the Annual Meetings of the American Evaluation Association (AEA). The self-certification process has now been "mainstreamed" and is conducted annually.

2.2.1.3. Collaboration with CRS in the Title II M&E Module Series. Traditionally, ARC has followed the tendency of most relief organizations to conduct only the most cursory sorts of monitoring and evaluation of its emergency operations. While this trend has improved in recent years, in general, the "relief" world is far behind the "development" world in identifying ways to track local level impact of their activities. For this reason, ARC was very interested in partnering with another Title II Cooperating Sponsor (CRS) that had significant experience in development M&E, as well as M&E for emergencies. The output of this partnership has been a series of field-friendly M&E modules (a total of ten were planned). Three of the modules were distributed in FY06; the other modules are scheduled for finalization and distribution in FY07 and FY08 (see Table 2.3 above).

CRS noted in qualitative interviews that the technical expertise brought by ARC to this collaboration has been excellent in terms of M&E. The potential for these modules to be widely distributed and reach a wide audience is greater given participation by both these organization. However, collaboration of this sort where review, comments, and oversight of each document must go thorough the hierarchy of two organizations means that the process of developing the modules takes longer. The delay is noted and acceptable by CRS, given the benefit of collaborating. CRS has taken the lead on the majority of the documents, but ARC has taken the lead and/or sponsored the co-author on several of the modules (i.e., Preparing for the Evaluation and Guidelines for the Use of IPTT).

¹² The number of meetings actually hosted, as well as the timing, can vary slightly since the group tends to organize its activities around other events, such as the annual meetings of the American Evaluation Association and Interaction. Five EIG meetings were organized at ARC Headquarters in FY05 and five meetings in FY06 (Source EIG, Interaction project records).

¹³ Various NGO representatives (from CARE, FHI, Action Aid, and others) as well as Pat McLaughlin drafted/edited the policy paper which was eventually passed. This self-certification plus was used the first time last year with the NGOs annual reports to Interaction (due December 2005). It is anticipated that the certification will increase NGO standards and guidance for M&E.

The main weaknesses of this series is that many staff still report that they are unaware of the modules even though copies were sent to their offices and in many cases to them as individuals. This is a basic problem with the ICB RFA capacity building strategy, which focused heavily on disseminating “tools” by email or websites. Despite this, it is clear from the quality of the modules and the extent to which many ARC, CRS, and Aficare programs have used them that this type of partnership with a “development” NGO has been a success and should be emulated in the future. Tracking systems should be in place to monitor the increase in exposure as a result of such collaborations as they are clearly shining examples of the value added of Title II facilitated inter-NGO collaboration.

Several comments from ARC staff interviewed related to the need to improve user-ship of these tools and manuals, including improved or more frequent trainings and refresher courses and better dissemination of the tools and modules.

1. One element of this should be the development of an M&E webpage (accessible from the International Services homepage) (http://www.redcross.org/services/intl/0,1082,0_230_00.html#DESIGN that will make accessible all the finalized M&E modules produced under this grant and those that will be produced in the future. This distribution plan should also include a mechanism for tracking use of the modules by departments and by other PVOs and cooperating sponsors.
2. The mid-term evaluation conducted for CRS resulted in the critique that these field-friendly M&E documents need to be condensed to be truly “field-friendly.” CRS is responding to this critique by developing a “short-cuts” series that will condense each module to 4-5 pages. In response to this ARC should not create their own shortened versions of these same documents produced with CRS. Rather, ARC should ensure that ARC staff has knowledge of and access to the CRS short-cuts series when distributing the longer ARC/CRS versions. If there are any ARC-produced documents in this series that CRS is not planning to convert into short-cuts, ARC should take on the task of converting them into more concise field-friendly versions themselves and should distribute this to CRS as well as ARC staff. Furthermore, this lesson learned should be noted for any future field-friendly module series designs.
3. Several respondents have specifically asked for hands-on trainings in some of the topics covered by the modules). Included under this is the need to assess the reach of these modules

2.2.1.4. Collaboration with Major International Research Centers for Applied Research and Training. During FY04, ARC worked with the Feinstein Institute to organize a “Food University.” Two years later, the resulting lectures were probably the single most direct impact that staff in the IDR and IP units reported as building their personal capacity to work with food programming. Additionally, ARC’s collaboration with the Fritz Institute (in Arizona) was critical to the development and initial pilot testing of the Humanitarian Logistics Software.

2.2.2. New Institutional Partnerships

2.2.2.1. ARC-WFP. A second new partnership that was not envisioned in the proposal emerged when ARC became a donor charged with execution of various sub-components of the \$570 million donated to ARC for Tsunami disaster and recovery relief. The food security component of this assistance (\$65 million) was routed through the World Food Programme; other components were executed through signed contracts with the World Wildlife Fund, Mercy Corps, FAO, International Organization for Migration (IOM) and Plan International and Community Habitat Finance International (CHF) among others..

There is qualitative evidence (from group interviews and individual interviews during the mid-term and final ICB evaluations) that the technical backstopping of ARC staff (many of whom were trained and/or had all or part of their salaries paid by the ICB grant) helped enhance WFP's emergency response planning. Especially important was the ARC Technical Assistance Unit's (TAU) technical assistance and use of specific tools¹⁴ and staff¹⁵ to build WFP's capacity to manage the dramatic "surge" in food programming that accompanied Tsunami emergency and recovery programs.

An independent evaluation of the partnership was conducted between January and June of 2007 and the report reflected an assessment of the partnership's strengths and weaknesses from the evaluator's perspective, as well as those of WFP and ARC (Box 2.2). The evaluation contends that the principal problems in the partnership were related to major differences in the ARC and WFP protocols for reporting and accountability, which is not surprising given the historic differences between the two organizations. The evaluation concludes that the implementation of the food aid component of ARC's assistance was very successful. The fact that WFP and ARC have since committed to assessing the issues that came up during the partnership and are currently acting on the recommendations to improve the partnership is commendable. One of the main consequences of assessing the partnership is that a dialogue has opened up between the headquarter offices of both ARC and WFP (whereas during the emergency interaction communication was mostly at the level of country office to country office). This dialogue has resulted in both organizations agreeing to develop a new headquarter-level template that outlines the details of any future partnerships on emergency response. This means that that once an emergency hits, only the details will need to be



The World Food Programme became a partner of ARC after the Tsunami distributing \$65 million worth of food aid in affected areas. Photo credit: Rein Skullerud, WFP.

¹⁴ These tools included the IPP module, the revised IPP proposal guidance (which was adapted to the Tsunami context), and the ARC/CRS M&E modules.

¹⁵ Especially important was the secondment of one of the NHQ (National Headquarters) senior associate for food programming in the former TAPE unit [now TAU] to WFP.

filled in since the expectations on reporting and communications will have already been worked out and will be known by both partners. This is an excellent achievement that will facilitate smoother future collaborations between ARC and WFP and represents foresight that will allow ARC to take advantage of future opportunities for partnerships. In addition, this template-based system for collaborating during emergencies can be used in other partnerships when needed and should be used as a guide for such arrangement, once it is finalized.

Box 2.2: Lessons Learned and SWOT of the ARC-FAO (with WWF as Environmental Advisor to ARC) Collaboration

Lessons Learned:

- The need for early inclusion of long-term development objectives into emergency and rehabilitation projects, especially with respect to natural resource-dependent livelihoods because of the critical requirement to maintain or enhance the natural resource base;
- After a disaster, the need to carefully plan the transition from the humanitarian to the development phases, when actors and funding sources are changing and to fill in livelihood recovery gaps and avoid leaving the affected population unassisted;
- Making appropriate use of the extensive technical know-how of UN specialized agencies (e.g., FAO is the specialized technical agency for food, agriculture, fisheries, and forestry related issues); and
- The need to balance physical rehabilitation efforts in terms of equipment and materials (replacement of lost livelihood assets), with capacity-building efforts in terms of planning and coordination capacities, dissemination of innovative methods and processes, and bringing about sustainable changes in attitudes and behavior.

Strengths:

- Long-term focus on sustainable livelihoods and capacity building; participatory approach to planning and implementation;
- Excellent support at all levels;
- Sound M&E plan; and
- Strong partnerships with good understanding and support for objectives.

Weaknesses:

- Complexity of project in terms of the geographical areas and subject matter covered;
- Lack of local ownership (still regarded as a donor project); and
- Short time frame if grant to successfully bring about behavioral changes.

Opportunities:

- New [integrated] outlook [on post-recovery development] may be more successful in changing attitude and behaviors;
- Unique opportunity to introduce sustainable fisheries and aquaculture management practices before typical problems arise;
- High [local] demand for new [technical] knowledge after being isolated in the region; and
- Project contributes to balanced economy and social development.

Risks:

- Weak sense of local ownership (still perceived of as a donor program);
- Community participation is less than expected (incorrect expectations after emergency response work); and
- Inadequate networking with other organizations/actors and changing behaviors and the success of the project depend highly on factors outside control of project (i.e., political stability).

Sources: Interviews October-November 2007.

2.2.2. *ARC-FAO*. ARC has initiated for the first time a partnership with the Food and Agriculture Organization (FAO) (with participation from World Wildlife Foundation as an Environmental Advisor to ARC) by funding a project that began in January of 2007 under which FAO is addressing rehabilitation and development of fisheries and aquaculture livelihood systems in the Tsunami-affected areas. The intent is to provide a way to rehabilitate these livelihood systems for people affected by the Tsunami, in a sustainable manner, to guard against pollution and over-fishing and protect eco-sensitive areas. This project is designed to have a post-harvest component dealing with processing and preservation of products by observing sanitary practices that minimize food contamination risks to human health. This project's focus acknowledges the fact that protecting the resource base through sustainable fisheries and aquaculture is important for creating livelihood systems that will continue to support a large number of people.

ARC/WWF participated in the project identification mission in September of 2005, they provided input into design of the design workshop in December of 2005; participated in the pre-inception preparation meeting in September of 2006 and planning for the project inception phase; and also attended and participated in two broad-based participatory stakeholder workshops. The formal proposal submitted to ARC in April of 2006 was awarded in July of the same year and an agreement was finalized in January 2007. There followed a three month inception phase.

While the grant design was not an ICB product, it is clear that various ICB trainings and tools had a clear, direct and indirect impact on ARC staff capacity to broker this type of innovative new partnership with FAO and WWF (Box 2.3). FAO has been very satisfied with the guidance and assistance provided by ARC during the initial phases of the funding and implementation. The project design and M&E plan followed the guidelines provided by ARC and the project has adopted ARC's suggested quarterly reporting format.

Box 2.3: Direct and Indirect Impact of the ICB Sponsored Trainings on the Design of the ARC/FAO Livelihoods Project

Ilisa Gertner (who started her work as a Fellow in the ARC Food Unit) highlighted three areas where she felt the ICB grant had a major direct or indirect impact on the formulation of the project. Specifically:

- The ICB sponsored training she received on the Integrated Planning Process and M&E helped her work with FAO and WWF to improve the project design and M&E system;
- The early ICB sponsored reflection (within the International Services Department) on the types of capacity building that would be needed to execute the ICB pilot country programs (during the first year of the ICB grant) played a very strong role in the participatory methodologies that the FAO project has incorporated; and
- Her experiences gave her "the confidence and critical eye for partnership management" of post-recovery development interventions.

Source: Gertner, interview, 2007.

2.3. Output 1.3: Established Support Material for Promoting the Importance and Need for Food in International Emergency Responses

2.3.1. Accomplishments (FY04-FY06)

At the request of USAID,¹⁶ ARC eliminated the concept of developing an “advocacy network” (which might be construed as self-serving), but retained the concept of promotional materials. With the support of the ARC Chapter International Support (CIS) unit, ARC designed a campaign to disseminate educational and promotional materials about the importance and need for food assistance in international emergency responses. ARC’s motivation for supporting this output was both internal and external. The results of this investment in terms of chapter use of the materials and website “hits” is described in the mid-term evaluation (McMillan and Tingbo 2006: 26).

While no targets were set for the first year, ARC invested heavily in the development of information featuring Africa and ARC’s bilateral emergency and non-emergency food programming for its public web site. This information was reinforced by (Annex I):

- Presentations and displays at annual meetings;
- Volunteer training courses that include a general orientation to international services; and
- Various regional meetings of ARC chapters for large catchment areas, including Des Moines, Los Angeles, and Chicago.

One important factor that contributed to ARC’s successful record in achieving this early output is the capacity of its Communication and Marketing department.

2.3.2. Accomplishments (FY07-FY08)

Based on recommendations from the mid-term ARC shifted the focus of the activities under this output to creating a web-based technical paper series and web page (ARC 2006: 28) and to posting and/or cross listing the various tools on its internal and external websites (Box 2.4). While technical papers are unlikely to appeal to the population to which the domestic chapter website is geared, they are important to certain audiences (e.g., other Title II CSs, other institutions working in the field of food security, and academics) that may wish to have a better understanding the types of technical assistance ARC provides to its international programs and the National Red Cross Societies it assists. The technical site is still under construction. In spite of this, the numbers reported by the marketing office are impressive (7,901 food article hits from October-August 2007, which will no doubt increase).

¹⁶ USAID funds cannot be used in ways that appear to advocate for increased tax payer contributions to USAID.

Box 2.4: ISA and ICB Tools Posted on the ARC Technical Website

- Relief Emergency Response Unit Field Manual [PDF]
- Integrated Planning Process
 - Environmental & Organizational Assessment (EOA) Guide [PDF]
 - Regional Strategic Planning [PDF]
 - Country Annual Plan Handbook [PDF]
 - Project Design and Proposal Writing [PDF]
- Capacity Building Guidance: Getting the Most from your Technical Assistance [PDF]
- Preparing for the evaluation [PDF]
- Success and Learning Story-Guidelines and tools for writing effective project impact reports [PDF]

2.4. Conclusions and Recommendations

2.4.1. Tools

Several of the ARC/CRS M&E training modules are being used extensively. At least two ICB related tool (the IPP Handbook and the Logistics software [LOGIC]) have had a *major* impact throughout the entire Red Cross Federation. A third tool—the ERU Training Manual—has the potential for increasing volunteers’ understanding of the need for a more broad-based consideration of food security issues in the design of emergency relief and response programs. There is also clear qualitative data that the other tools (e.g., the ARC/CRS M&E Series) are being used to improve the quality and impact of food security programming that is funded by different donors including Title II, WFP, and USDA. An extensive review process (internal and external) contributed to the final quality of the ARC/CRS M&E Series, the IPP Handbook, and the ERU Training Manual.

To date, however, the ability of ARC to track the end users or impact of this ICB investment in tools has been muted by the lack of a tracking system that focuses on: (a) National Society and bilateral demand for and use of tools, as well as (b) feedback from these users on the tools. This is a missed opportunity, as well as a potential risk, to future requests to donors (e.g., USAID) to fund new tools development.

The following factors affected and continued to affect the ability to document (and justify) the impact of tools or to encourage staff access to and use of the tools.

- a) The original project IPTT did not include an indicator that could track the capacities being built with individual tools or tool sets.
- b) ARC never prepared or distributed a bibliography that presented the different modules or training materials developed under the ISA or ICB for ARC, IFRC, or NS field staff and partners.
- c) Even though the tools were posted on the website and many staff received them, many staff members don’t remember being sent them or being told where to locate them on the internal and external ARC website.