International Red Cross and Red Crescent Movement

Cash transfer programming
Guidelines for mainstreaming and preparedness

International Federation
of Red Cross and Red Crescent Societies

ICRC

Cash transfer programming
Guidelines for mainstreaming and preparedness

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Introduction

It is widely recognized that cash transfer programming (CTP) can be effective in supporting populations affected by disasters or armed conflict in a manner that maintains dignity and choice for beneficiaries. Until recently the majority of at scale CTP has been implemented to meet recovery objectives. However, CTP can provide emergency, life-saving assistance while also supporting the recovery of local livelihoods, economies and markets. It has now been effectively used to respond in operations through blanket or targeted unconditional CTP to meet diverse immediate needs through such as emergency relief distributions or to meet specific sector outcomes in health, water and sanitation, shelter, livelihoods/food security, education and protection in emergency and early recovery responses.

As the humanitarian context evolves, CTP will increasingly be used in emergency response. Economies are monetized everywhere, and in most situations markets continue to function after a shock, or they recover fast, quickly making cash transfers relevant and feasible. The benefits of using cash have been well studied and documented across a wide range of different contexts, and a growing number of donors and National Societies are supportive of cash transfers.

If we hope to be able to deliver cash transfers at scale in an emergency, we need to invest in adequate preparedness and organizational mainstreaming of CTP. At the global level, the International Red Cross and Red Crescent Movement (the Movement) has already made significant investments to develop and institutionalize CTP procedures, systems and tools, and to mainstream cash transfers into global, regional and local tools for disaster response. At the same time, the Movement is working to institutionalize the strengthening of CTP preparedness at the country level and to build National Societies' capacities.

During 2012 and 2013, the International Federation of Red Cross and Red Crescent Societies (IFRC) secretariat supported an intensive pilot approach aimed at building CTP preparedness in four National Societies which were selected through a consultative process. Chile, the Philippines, Senegal and Viet Nam were selected to be part of this pilot initiative and the learning, good practice and recommendations of this study have created the foundation for this guidance, which includes examples from each pilot country.

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Why has this guidance been developed?

National Societies are increasingly requesting technical assistance and guidance to develop, mainstream and institutionalize CTP preparedness. The majority of National Societies have already established general preparedness and contingency plans. Activities within CTP preparedness projects should therefore be integrated into these plans, and activities should be complementary where possible, with the goal of mainstreaming CTP preparedness at National Society headquarter and branch levels.

Improved CTP preparedness and operational readiness

The goal of this guidance is to support National Societies in demonstrating improved capacity and operational readiness to provide scalable and timely emergency CTP. This will be achieved when a National Society has trained and experienced staff and volunteers who are familiar with its tools and procedures, use them efficiently, and contribute to their adaptation and improvement. Some of the desirable outcomes would be:

- A National Society has a CTP preparedness plan of action (PoA) that is properly budgeted, resourced, and has clear activities and outputs.
- A National Society achieves the specific outputs planned in their PoA. These outputs are tailored to address each National Society's unique opportunities and barriers, to be operationally ready to provide scalable emergency CTP.
- The National Society has a solid database of CTP trained and experienced staff and volunteers at headquarter and branch levels.
- CTP standard operating procedures (SOPs), systems and procedures are agreed, documented and widely available for all, training has been provided in their use and they are updated periodically or after each response, based on lessons learned.
- A National Society CTP toolkit has been developed, integrated with existing tools and shared with staff and volunteers (and with other humanitarian partners, in order to widen their knowledge, understanding and use). It is reviewed and updated as a result of ongoing preparedness and response actions.
- CTP communications materials are developed and widely available for National Society staff and volunteers to use and adapt.
- Learning from operations and responses is captured and procedures, tools and training materials are updated as necessary based on this learning.
- National Society CTP responses are coordinated both internally within the Movement and externally with other actors.

Box 1. National Society example – operational readiness developed by the Philippine Red Cross

Evidence shows that by building CTP preparedness and capacity a National Society can deliver effective and timely scaled up CTP emergency responses.

The most significant case – the 2013 Haiyan Typhoon response implemented by the Philippine Red Cross with support from the Movement's partners – reached an unprecedented scale for the Movement, with the response operation reaching more than 60,000 families with unconditional cash grants within the first four months. Monitoring data collected demonstrated the preference of the disaster affected population to receive this unconditional cash transfer in a timely manner to meet a wide range of needs including food, clothing, shelter, transport, education and health.

Investment into CTP preparedness was undoubtedly a contributing factor to the success of the Philippine Red Cross in designing and implementing this scale of programme to better meet humanitarian needs.

How should this guide be used?

This guidance has been structured to facilitate easy use by National Societies that wish to work on strengthening CTP preparedness prior to a disaster response.

This guidance broadly follows the structure of the IFRC's *Contingency planning guidance*,[1] to facilitate CTP preparedness efforts being integrated into existing contingency and preparedness planning processes.

Contingency planning aims to prepare a National Society to respond effectively to an emergency and as well as addressing the potential humanitarian impact. The *Contingency planning guidance* is presented in the five sections outlined in the diagram below, and this guidance follows the same path, but combines the five sections into three stages, as shown in figure 1.

Figure 1. Comparing the IFRC's Contingency planning guide with this guidance

Prepare → Analyse → Develop → Implement → Review

Prepare and analyse → Develop and implement → Review, learn and improve

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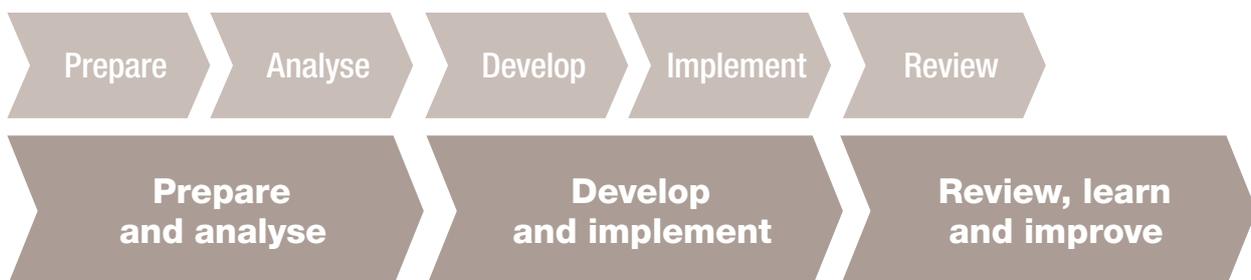
1 IFRC, *Contingency planning guide*, (Geneva, 2012)

Taken together, these stages support National Society operational CTP readiness. The three stages of the CTP guidance are as follows:

Prepare and analyse	supports a National Society to prepare a pre-disaster baseline through data collection and analysis, and to consider a range of different possible scenarios, agree on potential programming response options and the resources and capacities required. Any resource and capacity gaps identified in this stage from the basis of the CTP preparedness PoA.
Develop and implement	supports a National Society to test scenarios and develop further areas of preparedness to achieve operational readiness in order to implement CTP at scale. The implementation of the CTP preparedness PoA seeks to sustainably address the resource and capacity gaps identified that are critical to the operational readiness needed for the various scenarios.
Review, learn and improve	supports a National Society to monitor activities, learn lessons and ensure learning and review inform the above stages and the CTP capacity developed.

The process of CTP preparedness

Real operational readiness has a number of parallel aspects. To reflect this, this guidance is organized along four parallel tracks, each of which contributes to the operational readiness of the National Society. CTP mainstreaming and preparedness activities need to focus on all four tracks to develop operational readiness capacity, although prioritization of activities will depend on the National Society's own unique profile. The four tracks are:

- enabling systems for CTP preparedness
- programme tools for CTP preparedness
- resources and capacities for CTP preparedness
- communication and coordination for CTP preparedness.

A more detailed explanation of the four tracks can be found on the opposite page.

Figure 2. **The four parallel tracks that contribute to National Society CTP preparedness**

Track 1 – Enabling systems

Enabling systems form the environment where strategies, plans, systems and procedures support a rapid CTP response, similar in scale, timeframe and effectiveness to the more traditional in-kind distributions.

This includes incorporating CTP into National Society strategic plans, preparedness and contingency plans as well as developing, testing and approving organizational SOPs for CTP. Enabling systems also include the identification and selection of appropriate cash delivery or payment mechanisms to facilitate the rapid and secure distribution of cash transfers.

Track 2 – Programme tools

Pre-defined and tested CTP programme tools are critical to be being operationally ready to respond rapidly.

It is vital that standard business processes and tools are discussed and set up in advance and are ready to be adapted to different emergency contexts. Where possible, specific CTP elements should be included in all relevant National Society tools throughout the preparedness and emergency response cycle (e.g., in assessment/vulnerability and capacity assessment (VCA), programme design and implementation and monitoring).

Track 3 – Resources and capacities

Adequate resources need to be mobilized to support effective CTP capacity building and operational readiness in a National Society.

Significant resources will be needed to build the CTP capacity of a National Society, which can be achieved through a variety of means, such as face-to-face and online training, practical learning-by-doing, coaching and mentoring, etc. Fortunately, some of the most critical preparedness actions are inexpensive, but they do need the time and dedication of senior management and technical staff from a range of National Society departments. Wherever possible, all capacity building should be done within existing preparedness and contingency planning. Pre-positioned funding for CTP ("cash for cash") should be included in these plans to ensure a smooth cash flow during the operation. It is important to pro-actively engage and communicate with CTP donors to access funding for CTP preparedness, cash-specific contingency stocks and response.

Track 4 – Communication and coordination

Communication and coordination contribute to a better overall understanding of CTP responses within a National Society, between the Movement's components working together and throughout the humanitarian community.

Coordination is important, not only to ensure a coherent approach among CTP responders working in the same area, but also to minimize security and other risks, such as market inflation, etc. In parallel, advocacy and communication promote a better understanding among stakeholders of CTP, its objectives and required processes as well as providing the affected population the opportunity to participate in decision-making. Coordination, advocacy and communication are also important in engaging with donors and mobilizing resources, as well as disseminating key information and messages around CTP responses.

Advocacy also encourages the routine consideration of CTP as one of the potential emergency response options in any response context. It is increasingly becoming necessary to justify why CTP is not appropriate if it has not been selected.

Figure 3. The process of building CTP preparedness
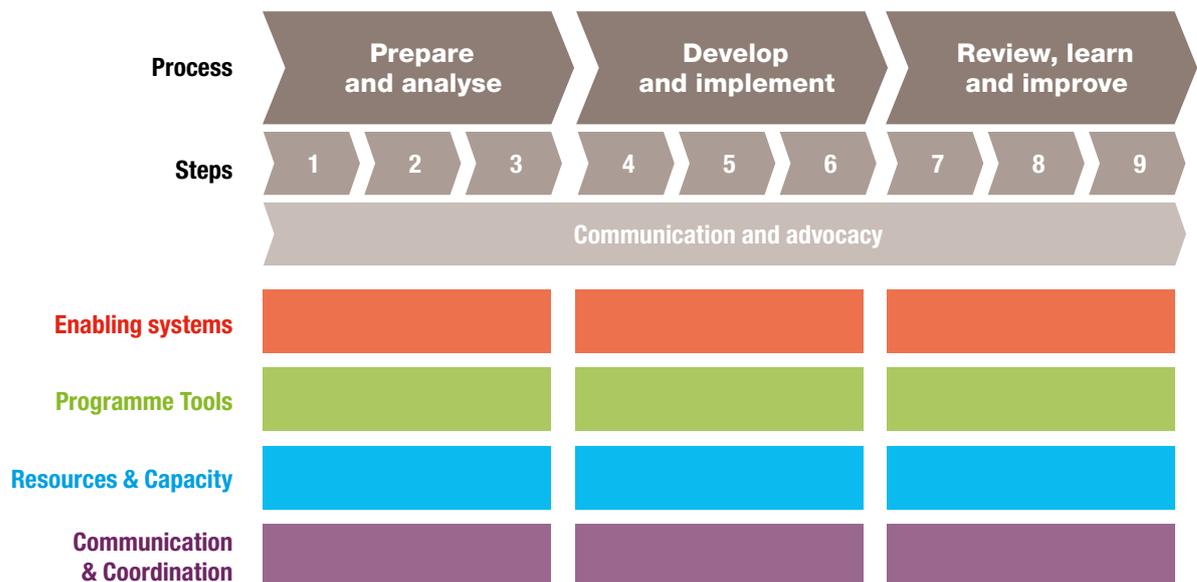
This guidance is organized around these three stages, nine steps and four parallel tracks, and is summarized in figure 3.

It is important to recognize that this is a process which takes time and that each National Society must develop its CTP preparedness PoA and strategy at its own pace, with realistic and achievable objectives based on practice, experience and available resources. Each National Society will need to prioritize which tracks, steps and activities to address, and in which order. Whilst the four tracks are presented in sequence, they should be considered as a 'menu of options' when developing the CTP preparedness PoA, which leads to operational CTP readiness.

Specifically, the work on advocacy must be carefully planned, and can take place at any time. It is included within stage 1 in the guidance document, as part of step 3 – but in practice it may be the very first thing to do – and continue right to the end. The situation of each National Society is different, and this guidance should be adapted and used flexibly according to the context.

In addition, the Movement Cash in Emergencies Toolkit[2] is available to provide specific tools and guidance that are needed and can be used to support the steps in this guidance. Clear links will be made throughout this guidance to references and tools in the toolkit at the end of each section.

While each National Society will forge its own path to CTP operational readiness, if they follow common guidance and put in place similar components (as identified through the pilots and outlined in this guidance) it will then be easier for representatives of different Movement actors to work effectively together in times of an international response.

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2 The Movement Cash in Emergencies Toolkit was launched in 2015 and is available upon request.

Box 2. Considerations for a National Society starting CTP preparedness efforts

The following important considerations were identified through learning from the IFRC preparedness pilots:

- Start by securing active support from the National Society's senior leadership.
- Keep the preparedness project as simple and realistic as possible, considering priority needs, capacities and available resources.
- Allocate adequate resources and time. The development of CTP practices takes time and enough time should be given to support the process.
- Use practical and iterative approaches:
  develop → test → improve → use → improve.
- Actively engage the National Society headquarters and selected branches to implement CTP preparedness activities (including staff from relevant departments, volunteers and partners).
- Liaise with the IFRC, other National Societies and other sources of technical support to stay up to date on good practice.

When should this guide be used?

This guide has been designed for use by National Societies at the country level, although the guidance also applies to the IFRC secretariat, the ICRC or any humanitarian organization.

It seeks to provide guidance on some of the critical steps and activities that can be implemented to build CTP preparedness. The CTP preparedness work should be embedded into a National Society's existing preparedness and contingency planning to make it more effective and sustainable. This will support CTP preparedness mainstreaming and institutionalization, enabling a National Society to have the confidence and operational readiness to consider CTP at scale as a potential programming response option and when appropriate, deliver CTP at scale as a timely and effective response alongside more traditional options, such as in-kind distribution or delivery of services.

If, however, a National Society has no preparedness or contingency planning in place, this guidance can still be used as a stand-alone approach in building CTP capacity and readiness: the same steps outlined in this guidance still apply. If a National Society is implementing CTP preparedness for the first time or has limited CTP experience, the recommendation is to start with basic, focused and realistic CTP preparedness activities to create a strong foundation on which to build. As CTP confidence and capacity develops, the plans and activities can become more ambitious.

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Stage 1

Prepare and analyse

For CTP preparedness to become a reality, a National Society has to be both willing and able to institutionalize and mainstream CTP. This may require advocacy work shown in step 3 to be carried out in advance, to ensure good levels of buy-in and ownership to the CTP preparedness process.

The 'prepare and analyse' stage of the process includes three steps.

Figure 4. **The steps in 'prepare and analyse'**

Prepare and analyse		
Step 1. Document the pre-disaster baseline	**Step 2. Develop and analyse scenarios**	**Step 3. Identify the gap in CTP preparedness**
• secondary data review and analysis • primary data collection and analysis • baseline documentation	• scenario development and analysis	• build stakeholder engagement in CTP preparedness • preparedness gap analysis and self-assessment • develop and implement key advocacy messages
Advocacy and communication		

Figure 5. **A summary of the four tracks in 'prepare and analyse'**

Prepare and analyse benchmarks	Enabling systems	Advocacy efforts have been effective in allowing for successful CTP preparedness process. CTP preparedness is linked to existing preparedness and contingency planning. Current capacity and context is understood, analysed and documented. Potential blockers are identified and mitigated. CTP feasibility, including market assessments, has been completed.
	Programme tools	Standard tools are used or adapted to the local context, and used for: • contextual analysis • development of a CTP baseline • development of disaster scenarios. Stakeholders have been identified and engaged with as appropriate.
	Resources and capacities	National Society capacity at headquarter and branch level to provide timely and scalable CTP has been assessed and gaps have been identified.
	Communication and coordination	CTP actors, networks and stakeholders have been mapped and considered. Specific internal CTP advocacy has been undertaken as required

See the end of this section for a more detailed description of the four tracks applied to 'prepare and analyse.'

Step 1. Documenting the pre-disaster baseline

Good quality pre-disaster information helps us to make faster, more accurate analysis of disaster impact because it allows us to compare pre- and post-disaster conditions. It is helpful to have baseline information about market systems, prices and seasonality.

The analysis of secondary and primary data involves finding and describing patterns and trends and interpreting these within the local context, using existing experience. Good data analysis can result in a description of the hazard event, identification of the geographical areas affected, quantification of the number and proportion of people or households affected and an understanding of the impact of the hazard on people, assets and resources.

From a cash preparedness perspective, this means understanding the likely scale of need, whether cash is feasible and markets will function sufficiently to meet the increased demand and then how CTP could be implemented efficiently

and effectively. For the purpose of this guidance and to align with the IFRC's *Contingency planning guidance*, this step has been broken into the three sub-steps.

- secondary data review and analysis
- primary data collection and analysis
- baseline documentation.

1.1 Secondary data review and analysis

Secondary data is the term used to describe information that has already been collected by the National Society or by other people or organizations.

The review and analysis of secondary data is usually the first step in a multi-sectoral needs assessment[3] after a disaster. It is also the first step in preparedness planning, as it provides a reference point against which the scale and scope of a future disaster can be understood.

Information is gathered from a wide range of internal and external sources, including government, UN, and other development and humanitarian agencies. This is combined to provide part of the baseline information, against which the National Society can identify gaps in information and understanding, and target the collection of primary data.

The main questions that will frame a secondary data review and analysis before a hazard or crisis are:

- What is the likely hazard/crisis?
- Is CTP a feasible and appropriate programming response mechanism?
- What can be done ahead of a disaster to be prepared?

The following key actions are adapted from the IFRC's *Contingency planning guidance* and can be used to steer the collection and analysis of secondary data.

Hazard and disaster history: Map the most recurrent risks and hazards in the country. Look at existing and previous response plans to determine the likely scale of the response and resources and the capacity available.

Vulnerability: Undertake a review of secondary data relating to pre-existing vulnerabilities and baselines; map the most vulnerable population groups, their characteristics and geographical locations. Different hazards may affect different groups of people, in different areas at different times of the year.

The capacity of the National Society to provide CTP responses: Does the National Society have the capacity to respond to the potential disaster with CTP? What resources are available: people, systems and assets? Identify gaps and strengths of staff and volunteers. Are these resources available throughout the country, or only in certain areas? What would it mean to operate CTP at scale in this context?

Enabling environment: Are beneficiary preferences known, and are they conducive to CTP? What potential CTP modalities could be relevant, and can they all be implemented in all parts of the country?

Market assessment and analysis:[4] will determine how the market is functioning, how well the markets are going to be able to meet the needs of the

disaster-affected population and therefore contribute to the decision about the most appropriate way to deliver assistance. For example, identify key market systems and commodities used by people in case of disaster, such as food, household items, water and sanitation/hygiene kits, shelter items, livelihoods inputs. Collect price data, being aware that that this may vary through the year, and include the costs of transportation. All this data can be used to inform the value of the cash grant.

Identify key CTP delivery mechanisms and service providers: undertake a mapping and analysis of existing and potential cash delivery mechanisms (traders, financial institutions, mobile service providers, remittances agencies, etc.) used by the Movement and other actors.

Coordination: Identify other humanitarian or development actors with CTP experience in the area and exchange relevant CTP and markets information (modalities and cash delivery mechanisms already used and preferred by populations; risks and challenges in implementation and solutions/recommendations; reliability of markets; reliability of existing financial institutions; monitoring systems, etc.).

Sources of secondary data include: the National Society's own VCAs and previous assessments; national institutions (government ministries, research institutes, universities, demographic/health surveys, etc.); humanitarian actors (e.g., UN global data or country portals, NGOs); international development institutions (e.g., the World Bank); market data from livelihoods and food security sources (FewsNet, IPC, etc.); satellite or geospatial data; and information from the media and social media.

When analysing secondary data remember to ask: is the source reliable, the methodology sound and the data useable?

1.2 Primary data collection and analysis

Secondary data is used to understand the context, but it will not normally provide the complete picture. Once the data is collected and analysed, it will become clear that there are gaps in our knowledge and understanding, outstanding questions, and areas where we want to be more confident in our baseline.

We need to collect additional information ourselves to answer these questions, and this is called primary data collection. Primary data is collected through a variety of means such as individual interviews, focus groups and surveys.

Some of the key data sets and actions that may need to be considered in this sub-step include:

- VCAs, hazard risk mapping and analysis.
- Seasonal calendars, price monitoring and price baselines with seasonal variations for key food, hygiene and household commodities and services used regularly by communities.
- Geographical market maps, critical market system maps, how well are they integrated and potential market capacity to support the response based on historical data.
- Identification of potential CTP modalities and delivery mechanisms, including taking into account coverage area, community preferences, risks analysis, implementing capacity, and any historical performance.

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- Cash and/or commodity voucher and/or beneficiary ID design and production requirements and considerations.
- Cash transfer values pre-defined (including the calculation rationale to meet specific basic commodities or sector specific outcomes and includes access and transportation costs).
- Targeting criteria and approaches (geographical or vulnerability based), vulnerability and beneficiary selection, beneficiary registration datasets and information needed.
- Mapping of other CTP coordination mechanisms and CTP actors in the area, their programming objectives, cash grant values, project management process and cash delivery mechanisms.
- National Society headquarter and branch operational capacity and available resources (human, financial, logistics and CTP experience, etc.) as well as identification of any potential surge human resource needs to support the scaled up response.

1.3 Baseline documentation

Once all the primary and secondary data have been gathered and analysed, a final baseline report must be prepared to ensure that all the data gathered is readily available and accessible. It is usually helpful to prepare a presentation to accompany and summarize the report.

The report should embrace all aspects of emergency preparedness, but should emphasize those needed for the development of strong CTP systems. It will provide the foundation for the next stage of preparedness planning for CTP – the development of scenarios. It will also be revisited at the time of the next emergency at the time of the next emergency when programmes are being designed and form valuable input to programme monitoring.

Step 2. Develop and analyze scenarios

The next step in the process is to start to think in terms of "what if." This is done through the preparation of scenarios.

2.1 Scenario development and analysis

A scenario is a set of informed assumptions about how a situation might evolve and require humanitarian action. Scenarios should be short and uncomplicated, as their purpose is to provide a framework within which to plan a set of activities for a National Society to be prepared. The IFRC's *Contingency planning guidance* stresses the importance of three elements:

- the hazard
- existing or potential vulnerability created from the impact of the hazard
- the capacity and resources available within the National Society and/or key partners to address identified vulnerabilities.

Many organizations use a formula to develop scenarios: they consider the best, most likely and worst case situations. In contingency planning for emergencies,

the best-case scenario is not usually very helpful. If resources and time do not permit the development of all three cases, then it is safest to adopt the most likely case scenario, as the basis on which to be best prepared should a disaster happen. However, there may need to be some additional consideration of worst-case scenario as a priority in some situations.

Depending on the context, the National Society may need to consider scenarios associated with several different hazards, including natural and man-made shocks.

Important elements when considering scenario development are:

- Estimating the number of people or households that would be affected by the hazard described in the scenario, and any demographical trends or patterns.
- Understanding and prioritizing the anticipated humanitarian needs in the scenario. A clear understanding of needs leads to clear programme objectives, which then allows for detailed consideration of the potential value of cash grants, based on elements such as a monthly food basket, an average salary, emergency shelter materials, basic hygiene items, or a combination of these.
- Access and logistical considerations could have implications for CTP delivery in different scenarios, particularly if there are limits around cash modalities and delivery mechanisms, or if there are challenges with functioning markets, as these would need to be considered and tested for each scenario.
- The probable scale of the response from the community, government and other humanitarian agencies should be noted for each scenario, to consider an appropriate National Society response.
- The level of resources and capacities available in each scenario, and the potential to scale these up.

As a rule, the number of households that can be reached with CTP assistance should be comparable to the numbers reached with in-kind goods and/or services to respond to immediate needs.

Step 3. Identify the gaps in CTP preparedness

Preparedness gap analysis is based on a comparison between:

- what the National Society would like to be able to implement in any scenario, and
- what the National Society can actually do today.

Figure 6. **The gap in CTP preparedness – to be filled through the PoA**

Gap | What the National Society can do today | What the National Society wants to be able to achieve
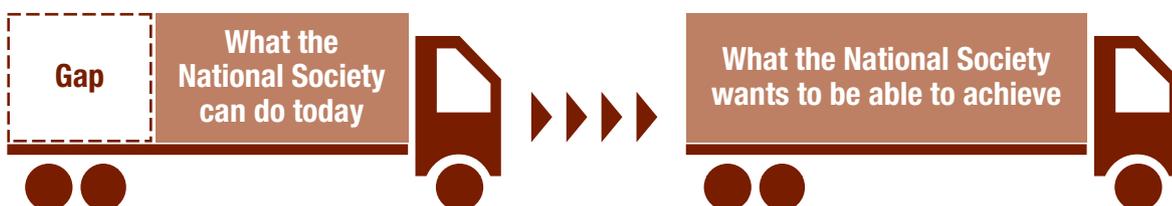
The following sub-steps consider this process, and build on the scenario work completed in step 2. The sub-steps below include two participatory processes: one to build awareness and the second to work on the detail. In some cases, it may be possible to combine these. Note that you may need to begin with sub-step 3.3.

3.1 Building stakeholder engagement in CTP preparedness

It is critical that the main decision-makers from key departments within a National Society are represented and engaged in the CTP preparedness process from the very beginning. As a minimum, this would normally include disaster management, health, logistics, finance and branch development – but may include others, depending on the structure of the National Society.

The purpose of this sub-step would be to build ownership and engagement from key stakeholders to review the process to date including the scenarios and preparedness gap analysis, and then discuss current and potential capacities needed to be operationally ready to implement the identified potential responses. This analysis of current and potential capacities will be explored in more detail in the next sub-step and can even be included at this stage, if that is preferable for the National Society.

It is a good idea to hold a workshop near the beginning of the CTP preparedness process. The workshop could begin by introducing the basics of CTP, and explaining its relation to existing National Society strategies and plans, and it would provide an opportunity to share and examine the findings of the baseline report and resulting scenarios described in steps 1 and 2. However, if CTP is unknown or not well understood by the stakeholders, it may be appropriate to carry out more advocacy and awareness-raising activities prior to the workshop.

Participatory activities, like a SWOT analysis, can be used to engage stakeholders in thinking through existing blockages and opportunities that each department foresees in implementing CTP. The SWOT exercise could look at CTP preparedness from the perspective of each technical department, or it could look at it in terms of the four tracks used within this guidance.

Figure 7. **A SWOT analysis framework for CTP preparedness at the National Society level**

	Positive factors	Negative factors	
Internal factors	**Strengths**	**Weaknesses**	**Enabling systems**
External factors	**Opportunities**	**Threats**	**Programme Tools** / **Resources & Capacity** / **Communication & Coordination**
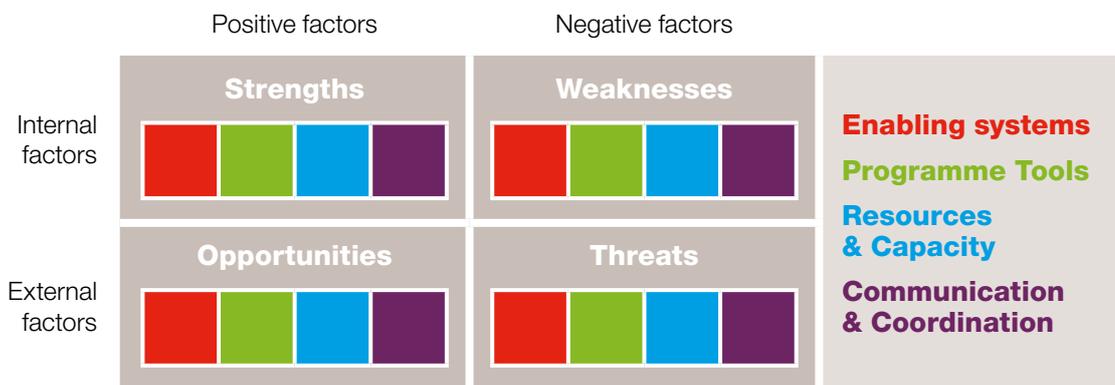
Participants at the workshop should include all stakeholder departments within the National Society, including staff and volunteers, representation from the branches, senior governance and leadership. The workshop should include the people likely to be appointed as the CTP focal point and technical working group members.[5] It could also include partners in-country or from the region, and external participants may also be invited. It may not be necessary for all participants to attend all workshop sessions.

For the workshop to run smoothly and to achieve the best results, the following tips are based on experience from the IFRC's secretariat CTP preparedness pilots:

- Include a quick overview on the basics of CTP at the beginning of the workshop to ensure all participants have some basic understanding and can participate actively in group activities and discussions.
- Make the workshop as proactive and dynamic as possible, promoting participation and feedback.
- Ensure adequate time is allocated for the critical CTP capacity SWOT analysis, next steps and recommendations sessions, as these are the most important outputs of the workshop.
- When the National Society already has CTP experience, it can be useful for each department to prepare a draft SWOT analysis before the workshop, identifying critical bottlenecks and constraints that prevent or limit the effectiveness, scale or timeliness of existing CTP responses. This will save time in the workshop and also inform discussions.
- Invite external participants with CTP experience in-country to share experiences and challenges and ways of overcoming them. Invite a few of the participants to provide a 10-15 minute presentations of their CTP experience including aspects and learning from specific emergency responses (objectives, scale, timeframe, modalities, etc.) and how they overcame critical challenges within their organization. Decide if these external participants are welcome to the entire workshop or just selected sessions.
- During the workshop identify potential members from each department or functional area that could be included in the CTP technical working group, if/when relevant.
- Use the CTP preparedness workshop as an opportunity to create and/or promote CTP awareness by producing press releases, audio-visual or sound bites, articles, etc. that can be disseminated via internal and external communication departments and media.
- Use the National Society's website and social media tools to disseminate and share news on the workshop and follow up CTP plans.
- Use flipcharts and sticky notes in group exercises and put results on the wall as a reminder for the duration of the workshop. Engage a note taker for the workshop who is not a participant.

The end result of the meeting should be a decision about whether or not to invest in building CTP preparedness, and if yes, then to agree on the next steps.

3.2 Preparedness gap analysis and self-assessment

Once stakeholders are informed and engaged, a further workshop or other process can be organized with key stakeholders to conduct the detailed preparedness gap analysis. This process reviews current operational readiness for CTP, and identifies priority areas for development. As with the introductory workshop, it is important that key staff from all relevant departments attend (programming/support services).

5 See the next section of this guidance, step 4.

Having gained senior management support to the CTP preparedness process, it is necessary to compare existing levels of readiness with the levels implied by the various scenarios developed in the first step. This means ensuring that the right structures, people, equipment and agreements are in place or can be established. A preparedness gap analysis identifies where the gaps are between what exists and what is needed to fulfil the scenarios and the required preparedness measures to reach that necessary capacity. The preparedness gap analysis forms the basis of the CTP preparedness PoA.

The CTP preparedness self-assessment tool – a participatory process to take the group through the four tracks of CTP preparedness – should be used to perform a preparedness gap analysis and the recommendations should be integrated into existing preparedness and response plans, systems and tools.

3.3 Develop and implement key advocacy messages

Advocacy is particularly important around CTP. There are still many concerns in the public domain about reputational risk, misuse of cash, corruption and the need for complex monitoring/financial control systems that can contribute to the perception that CTP can only be implemented effectively during small-scale emergencies or longer-term recovery projects. These attitudes can form critical blockages to scaling-up CTP in emergencies, but they can be addressed through advocacy messaging at both global and national levels.

National Societies should consider key issues relevant to their respective contexts and develop key advocacy messages to address them. These might include the following:

- Advocacy aimed towards respective governments to support CTP either through funding or through the inclusion of CTP in their own preparedness and response coordination; taking into consideration CTP as an effective option for response in the right circumstances; and acknowledging that the National Society is one of the key actors in this field.
- Advocacy geared to other CTP actors and partners, through engagement in networks and forums for coordination and information sharing; and sharing joint capacity building or training activities with other organizations implementing CTP in-country.
- Using evidence-based examples to show the comparison of accountability between in-kind distributions and cash responses to highlight how risk can be no greater than in-kind and how it can be effectively managed.
- Advocacy focusing on donors to fund CTP preparedness and response activities to-scale and to consider the pre-positioning of CTP funds (*"cash for cash"*) for preparedness actions or for immediate release in case of emergency to support a timely cash-based response.
- Advocacy towards the general public in order to promote a better understanding on what CTP is and how it can be used to meet their needs effectively, while giving them greater choice and dignity. This might include sharing stories and case studies of experiences elsewhere.

Internal advocacy for CTP preparedness – governance, management and beyond

There may also be a need for advocacy for CTP within a National Society, targeting not only leaders and decision-makers, but also those at the operational level. Advocacy for CTP aims to enable the National Society to consider CTP as a normal emergency response option alongside others that should be considered in each context. Having the support of influential Governing Board members and senior leaders will lead to an increased awareness, buy-in and support for CTP activities. It will help to ensure institutional commitment; possible resourcing to support the development of CTP capacity and preparedness plans; and provide valuable support in addressing bottlenecks and challenges. Note that this advocacy process may need to begin even before the formal process of CTP preparedness is agreed.

Box 3. Internal advocacy with National Society leadership

Key elements for internal advocacy with National Society leadership include:

- Context analysis, consideration of the broader context – both internal and external; identification of key stakeholders; understanding the context in which the CTP advocacy objective is to be addressed.
- Defining the purpose of advocacy, by identifying the barriers between the current situation and a stronger engagement with CTP. These might be human, institutional, legal or take other forms. The focus of advocacy efforts is made clearer once barriers have been identified. Also a question to bear in mind: is there a window of opportunity or not?
- Identifying the target audience: the critical decision-makers, leaders and influencers in a National Society, who have links to or influence over the barriers to change. They may be representatives of governance or management at headquarter or branch level or influential external figures. Their time and attention is needed but is in high demand.
- Selecting the CTP advocates, who will undertake the actual process of advocacy. The individual must be able to gain and hold the attention of the target audience. They must bring sufficient technical experience and confidence to be persuasive, and to be able to respond to unplanned questions.
- Planning the meeting, preliminary work includes deciding dates and duration of the meeting, the approach and participants. Challenges might include availability of senior leadership, finding relevant documents that address the specific key issues identified.

However, as more people in the National Society become aware of and trained in CTP, they can also contribute to advocating and raising awareness for it,thus ensuring a multiplier effect across levels of the National Society. Evidence demonstrates the crucial role played by CTP trained staff and volunteers in becoming cash advocates internally within their departments, branches or regions and externally with government and community representatives.

The IFRC secretariat can also support National Societies in this area. IFRC disaster managers and CTP focal points in the zones and Geneva can support advocacy efforts with senior leadership and across the different levels. The IFRC has developed a guide[6] to the CTP advocacy process, as well as a number of case studies, documents and audio-visual materials available on the website or upon request. The Cash Learning Partnership (CaLP) website is also a good source of CTP materials for advocacy as well as technical and operational purposes. It is also useful to check with other organizations in-country involved in CTPs, as they might have valuable context specific documents, data, case studies or videos to support CTP.

[6] IFRC, *Cash transfer programming: engaging National Society leadership*, (Geneva,2013)

The four tracks applied to the 'prepare and analyse' stage of the CTP preparedness process

Enabling systems

Link CTP preparedness to existing response preparedness processes, including hazard risk mapping, analysis and disaster scenario planning.

Conduct baseline to decide if CTP is feasible.

Advocate with National Society leadership and management as well as through departments at headquarters and branches for appropriate CTP preparedness process to ensure ownership, buy-in and active engagement.

Market assessment and analysis enables a National Society to determine how key markets are likely to function after a shock, which basic items would be available, could government policies restrict the movement of goods; are key markets integrated and competitive; could traders respond to an increase in demand and if so, how quickly, and is there a risk of inflation in the price of key commodities.

Setting up pre-agreements with potential cash delivery mechanisms or financial service providers. Following a mapping of providers, a National Society would be able to establish pre-agreements with these providers prior to the disaster or crisis. This should take into account the area to be covered, the risks identified, the capacity of the National Society and providers as well as community preferences.

Programme tools

• Roadmap for risks analysis	CiE Toolkit, Module 2
• CTP Secondary Data Sources	CIE Toolkit Module 1
• Mapping of CTP delivery mechanism and service provider	CiE Toolkit, module 2
• Mapping of other humanitarian actors	CiE Toolkit, module 2
• Community level CTP checklist	CiE Toolkit, Module 1
• Key Informant interview with Financial Service Providers	CiE Toolkit Module 2
• Country baseline report template	CiE Toolkit Module 1
• Scenario template	IFRC Contingency Planning Workshop Package, 2013
• IFRC Engaging with National Society Leadership module	Available on IFRC FedNet CTP Page
• CTP Preparedness SWOT template and sample	CiE Toolkit Module 1
• IFRC CTP Preparedness Self-Assessment Tool	CiE Toolkit Module 1

Additional guidance

• IFRC Vulnerabilities and Capacities Assessment toolbox (2008)

• IFRC Operational Guidance: initial rapid, multi-sectoral assessment (July 2014)

• Red Cross and Red Crescent Movement Rapid Assessment of Markets and Market Assessment Guidance tools (2013)

Resources and capacities

Assess existing and potential capacity of the National Society at headquarter and branch level to provide scalable and timely CTP in response to a likely hazard event, these should include:

What are the resources available? Including human, financial, and logistical resources.

What skills, capacities or experience do staff and volunteers have? Identify strengths and gaps in capacity and set up a CTP training plan to develop that capacity.

What assets are available to support CTP, including logistics support?

What would be needed to bring the CTP delivery to scale in an operation?

The National Society should also consider what access it might have to call on further surge capacity across other parts of the Movement to bring in technical expertise or to help scale up the response.

Communication and coordination

CTP considerations included in internal and external advocacy approaches and plans.
See for example, the document outlining approaches to IFRC internal CTP advocacy: "Engaging with National Society Leadership."

It is also important to map the other CTP actors (humanitarian or development) in the area and the existing **CTP coordination mechanisms** that are available to work with. The National Society would then look to set up meetings and join networks to exchange CTP experience and information with these organizations, including on issues around risks, challenges, lessons learned, preferred CTP modalities, and the reliability of existing financial service providers, etc.

Stage 2

Develop and implement CTP preparedness

At this stage, planning and preparation turns into action and implementation. The preparedness gap analysis leads to a CTP preparedness PoA that prioritizes various activities and outputs from the four tracks according to the contextualized needs of the individual National Society.

The 'develop and implement' stage of the CTP preparedness process has three main steps.

Figure 8. The steps in develop and implement

Develop and implement CTP preparedness		
Step 4. Develop the CTP building blocks	**Step 5. Mainstream CTP into key areas**	**Step 6. Implement the CTP preparedness PoA**
• appoint a National Society CTP focal point • establish a CTP technical working group • develop the CTP preparedness PoA • develop CTP SOPs • update and finalize a locally appropriate CTP toolkit	• mainstream CTP into National Society strategic, contingency and response plans • incorporate CTP into human resource systems – recruit and build capacity of CTP staff volunteers and surge • incorporate CTP into financial systems • incorporate CTP into monitoring and evaluation systems • incorporate CTP into resource mobilization systems	• conduct a simulation and/or a pilot • internal and external coordination of CTP actions • develop and implement CTP communications strategy and awareness materials
Advocacy and communication		

Figure 9. A summary of the four tracks in 'develop and implement'

Develop and implement benchmarks	**Enabling systems**	The National Society's auxiliary role includes a reference to CTP. The National Society is committed to mainstreaming CTP and this is reflected in strategic and operational plans as well as the CTP preparedness plan. CaLP resources are known and available.
	Programme tools	Standard tools are used or adapted to the local context, and used for: • The creation of a CTP technical working group and the appointment of a CTP focal point. • Self-assessment of CTP preparedness and capacity. • Draft of National Society CTP SOPs guidance and template. • Identification and contracting of financial service providers. • Mapping of donors and trends. • Development of simulations.
	Resources and capacities	The National Society CTP structures and building blocks are functional and inclusive. National Society staff and volunteers from programming, support services and from headquarters and branch levels are trained in CTP processes and tools. CTP is included in operational contingency plans and stocks, including equipment, cards and kits and for registration processes. Pre-agreements established with financial service providers. Partner and/or donor resources are mapped, identified and confirmed.
	Communication and coordination	CTP coordination is prioritized and properly resourced. Beneficiary communications materials are prepared, and ready to be adapted. CTP is referenced within the National Society's communications strategy. Other communications materials such as FAQs, talking points, audio-visuals, case studies are prepared and ready to be adapted.

See the end of this section for a more detailed description of the four tracks applied to 'develop and implement.'

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Step 4. Develop the CTP building blocks

4.1 Appoint a National Society CTP focal point

Once a decision is taken by a National Society to strengthen their cash programming readiness, the formal appointment of a CTP focal point must be prioritized. This individual provides a single point of contact, working in close collaboration with stakeholder departments such as disaster management, health, finance, logistics, organizational development and communications – the exact list of departments will depend on the structure of the National Society. Their role is to promote CTP, to build engagement and ownership, and establish effective coordination and communication. They will be an internal and external advocate for CTP, participating in CTP meetings and networks such as CaLP, inter-agency technical working groups and donor meetings wherever possible, and in regional and international meetings as appropriate.

The CTP focal point should have continuous access to technical support, remotely or face-to-face, through the CTP preparedness process: this may come through the Movement's technical staff in the region, zone or in Geneva, or from peer support from other National Societies, or from outside the Movement. They will use this channel of technical support to seek solutions for the challenges they face in developing CTP operational readiness.

The focal point leads the National Society's CTP Technical Working Group. Experience during the CTP preparedness pilot process showed that is essential that the following are in place for the role to be effective:

- Committed support from National Society's senior leadership for this role for a determined duration and with agreed Terms of Reference (ToR). Experience suggests that 30-40 per cent of the focal point's time will need to be dedicated to the CTP preparedness process. The focal point can be supported by one or two people for administrative, financial, reporting or other tasks. These support roles can be designed to offer a coaching or mentoring opportunity, strengthening CTP capacity and knowledge.
- Ensure committed funding of this role for at least a year and if funding is not available consider budgeting into the CTP preparedness PoA.
- Ideally the focal point should be within the disaster management team, and as a minimum should have a good understanding of preparedness/contingency planning and disaster response within the National Society. It is very helpful if they are also a persuasive advocate with good communication and project management skills.
- The CTP focal point should receive the appropriate CTP training and refresher training, be supported to gain access to national, regional and international learning events and workshops held by external agencies on CTP and whenever possible, have direct experience of CTP in emergency response.
- The CTP focal point should monitor progress and produce monthly reports against the CTP preparedness PoA for relevant stakeholders.

4.2 Establish a CTP technical working group

In addition to the CTP focal point, the National Society should set up a CTP technical working group made up of appropriate representatives from the relevant stakeholder departments. Again, these include all those that will be involved in delivering any aspect of a CTP in the future. The members of the CTP technical working group should be able to take decisions, and should be accountable for those decisions.

The technical working group will bring a range of experience of the National Society's CTP systems, plans, tools and capacities, and will work together to identify and agree the most critical preparedness activities to be included in the CTP preparedness PoA, to enable the timely delivery of effective CTP responses. They will use a range of processes to achieve this: meetings, action plans, workshops, seminars – as appropriate.

Other members can be invited to join the technical working group to widen the range of experience or to promote engagement, including Board members, senior managers in programmes or support services, staff and volunteers with CTP experience, branch representatives, Movement partners such as Partner National Societies, IFRC secretariat, or the ICRC and perhaps also external participants with CTP experience. However, if the technical working group becomes too big it may struggle to be effective: it should find a balance between being inclusive and becoming unwieldy.

All the members of the technical working group should either have relevant CTP experience or should receive basic training or awareness raising, which can be refreshed over time through further training or experience. Based on the pilot experiences it is important the following should be considered for an effective technical working group:

- Clear ToR should be developed and each of the CTP technical working group members must be able to commit realistic working time to support the process, to ensure comprehensive progress can be made across the National Society. Not all members may need to commit the same amount of time, depending on their roles.
- The technical working group should be led by the CTP focal point and should meet regularly (e.g., monthly) to share information and monitor progress against the PoA. These meetings are important to identify the main challenges faced during the development and implementation stage and to propose corrective measures when relevant. If members cannot participate, alternative representatives should be sought. All technical working group meetings/decisions should be documented and periodically circulated to the wider audience at headquarters and in the branches.
- The technical working group should identify challenges faced by the different departments as early in the process as possible and monitor any delays in implementation. They should proactively propose solutions to such problems, such as the need to revise the CTP preparedness PoA, or to mobilize additional support or resources, which could be volunteer-based.
- Whenever possible, members of the Movement present in-country should be included in the CTP technical working group to promote a one-programme approach and encourage commitment and support for the process. It can also be useful to invite CTP experts from other organizations in the country, such as NGOs, UN agencies, government representatives, donors and private sector companies, as regular members or for particular meetings, events or workshops. The technical working group should also link to any external cash coordination structure in the country.

- Experience has shown that members of the CTP technical working group improved their understanding of CTP elements by taking part in training events, and that this improved coordination and openness between departments that worked together to find CTP solutions. Similarly, the inclusion of National Society branch staff in the same CTP training also helped to identify key challenges and constraints faced at the local level, and avoided an exclusive focus on headquarter processes.

Box 4. Responsibilities of the CTP technical working group

The following list of responsibilities can be used as the basis of the technical working group ToR.

- Map out the National Society's plans, systems, procedures, capacities, tools, communication, and response mechanisms that are involved in CTP preparedness and emergency response. Identifying where there is a need to:
  - incorporate/integrate CTP considerations into existing systems, plans or tools
  - develop CTP specific procedures, capacities, plans or tools.
- Rank CTP preparedness priority objectives based on the recommendations from CTP workshops, National Society priorities, resources and commitments.
- Develop a CTP preparedness PoA that is aligned with the four tracks of this guidance:
  - enabling systems
  - resources and capacities
  - programme tools
  - communication and coordination.
- Implement and monitor the activities and outputs of the CTP preparedness PoA.
- Develop a meetings calendar and participate in regular internal meetings to share and monitor progress and identify bottlenecks and corrective actions needed.
- Participate in external CTP meetings when relevant.
- Define the strategy, criteria and selection process for deciding which branches will participate in the implementation of the CTP preparedness activities (baselines, market mapping and assessment, mapping potential CTP mechanisms available, cash grant values for different relief and recovery outcomes, etc.).
- Develop the ToRs and oversee a final evaluation of the CTP preparedness PoA.
- Be CTP champions and advocate within the National Society and the Movement in-country.
- Each member will have particular outputs assigned in the CTP preparedness PoA and will be responsible for monitoring progress and reporting on behalf of their department.

4.3 Develop the CTP preparedness plan of action

The CTP preparedness PoA should be realistic and achievable, and include actions and outputs that enable the National Society to deliver rapid cash-based responses at scale in emergencies. Whenever possible the actions and outputs should be aligned to the National Society's existing contingency and preparedness plans.

The PoA is based on the steps to date: the pre-disaster baseline, scenario development and preparedness gap analysis and it should deliver against the gaps and priorities identified, considering all four tracks described in this guidance. The PoA will seek to resolve the problems identified in the SWOT and preparedness gap analysis and outline the objectives/outputs to deliver against the possible scenarios.

Box 5. Elements of a CTP preparedness plan of action

The following elements will be found within the CTP preparedness PoA:

- summary of the preparedness gap analysis, as a justification for the PoA
- logical framework with CTP preparedness activities, outcomes and outputs, risks and assumptions
- Gantt chart with the activity plan and timeframe, including durations, milestones and individual or departmental responsibilities
- activity-level budget with resource planning and inputs per activity (human and financial resources)
- monitoring plan and an evaluation framework.

The technical working group is responsible for considering a range of options, and identifying the appropriate and relevant objectives and outputs in consultation with managers and departments present. It should present the draft PoA to the National Society's leadership for approval within an agreed timeframe (for example within four weeks of the initial workshop). Once approved, the members of the technical working group are then responsible for implementing and monitoring the activities and outputs in the PoA relating to their department or functional area, with the CTP focal point managing and coordinating the whole process, ensuring coherence between the parts, and reporting to senior management.

Based on experience from the pilots, the following should be considered when developing the CTP preparedness PoA:

- The PoA should be in line with and structured around the four tracks provided in this guidance.
- CTP preparedness is a lengthy process that takes at least a year to achieve and requires regular updates and improvements. The preparedness process is an iterative cycle where most of the tools, training and CTP approaches are developed, tested and improved then developed again and adapted to a particular context or objective (urban, refugees, epidemics, etc.).
- Experience shows that over-ambitious plans have sometimes failed to deliver, leading to frustration and disengagement for those involved. It is important that the CTP preparedness PoA is as simple and realistic as possible so that the activities and outputs can be achieved according to the plan and timeframe.
- If the National Society has limited CTP experience, the CTP preparedness PoA should focus on building a strong base, which can then be expanded and become more complex as the National Society gains capacity and CTP experience. Some good starting points for building CTP capacity are:
  - Enhancing CTP awareness and capacity among the different departments.
  - Increasing CTP capacity of key staff and volunteers through training (online or face-to-face), learning-by-doing, and peer learning.
  - Integrating CTP and market considerations in CTP emergency preparedness and response tools and systems.
  - Networking and building relations with other organizations and private sector actors engaged in CTP responses in the country.
  - Developing key CTP advocacy messages and communications plans and sharing CTP experience both internally and externally.

The CTP preparedness PoA needs to be developed according to the key needs, priorities and resources of the National Society, as available funding is a vital element of a realistic plan. The CTP technical working group can rank the proposed outputs and prioritize which ones are fundamental for the National Society's particular context and needs.

For many natural disasters, it is valuable to consider seasonality, as this indicates when the National Society will experience increased workload. Preparedness activities should be planned in quieter periods.

4.4 Develop CTP standard operating procedures

The CTP preparedness pilots found that the most challenging output to achieve was developing or strengthening CTP SOPs, as they require awareness, willingness and a number of changes in decision-making and systems that need time to be developed, agreed upon, approved and rolled out, and this is why the technical working group must involve all stakeholders. It may take more than one year to produce the first full draft, and the SOPs should then be reviewed periodically, and after every response.

The development and implementation of effective CTP SOPs has proven to be one of the key elements that improves the speed, accountability and efficiency of CTP responses. Good SOPs provide simple and clear guidance on the

Box 6. National Society examples: the challenge of developing SOPs

The **Viet Nam Red Cross Society**, after analysis of their CTP priority needs, capacities and context decided to start by working on their CTP SOPs for one cash transfer modality (direct cash distributions), to be able to deliver at scale within the first 4-6 weeks of an emergency. By keeping the scope of the CTP SOPs simple and focused, they managed to make progress and were able to successfully test their SOPs in a real time response. When typhoons and flooding affected the country in October 2013, they managed to implement a CTP based response at scale in the proposed timeframe. This is a good example of success, where by concentrating on just one CTP modality, the Viet Nam Red Cross Society managed to develop, test and refine the SOPs within a short timeframe. Follow-up actions based on learning from the CTP response included continuing to develop potential partnerships with banks and further develop the CTP SOPs for cash distributions through third parties to extend and expand their CTP operational readiness. The Viet Nam Red Cross Society managed to increase the percentage of households in emergency operations receiving CTP from 5 per cent in 2009 to 15 per cent in 2011 before the CTP preparedness process to 70 per cent in 2013 after the first phase of CTP preparedness work was completed.

In the Philippines, the **Philippine Red Cross** already had significant experience and technical support in CTP-based responses mainly in early recovery and recovery contexts. The challenge here was that in the existing CTP SOPs, decision-making and financial systems were not rapid enough to enable an emergency response using CTP at scale. The National Society worked to adapt its existing CTP SOPs, which were for a range of modalities, to the emergency context and these were tested during the Haiyan response in 2013, where the Philippine Red Cross was able to deliver CTP at scale at unprecedented levels.

processes related to CTP, outlining clear roles, setting responsibilities and supporting decision-making for each of the different departments involved in delivering or supporting CTP preparedness and response.

They also help a National Society adapt its financial, logistical and administrative procedures to incorporate CTP considerations, which are vital for operational readiness. Once developed and approved, CTP SOPs must be used, tested and then updated, and staff and volunteers should be continuously trained on their content.

Developing SOPs is a major task. It can be helpful to do this process 'one modality at a time,' as described in box 6:

4.5 Update and finalize a locally appropriate CTP toolkit

The Movement Cash in Emergencies Toolkit (2015) is a useful place to start looking for CTP-specific guidance and tools.

Where possible, a National Society should look to incorporate CTP tools into existing tools and processes. For example, market assessment tools and formats should be incorporated into needs assessment processes, so that CTP is used as part of a wider, coherent process. National Societies may also need to adapt some of the materials to suit their local context and requirements. This might include adapting tools to ensure they are culturally appropriate, or perhaps simplifying certain tools or sections, to make them more usable for local staff and volunteers. National Societies can ask for Movement technical support with this process and this should include plans to translate the relevant materials into local languages, budgeted through the CTP preparedness PoA.

Step 5. Mainstream CTP into key areas

5.1 Mainstream CTP into National Society strategic, contingency and response plans

National Society plans – that is strategic, preparedness and response plans – rarely make specific reference to CTP approaches. The majority of National Societies do not yet feel comfortable to meet immediate needs through CTP responses at the same scale as in-kind. They often accommodate CTP if and when they are linked to funding opportunities.

It is therefore important that a National Society looks to develop and incorporate CTP options at all levels, in its general strategic, preparedness and contingency planning and response plans and to promote the strengthening of CTP capacities to build confidence and readiness to deliver CTP at scale.

Box 7. **National Societies mainstreaming CTP**

Chilean Red Cross mainstreams CTP in line with its strategic vision

In Chile, the 2013-2016 National Society mission and vision include statements on enabling disaster-affected populations to make decisions about the response and their future; and promotes the Chilean Red Cross as a modern and innovative organization with a strong and well-prepared volunteer base. The IFRC's CTP preparedness pilot initiative was aligned with these specific strategic statements, which encouraged the engagement and commitment of the senior management. As a result, mainstreaming CTP is seen as an important component of these strategic objectives.

Senegalese Red Cross Society commits to cash programming targets

After the implementation of the IFRC CTP preparedness pilot, the Senegalese Red Cross Society included CTP in their floods contingency plans and scenarios, targeting 50 per cent of the potential responses to meet basic needs (food, basic household and hygiene items, shelter, etc.) through CTP.

Viet Nam Red Cross Society commits to inclusion of CTP in national response plan and budget

The Viet Nam Red Cross Society included CTP as a key element of their national response plan, by earmarking a specific amount of money from the budget to be used exclusively for immediate CTP-based emergency response. The cash grant value and calculation rationale were also pre-defined: based on baseline market and community assessments that were conducted as part of the learning-by-doing approach under the preparedness pilot. After the values and market functionality were checked, the strategic decision of having funding allocated for CTP enabled them to respond as quickly and effectively with cash transfers at scale during floods in 2013 (in comparison to previous operations).

5.2 Incorporate CTP into human resource systems – recruit and build capacity of CTP staff volunteers and surge

Building the CTP capacity of staff and volunteers is critical to improving the National Society's ability to deliver CTP responses at scale. Wherever possible, CTP should be integrated into existing preparedness, contingency planning and response training materials, to ensure its institutionalization and sustainability. To support this, a range of CTP training materials have been developed by the Movement and are available for National Societies and partners to use both online or to develop and use in face-to-face trainings across the National Society.

CTP training is needed not only by the staff and volunteers of the operational disaster response teams, but also by staff from support services such as logistics, finance and communication, to ensure that they have a good understanding of the needs, constraints and processes that are involved in CTP responses.

It is important that CTP training and capacity building is budgeted for, and such activities can sometimes be included in DREF or Emergency Appeals budgets if they are part of an ongoing emergency response. It is also important that a National Society maintains an updated database of CTP capacity. This should

Box 8. National Society example: mainstreaming CTP training and capacity building

In Viet Nam, CTP was integrated into existing training such as assessment tools and processes and beneficiary communication. CTP specific training sessions were developed in areas which needed exclusive capacity building on CTP related subjects, such as on market assessment, and cash transfer mechanisms, to ensure that National Disaster Response Teams (NDRTs) and Provincial Disaster Response Teams (PDRTs), were familiar with CTP-adapted tools and processes. These sessions were included in the curriculum of the existing National Society preparedness programme and were supported and funded by other Movement partners in Viet Nam.

include both staff and volunteers, and list names and contact details, training courses completed and CTP experience. The database should also list CTP trainers available along with their competencies, etc. Training is not the only approach to capacity development: opportunities for monitoring and coaching should also be considered to develop the experience of National Society staff and volunteers.

In addition, like other staff, it is important that CTP staff and volunteers also have clear human resource plans/goals and standard job descriptions. Templates for these are also available in the box on tools at the end of stage 2.

5.3 Incorporate CTP into financial systems

The logistical, administration and financial systems of National Societies are typically designed for in-kind responses and may be too restrictive for delivering CTP in emergency response contexts. The complexity and slow speed of existing financial and audit controls and justifications are often identified as some of the most critical bottlenecks to the delivery of timely CTP response at scale in emergencies. These can include slow financial and managerial approvals, lengthy cash justifications, and delays in processing payments to third-party providers.

While it is imperative that CTP responses are compliant with existing and relevant financial control procedures, these will need to be adapted as necessary to support the effective and timely scaling up of CTP-based responses. Specific control systems must be developed, tested, improved and rolled out for each different CTP modality and for the different delivery mechanisms to be used. The National Society can start by developing the systems for the priority modalities and delivery mechanisms and then expand its systems as their CTP capacity strengthens. This process goes hand-in-hand with the development of CTP SOPs.

- Consider the legal, financial and audit requirements on programming within the National Society. It is helpful to clarify these and work to ensure that the CTP SOPs reflect these requirements. To ensure that the CTP SOPs are streamlined and clear for all to follow, keep them as simple as possible and ensure that they cover the level of internal controls needed whilst not unnecessarily exceeding these controls.

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- Financial systems need to be considered in light of their internal control and risk management function for any National Society. It can be useful to work through the existing procedures considering CTP and examine if and where there may be areas requiring further adaptation, development or accompanying guidance.
- Consider key financial areas such as accounting coding, financial assessment and approval of third parties or financial intermediaries, segregation of duties and any specific financial elements relating to different CTP delivery mechanisms such as direct cash or cash in envelopes or vouchers.

5.4 Incorporate CTP into monitoring and evaluation systems

Existing monitoring and reporting mechanisms and systems will need to be adjusted to incorporate CTP considerations. In addition, there are specific CTP monitoring tools that will need to be developed. CTP monitoring systems need to provide data on the context, the processes and the results of the programme, which then enable decision-makers to make appropriate programmatic adjustments during implementation. Process monitoring is very important all through the response cycle, to ensure that bottlenecks and problems are identified, addressed and promptly solved. Monitoring systems should include feedback on intended and unexpected outcomes and impacts from:

- households selected by the programme
- households not selected by the programme – the population, traders and markets (including price monitoring)
- financial service providers or third parties engaged in delivering cash, commodities or services to beneficiaries
- staff and volunteers involved in the CTP response at National Society headquarters and branch levels.

Evaluations should engage the whole range of stakeholders involved in the CTP response, as well as other traders and non-beneficiary communities, to ensure they capture the specific CTP response results – positive and negative; expected and unexpected. Comparisons of in-kind and CTP responses and timelines can provide useful information for analysis and recommendations.

Specifically for ensuring effective CTP in monitoring and evaluation, it is worth remembering the following:

- Set up a menu of indicators for monitoring CTP context, process, outcomes and results, in consultation with relevant departments.
- Incorporate CTP in monitoring tools and processes such as a distribution exit survey, post-distribution monitoring surveys and focus group discussions with affected communities, third parties, National Society staff and volunteers and markets.
- Incorporate CTP into evaluation interviews, surveys, questionnaires, etc. and into the process, design, indicators and analysis of all relevant evaluations and their recommendations.

5.5 Incorporate CTP into resource mobilization systems

Resources are essential for the success of CTP preparedness and National Society operational readiness. It is important that a National Society maps potential resources and keeps its CTP preparedness plans realistic according to the resources available or potentially accessible, as over-ambitious plans often lead to frustration and failure. As mentioned before, the sustainability of CTP activities stands more chance if they are integrated into existing National Society processes, and if a National Society earmarks some of its annual budget for CTP.

Humanitarian donors should be approached regularly; especially those with recognized CTP funding streams (e.g., European Commission's Humanitarian Aid and Civil Protection department (ECHO), United States Agency for International Development (USAID) or United Kingdom Department for International Development (DFID)) and CTP should be included in any relevant new proposals the National Society is developing. It is also worth exploring potential partnerships with the private sector that might contribute to resource mobilization or reduced fees on cash transfer services. Many activities can be undertaken at no additional cost, but require the engagement of existing Movement staff. NGOs or other organizations/networks in country (e.g., CaLP) might have similar initiatives or be able to organize joint activities, such as joint CTP trainings, workshops or "learning-by-doing" exercises (e.g.,WFP calls for proposals for implementing partners). There are many CTP documentation and audio-visual products available to support the process, and CTP training and capacity-building activities can be included in Disaster Relief Emergency Fund (DREF) and Emergency Appeals during a specific response operation.

If at any stage during the implementation it becomes clear that resourcing gaps exist (human, financial technical, etc.), this must be brought to the attention of senior leadership immediately to seek support. Advocacy should also be considered to secure money for pre-positioned contingency funds. Most donors will fund in-kind contingency stocks and associated warehousing/logistics costs, but it is still challenging to get support for CTP prepositioned funds ("*cash for cash*"), which therefore would need more persuasive efforts.

Box 9. National Society example: Senegalese Red Cross Society donor engagement

In Senegal, the National Society invited ECHO to the IFRC's CTP preparedness pilot's lessons-learned workshop where progress, challenges and learning from the CTP pilot were openly discussed, including the strengths and weaknesses of different delivery mechanisms and the use of new technology.

Partners in the region were impressed with the approach taken by the Senegalese Red Cross Society and the demonstrable results. This confidence in the National Society resulted in part in a successful ECHO application for food security.

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Step 6. Implement the CTP preparedness plan of action

6.1 Conduct a simulation and/or a pilot

Simulations

As with any meaningful contingency planning process, it is important that the National Society conducts a simulation exercise to test the CTP operational readiness and outputs developed through the CTP preparedness PoA, including the CTP SOPs under the conditions of the different scenarios developed earlier. It is important that this is not just a one-off, but that a process of simulations are repeated over time to keep the CTP process alive, and that learning from any CTP implementation is included in the process.

Ideally, a CTP simulation exercise would be integrated into existing contingency planning simulation exercises carried out by the National Society, but if this is not possible, the National Society should carry out specific simulations to test CTP preparedness. The National Society should invite participants from a range of stakeholders (e.g., from different departments, branches, communities, local authorities, and other organizations). Any planned simulation exercises should be included in the CTP preparedness PoA or contingency planning budget. If there are budget constraints, it is advisable to develop a desktop simulation with headquarter departments and branches to keep people refreshed on planned CTP activities.

After any response simulation, a lessons learned workshop should take place to ensure all challenges, learning and recommendations are well captured and used to improve the CTP preparedness activities and outputs. All participants that were involved in the simulation should be invited to the lessons-learned workshop and it might be appropriate to invite other actors, both from within and outside the National Society, as listed above. The National Society should also consider inviting people from neighbouring National Societies in the region who could benefit from the learning. The workshop and related implementation should be used to adapt and improve CTP tools, processes and systems and then included in the CTP Toolkit. The CTP lessons learned workshop needs to be documented in a report that can be shared with all relevant stakeholders.

Box 10. Specific areas to test during a simulation

The following functional areas could be tested during a CTP simulation:
- functionality of CTP SOPs
- roles and responsibilities
- feasible cash delivery mechanisms
- decision-making procedures
- beneficiary communications and accountability; and monitoring systems
- logistics including testing pre-agreed agreements and mock contracts with third parties such as traders, and financial service providers
- human resources and the capacity of CTP trained staff and volunteers in assessing, planning and implementing CTP.

Pilot programming

A pilot is an ideal way to further develop and test the CTP preparedness work of the National Society by rolling out a limited-scale project in real or near-to-real response circumstances. This approach informed the IFRC's CTP preparedness pilot programming during 2012 and 2013, and much of the learning from these pilots has been included in this guidance.

To achieve this, the National Society would carry out careful planning and ensure it has the required budget and resources (both financial and human). It would be part of a National Society's resource mobilization work to seek partnerships with other National Societies, the IFRC, the ICRC or external partners with whom it could work to fund such a pilot. Alternatively it may be possible to do it as part of an inter-agency exercise. It would also be important for a National Society to ensure it could access CTP technical support from the Movement or external sources to support the planning, implementation and evaluation of the pilot.

Box 11. Specific areas to test during a simulation

In **Chile**, the National Society conducted a desktop simulation of a particular scenario (seasonal fires) in some of the most vulnerable urban areas of Valparaiso city. Each year hundreds of vulnerable families living in precarious conditions see their houses devastated by fires that spread rapidly across the hills. The branch and headquarter worked together in the simulation, elaborating a mock DREF request that was sent to the appropriate IFRC approval bodies for feedback. The Chilean Red Cross also took steps to improve their CTP SOPs and systems/tools and became active CTP advocates, both internally and externally.

In the **Philippines**, the National Society ended up having to test the CTP tools, procedures and systems during real-time, at-scale response to typhoon Haiyan in late 2013. With the hands-on support of experienced Movement partners, the National Society delivered cash assistance to nearly 60,000 families. The lessons from this experience leave the Philippine Red Cross well-placed as a CTP actor, both in-country and the region and has provided a lot of experience for the Movement.

In **Viet Nam**, the National Society also had to test its CTP SOPs and plans in a sudden floods situation. While not on the scale of the Philippines, this allowed them to test and refine much of the preparedness work they had done for the direct cash grant modality (cash values, human resource capacity).

Both Viet Nam and the Philippines produced evidence of improved CTP capacity in an at scale response and strengthened the processes and tools they had already developed. In both cases, good CTP preparedness was seen to have facilitated the effectiveness of the response.

In **Senegal**, the National Society took the opportunity to develop and test newly acquired CTP skills, systems and tools during a real-time, small-scale response to seasonal urban floods in the Pikine district of Dakar. The branch and headquarter worked jointly to conduct vulnerability and market assessments, choosing to test three different CTP response modalities (paper voucher, e-voucher and mobile cash transfer) to meet the basic food and hygiene needs of vulnerable households. The value of the support was set at the equivalent of USD 100 (based on market and household assessments, baseline levels, post-floods market prices and capacities). The work carried out during the pilot allowed them to build volunteer capacity in CTP and develop an initial CTP toolkit and trainings in French. After the pilot, the Senegalese Red Cross Society was also able to include CTP in subsequent floods contingency plans/scenario development (targeting 50 per cent of the potential response to basic needs through CTP-based response) and was able to make applications to donors to fund this.

6.2 Internal and external coordination of CTP actions

Coordination is always essential during an emergency response and this is particularly true for CTP actions. It is important to map out the different CTP response initiatives that are being planned or implemented in a geographical area, to be able to identify gaps, avoid duplication and ensure that the CTP response meeting the most urgent unmet needs.

It also helps that there are coordinated CTP approaches and decisions between the different actors to ensure equity and avoid tensions, for example, by establishing common cash grant values, similar targeting criteria and beneficiary registration processes. Coordination is also important within a National Society at a time of crisis. Previous work to establish clear roles and responsibilities will pay off at this time, such as the development of SOPs and the review of simulation exercises.

The next three sub-sections consider CTP coordination within the National Society, coordination between Movement partners and external coordination.

National Society coordination

There are several layers of internal coordination in a National Society and each has to be working efficiently to support the overall CTP response. The first is between the different staff and departments in headquarters to ensure they are working closely to coordinate the different CTP activities and procedures across the programming and support services departments. In an emergency, decision-making must be quick and efficient.

The second level of coordination is between headquarters and the affected or targeted branches. The preparedness work with the various branches will be invaluable here and it is important that this capacity, processes and communication lines have been developed and tested for a CTP response in advance. In a large emergency, branches often face challenges such as limited capacities in reporting or telecommunications, or a lack of swift access to funding. These can cause delays, both in the timely transfer of cash to the branch and payments to third party providers.

Internal Movement coordination

In most cases the National Society will hold the lead for the coordination of Movement partners in their country during an emergency response operation. Similarly, the National Society should also lead the CTP response and take the related strategic decisions affecting the Movement. However, this can be a challenge especially if the National Society has limited experience in CTP, and more so if there are several Movement partners wishing to or already implementing different CTP approaches, using different targeting criteria and cash grant values. This can result in confusion for National Society staff and volunteers, for other CTP partners outside the Movement, and for the affected population and may increase reputational risk for the National Society around issues of perceived corruption, bias or security incidents. It is therefore important that the National Society has a realistic assessment of its capacity to take a strong and purposeful role in coordinating the Movement's partners, to ensure a commonality of approach and a good sharing of information, tools and standards.

Box 12. National Society example: coordination within the Movement in Viet Nam

Viet Nam Red Cross Society started a *"one-programme approach,"* in which the National Society leads on strategic decisions for the emergency response, in consultation with other Partner National Societies present in the operation and sets the standards to be followed by all Movement members in-country. This one programme approach covers:

- CTP SOPs for direct cash distributions as emergency relief
- default unconditional cash grant values for priority food/hygiene needs for a family for four weeks after a disaster (documenting the rationale for the calculation based on market assessment, price monitoring, community preferences and access/transport costs)
- vulnerability criteria for beneficiary selection (versus geographical/blanket targeting)
- minimum standards for beneficiary identification/registration
- beneficiary communications messages and templates.

All these strategic decisions, tools and templates are used by the Viet Nam Red Cross Society and all Partner National Societies to implement a CTP emergency response, once assessments confirm the information is still applicable.

It is important for the National Society to hold regular coordination meetings with the Movement's partners in-country working on CTP, or as a minimum, include CTP in other coordination forums. These meetings can be used to share information on the processes, tools/templates and standard training for staff and volunteers. It is also important for the National Society to frequently share information from the operation, both for monitoring and communication purposes.

External coordination

As National Societies have an auxiliary role to their government in an emergency response, regular coordination with national, provincial and local government is normally undertaken by both headquarter and branch staff, and the National Society usually participates in government response meetings at each level to share information and operational plans. The same is therefore the case for coordination with government in relation to CTP in an emergency response. It will be important that the National Society has set in place the contacts and lines of communication before the response, so that the government is aware of its role in CTP and the National Society can start coordinating on CTP from the outset, and not have to set up contact in the heat of the emergency.

The National Society CTP focal point and other relevant staff should regularly participate in national and regional CTP coordination meetings when possible and where they exist. This will help the National Society engage in vital information sharing, coordination and CTP preparedness and capacity building with other organizations in-country and beyond. It should be noted that there remains a lack of clarity on CTP coordination when local coordination mechanisms are overwhelmed and clusters are activated. A well-prepared National Society could be well placed to lead CTP coordination, in line with existing national coordination mechanisms and display its leadership role as an active partner for other humanitarian actors and as a champion of CTP from within its own experience and skill base.

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Coordination with the private sector can be critical, as often this is where key partners and providers reside. It is important for the National Society to map potential CTP third parties or financial service providers such as banks, financial institutions, mobile phone companies and traders, and to establish links to these agents in advance in order to ensure better coordination in the event of an emergency. Setting up CTP pre-agreements or discussing potential funding can be a good option and will lead to a more rapid and better-coordinated response.

Equally, it is recommended to set up coordination with donors in advance. Where possible, invite government and non-government donors to participate in CTP training, learning-by-doing initiatives or simulation exercises and build relationships of trust (and hopefully funding support) before the emergency.

6.3 Develop and implement CTP communications strategy and awareness materials

CTP communications should be mainstreamed into the National Society's regular communications strategy and plans – both in relation to advocacy messages, and to provide information on the National Society's different activities. CTP can be a very attractive programme to communicate around and can show the National Society as a modern, flexible and effective organization that includes a range of tools and innovative approaches in improving accountability and response to diverse humanitarian needs.

Regular updates and reports on CTP activities should be shared internally and externally to promote awareness and understanding across the National Society audience and with external partners and networks. Beyond traditional communication approaches, such as press briefings for or invitations to international, national and local media, National Society newsletters, and Movement information channels, such as the IFRC or ICRC websites, it is possible to consider setting up the National Society's own web page for its CTP activities, filming short video accounts and activating social media to promote CTP experience to a wider audience.

Beneficiary communications materials on CTP, including posters, leaflets and other approaches can be developed in advance during the preparedness stage ready to be adapted to specific responses. During an emergency response, beneficiary communication systems and tools should be accessed and used to share specific information on the CTP response, beneficiary selection criteria, CTP transfer process and timeframes, and feedback mechanisms. The CTP elements should be integrated into the National Society's wider beneficiary communication and accountability approach and dissemination. This should be shared directly with the affected population to improve the effectiveness of the assistance provided and to improve transparency/accountability around the emergency response, as it allows for two-way communication and for communities to express their opinions and preferences.

Box 13. National Society example – Chilean Red Cross and CTP communications and advocacy

Chilean Red Cross was very active in promoting CTP advocacy and mainstreaming CTP in the National Society and national media channels. CTP preparedness activities frequently featured on their website and on local and national television and news segments. Other communication and advocacy initiatives included:

- creation of a specific website for CTP to share resources, experiences, news and tools with the branches and with other National Societies in the region (one of the few resources available in Spanish on CTP)

- CTP advocacy video, now available in the CTP playlist on the IFRC's YouTube page

- session on CTP in the *2014 World Disasters Report* presentation attended by a range of humanitarian and development stakeholders.

The four tracks applied to the 'develop and implement' stage of the CTP preparedness process

Enabling systems

A National Society's **auxiliary role** with its government includes CTP elements where appropriate.

CTP considerations are included in a National Society's **strategic and response and contingency plans.**

SOPs for CTP are developed in consultation with relevant departments/functions, approved and rolled out/mainstreamed across the National Society. They are tested and updated regularly.

CTP is included in other enabling systems linked to the SOPs, such as **administrative, financial and logistics** systems, which are also regularly tested and mainstreamed (requisitions, sign-off and approval processes for emergency response, encashment processes, bank transfers to branches, payments to providers, etc.).

CTP considerations are included in the National Society's **contingency planning** and if none exists, specific CTP contingency plan scenarios are created for CTP. Cash will be considered as a response option in all related analysis, decision-making tools and management responsibilities at branch, national and international levels of response.

CaLP resources are known and made available within the National Society to provide additional technical guidance and support.

The National Society is actively represented in any local CTP coordination network.

Programme tools

• ToR for a National Society CTP focal point	CiE Toolkit, Module 1
• ToR for a National Society CTP Technical Working Group	CiE Toolkit, Module 1
• CTP SWOT template and sample	CiE Toolkit, Module 1
• CTP Preparedness PoA and budget template	CiE Toolkit, Module 1
• National Societies drafting CTP SOPs guidance and template	CiE Toolkit Module 1
• IFRC Cash Based Programming SOPs, annexes and training package	CiE Toolkit, Module 1
• Overview and summary of existing IFRC CTP training products	CiE Tooklit, Module 1
• Roadmap for service provider selection and contracting	CiE Toolkit, Module 4
• ToR for service provider	CiE Toolkit, Module 4
• IFRC Standard legal contracts for service providers	CBP SOPs, Annex 4
• IFRC CTP Audit Checklist	CBP SOPs, Annex x
• Roadmap for CTP monitoring and evaluation planning	CiE Toolkit, Module 5
• IFRC Simulation guidance and training package	
• IFRC Handbook for Coordination: Working Together in International Disaster Response, Working Draft	CiE Toolkit, Module 1
• FAQs for CTP	CiE Toolkit, Module 1
• IFRC CTP YouTube channel: www.youtube.com/playlist?list=PLrI6tpZ6pQmRg2nU1MEsxiKdMKPABKmlQ	

Resources and capacities

An overall CTP focal point is appointed to support and coordinate the CTP preparedness process within the National Society.

A **CTP technical working group is established** that is representative of key and cross-functional departments, to steer and contribute to the CTP preparedness process.

National Society staff in logistics, financial and administrative systems are trained in CTP and are competent to support CTP programmes.

CTP considerations should be included in existing or planned resource allocations. Adequate funding should also be included in CTP contingency planning, earmarking a percentage of funding for the CTP response.

Pre-positioned contingency stocks include CTP options and consider voucher design and processing systems, ready-made cards, and technical kits for beneficiary registration and distribution management.

Pre-agreements with third parties and financial service providers such as banks, financial institutions, remittance agencies, mobile companies, traders, etc. are mapped and where possible agreed and set up in advance.

National Society staff and volunteers have received training in CTP to ensure sufficient capacity at all levels (headquarter and branches). This can include classroom and field based training**,** plus "learning-by-doing" experiences for both staff and volunteers. The Movement and CaLP has existing online and face-to-face training courses, tools and materials for CTP training, including:

- introduction to CTP (online via IFRC Learning Platform)
- theoretical CTP Training (online via the IFRC Livelihoods Resource Centre or 4 day face-to-face materials available)
- CTP Trainer of Trainers (face-to-face)
- CaLP Level 1 and 2 trainings (face-to-face)
- IFRC Practical Emergency CTP training (advanced face-to-face).

Communication and coordination

- **National Society and Movement partners prioritize CTP coordination** and actively contribute and participate in these networks.
- **CTP considerations are included in the National Society's communications strategy** as well as internal and external advocacy approaches and plans.
- **Beneficiary communications and accountability systems are developed and have CTP integrated into them.** Relevant materials such as posters, leaflets, sound bites, etc. are developed and ready to be adapted to specific responses.
- The National Society develops a range of **communication materials** to promote better understanding and shares good practices on CTP through a variety of media, including audio-visual materials and case studies. The National Society develops FAQs and talking points on CTP, and identifies contextual challenges to CTP and sample responses. CTP experiences and CTP preparedness activities are regularly reported and disseminated internally and externally through the local and national media, websites and social media.
- The National Society accesses, utilizes and updates the **CaLP Cash Atlas** with their own data.

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Stage 3

Review, learn and improve

We can review the effectiveness of the CTP preparedness process itself, as well as the resulting CTP operations. Both provide opportunities for reflection, learning and improvement – and these can be documented and contribute to a growing body of expertise about capacity in CTP operations.

Stage 3 has three steps and five sub-steps.

Figure 10. **The steps in review, learn and improve**

Review, learn and improve		
Step 7. Evaluating levels of CTP preparedness	**Step 8. Learning from CTP operations**	**Step 9. Communicating and sharing learning**
• creating a learning environment • internal review of CTP preparedness	• learning-by-doing for National Society staff and volunteers • external evaluation of CTP operations	• document and disseminate learning and contribute to global evidence
Advocacy and communication		

Figure 11. A summary of the four tracks in 'review, learn and improve'

Review, learn and improve benchmarks	Enabling systems	There is an open and transparent attitude to review, evaluation and learning with the National Society. CTP learning identifies remaining obstacles to improve CTP processes. The National Society is open to learning from others inside the Movement and externally and joins with others to share learning. Learning shared and disseminated within and externally to the National Society.
	Programme tools	Standard tools are used or adapted to the local context, and used for: • reporting on the progress of the CTP preparedness project • evaluating the level of CTP preparedness • external evaluation of CTP operations • developing case studies.
	Resources and capacities	Internal capacity to effectively monitor CTP operations and preparedness project. Documentation and review are adequately resourced with people, time and financial resources with senior leadership engaged in the learning process. Measures are in place to monitor and review financial service providers working with the National Society.
	Communication and coordination	National Society fully engages in a range of networks and platforms for exchanging CTP experience. Learning opportunities are properly documented and disseminated.

See the end of this section for a more detailed description of the four tracks applied to 'review, learn and improve.'

Step 7. Evaluating levels of CTP preparedness

7.1 Creating a learning environment

It is critical that senior leadership are committed to transparent learning from the outset, and a willingness to review processes that may go beyond the immediate implementation of CTP operations. For example, case studies that show a National Society recognizing an internal weakness and taking action to overcome it are far more convincing – and provide better learning for others – than case studies that consistently show operations as functioning smoothly.

People are essential to the review and learning process, and the mind-set of monitoring, review and learning should be part of the CTP approach from the outset. As a starting point it is important to ensure that the CTP focal point has a clear role in monitoring and evaluation. The CTP technical working group,

or nominated representatives within it, should help to set up the systematic monitoring system across the different departments or sectors of the CTP preparedness PoA. The technical working group would also work with the CTP focal point to gather the information across the sectors to input into the monthly narrative and financial reports shared with senior managers and the Movement partner(s). And finally, the technical working group should conduct a mid-project review with senior leadership and key stakeholders to review progress on the PoA and propose amendments its outputs, activities and budgets.

The CTP preparedness outputs such as tools and procedures should be reviewed during the simulations and pilots that are part of the contingency planning. They can also be considered as part of a wider review and learning process of operations to fine tune existing systems and tools. During development and implementation, points for review can be included at key milestones in the CTP preparedness PoA. Monitoring the CTP preparedness PoA is important, as it enables the National Society to routinely collect and analyse information to track progress, check compliance and make informed decisions on the project management.

7.2 Internal review of CTP preparedness

A one or two day lesson learning workshop should be included in the original CTP preparedness PoA and the National Society should ensure it takes place to capture learning and recommendations from each CTP simulation, pilot or response. It is important to focus on the whole CTP process rather than just the final simulation or response, to be able to identify what contributed to the successes, and what needs to be improved. The lesson learning workshop follows a similar approach to the workshop at the beginning of the CTP process (see 3.1). It should be consultative and participatory, and develop recommendations based on the implementation of CTP actions. Whenever possible, it is good to link it with any other similar workshops planned in relation to wider preparedness, contingency planning or response activities.

Participants at the workshop should include:

- CTP focal point and technical working group members
- National Society senior governance and leadership (at least for the results session and final session on recommendations/next steps)
- National Society management
- key programme and support services staff from headquarter and branches
- key volunteers from headquarter and branches involved in the CTP programme
- Movement partners in-country/region; and external participants (partners, donors, etc.) involved in CTP (for some of the sessions).

A wider group of those directly involved could be invited to join in the learning and recommendations brainstorming sessions.

The key sessions that should occur at this point are:

- A refresher on the CTP preparedness process, and the main activities and outputs, including systems, procedures, tools, training and communications materials.
- The identification of opportunities for learning from the CTP preparedness process, including specific recommendations on how to improve the process

in the future. This should identify specific changes to be made to the systems, procedures and tools that were tested during the delivery, with input from those involved at headquarter and branch levels or from other organizations. Other areas to include could be thinking through how to ensure sustainability of the CTP preparedness process, how realistic or ambitious the expected outcomes were, the adequacy of resourcing allocated and of expenditure against budget, and the reasons for things working or not working out well and what specifically needs to change next time.

- Updating of the National Society CTP capacity SWOT analysis to see what progress and changes have occurred, what bottlenecks still need to be worked on and identify any new challenges that need to be tackled. This helps to stimulate discussion and inform next steps and recommendations for the future. It can also reinforce the National Society's commitment to continue developing its capacity in CTP.
- There should be a presentation of the National Society's current CTP response capacity and recommended action points from workshop discussions to take this forward. This could include a discussion of potential resource mobilization options if the National Society is to continue with CTP and the possibility of replicating the experience in new areas/branches. There should also be a discussion of the ongoing roles of the CTP focal point and technical working group.
- A final session should focus on learning from the CTP preparedness process and the action points from the meeting, which should be captured in writing and shared with key stakeholders. The National Society should draft a CTP lessons learned workshop report.

It is interesting to consider a CTP lessons learned workshop press release or online newsfeed from the communications department to share with partners and media. Communications could also consider drawing up a document of the workshop (written or audio-visual) to share with other headquarter and branch staff and volunteers, as well as partners unable to be present.

Box 14. CTP lessons learned workshop report

Start with a summary of key achievements and good practices.

Include a summary explanation and the original and revisited CTP capacity SWOT.

Include recommendations for improving specific outputs (systems, tools, training materials, etc.).

Conclude with recommendations for improving/adapting the CTP preparedness process.

Finalize with next steps and recommendations for the future.

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Step 8. Learning from CTP operations

8.1 Learning-by-doing for National Society staff and volunteers

Review and learning should also be considered as part of CTP training efforts and factored into training syllabuses and follow up. It can also be stimulus for a more "learning-by-doing" approach to implementation, which has proved to be the most popular and successful approach to capacity building, as participants are able to:

- test systems, processes and tools in simulated or real environments
- improve, refine and adapt CTP tools, procedures and templates to local context
- have a clear picture of the real CTP operational capacity and readiness of the National Society.

Opportunities to implement learning-by-doing include:

Preparedness activities: Integrating CTP into VCA, risk and hazard mapping, market and key commodity mapping, assessment of potential cash transfer modalities and delivery mechanisms, population preferences, targeting approaches (geographical/vulnerability based), cash grant values per sector and National Society capacities database analysis all allow staff and volunteers to learn new skills and tools in a controlled and more relaxed timeframe before an emergency.

Contingency plan simulations and programming pilots: This allows a National Society to test the CTP SOPs, including financial systems, assessment tools, decision-making and communication processes, implementation approaches and tools, coordination mechanism etc. It also allows for testing of the monitoring system and tools.

Real-time emergency response: Developing and testing CTP systems, tools and capacities can also be learned during the implementation of a real emergency response, especially if there have been delays or lack of funding for preparedness activities before the disaster or crisis hits. DREF and Emergency Appeals can accommodate some CTP capacity building activities, if CTP is part of the ongoing emergency response.

It is a good idea to limit the scope of learning-by-doing to small and targeted activities so enabling selected branches to develop their CTP capacities. These branches can then become champions of CTP and support its replication in other areas of the National Society, which is often more sustainable than participating in external CTP training events.

It is always good practice to include external partners in learning-by-doing exercises, particularly during the preparedness or contingency planning phase, as this fosters better communication and coordination in real life scenarios. It is also possible to carry out peer coaching or learning deployments, where a National Society agrees to allow CTP staff/volunteers from other National Societies to participate in their operations to have hands on learning experience.

8.2 External evaluation of CTP operations

It is important to hold an internal review through the lessons learned workshop, but it is also important to ensure there is an external evaluation at the end of a CTP preparedness process or emergency response. The aim is to identify in a systematic and impartial way, the process's strengths and weaknesses in relation to its design, actions/outputs and impact. The evaluation should draw out the lessons learned (it can also look at findings from the lessons learned workshop as part of the process) and make key recommendations to inform and improve existing and future practices, based on external experience and perspectives. It is important that the National Society should plan and budget for a specific CTP evaluation in the CTP preparedness PoA, to look in more detail at the workings of CTP processes during the preparedness stage as well as during any response. If other evaluations are planned for either the preparedness or response activities, then CTP processes should be included in these, but this should not replace a specific evaluation for the CTP experience.

An independent evaluation team should be hired, including a team leader and members with relevant Movement and CTP experience, plus previous experience of evaluation techniques. The evaluation should include questions and analysis specifically targeted at reviewing the process, design, outputs and impact of the CTP preparedness work in the National Society. The evaluation must also show the resources allocated and expended and must capture good practice and make concrete recommendations.

Case studies are also an interesting way to consider documenting the strengths, challenges and solutions found during a CTP experience (see case studies on the four pilot countries evaluated as part of the IFRC CTP preparedness pilot project). An external reviewer/writer can be identified to review the experience to date and draw up a brief study to illustrate the learning and recommendations for future cash transfer programming. This can also contribute to the wider body of evidence around CTP experience in the Movement and support similar initiatives in other countries or could be used to support resource mobilization and efforts to support future capacity building.

Step 9. Communicating and sharing learning

9.1 Document and disseminate learning and contribute to global evidence

It is important to share and promote all good practice and learning from the CTP preparedness experience, both internally to Movement partners and externally to other actors and networks. This includes learning from experience, from the lessons learned workshop and from any reviews or evaluations. Dissemination of tools and case studies, news and audio-visual materials can be an excellent way to promote the work of the National Society as well as making a valuable contribution to the humanitarian sector. A National Society should also be willing to provide peer-to-peer technical support to other National Societies that are implementing similar initiatives.

Becoming an advocate for the use of CTP throughout the Movement and sharing experience with other humanitarian partners will help to contribute to the growing evidence-base around CTP. Good quality monitoring and tracking of progress through the CTP preparedness process against the initial baseline can be used as clear evidence of the capacity gained which is vital to attract and secure further investments. A National Society should commit to sharing their experience with others and to providing technical assistance to less experienced National Societies through peer support to share their CTP learning.

The four tracks applied to the 'review, learn and improve' stage of the CTP preparedness process

Enabling systems

The National Society is **committed to learning** and development through comprehensive and transparent processes.

CTP learning is captured and utilized to improve CTP systems, procedures and tools as well as to document progress, achievements and remaining obstacles to mainstreamed CTP.

Solid monitoring and learning systems will be in place at key milestones in the CTP preparedness PoA and will be used to make revisions and updates to ensure effective and efficient progress.

CTP preparedness activities and any related emergency response will be **evaluated** to identify, capture and document learnings to date and make recommendations on the future sustainability of any capacity built.

Learning and resources from other humanitarian partners are known and made available to National Society headquarter and branch staff working on CTP to provide technical guidance.

Learning and evaluation findings are captured and disseminated widely within the Movement and externally to partners, donors, media outlets, etc.

The National Society will **research and join local networks** to support technical quality and share learning.

Programme tools

• CTP preparedness monthly reporting template	CiE Toolkit Module 1
• IFRC Contingency Planning Guide (2012)	
• IFRC simulation guidance and templates (2015)	
• NS CTP capacity SWOT template and sample	CiE Toolkit, Module 1
• Generic CTP Preparedness Evaluation ToR	CiE Toolkit, Module 1
• IFRC NS CTP Preparedness Self-Assessment Tool	CiE Toolkit, Module 1
• IFRC CTP Case Study and Fact Sheet Templates	CiE Toolkit, Module 1
• CaLP Cash Atlas	

Resources and capacities

National Society **CTP technical working group and CTP focal point are appointed to monitor and review** the CTP preparedness process and empowered to implement improvements and support the evaluation process.

National Society staff/volunteers are **trained on CTP monitoring approaches, systems and tools** as part of their CTP training and are aware of planned CTP reviews/evaluations.

Adequate time and human resources are be given for monitoring, review/evaluation and lesson learning. This includes during the lessons learned workshop, updated SWOT analysis and recommendation development.

Adequate **resource mobilization** is available to support monitoring, review, the lesson learned workshop and the final evaluation, and is specifically budgeted for in the CTP preparedness PoA.

Steps are in place to **monitor and review the accountability of third parties and financial service providers** working with the National Society.

Communication and coordination

- National Society **fully engages in networks and platforms for exchanging CTP experience** with other Movement partners and/or with external partners, both in country and at regional and global levels where appropriate.
- **Regular reviews of communications / beneficiary communication and accountability strategies** and plans are undertaken, specifically their targeting and outreach/hit rate, to see if they continue to be effective or need updating. This should be planned and budgeted for.
- IFRC and National Society **CTP learning products** such as case studies and audio-visual materials are produced and shared and disseminated widely.

Annex

Checklist of main outputs at each stage

		Checklist of main outputs
Prepare and analyse	**Step 1. Documenting the pre-disaster baseline**	• Documented baseline: context and market systems, vulnerability, hazard and seasonality, modalities, delivery mechanisms and potential partners, mapping of other actors and coordination structures, National Society capacity at all levels.
	Step 2. Develop and analyse scenarios	• Scenarios: hazards, scale and scope of impact, response options including CTP, access and logistics, other actors.
	Step 3. Identify the gap in CTP preparedness	• Summary of stakeholder workshops, including SWOT and other analytical tools. • Preparedness gap analysis including National Societies self-assessment for CTP – can also be used at the mid-point and the end point of the process for comparison.
Develop and implement CTP preparedness	**Step 4. Develop the CTP building blocks**	• ToR for CTP technical working group. • CTP preparedness PoA • Human resource mapping (names, roles, location) involved in CTP preparedness and mainstreaming • CTP SOPs with clear roles and responsibilities outlined at each stage of the response process.
	Step 5. Mainstream CTP into key areas	• Revised policy and/or strategy documents. • Training and development plan for staff. • CTP integrated into contingency planning processes and documents. • CTP tools and training adapted to local context. • CTP resource mobilization plan.
	Step 6. Implement the CTP preparedness PoA	• Pre-agreements with third party providers. • CTP beneficiary communications (materials and methods). • CTP advocacy materials. • Simulation and pilot project documentation.
Review, learn and improve	**Step 7. Evaluating levels of CTP preparedness**	• Findings of internal review workshop. • National Society self-assessment for CTP – comparison with baseline.
	Step 8. Learning through CTP operations	• Evaluation reports (internal and external)
	Step 9. Communicating and sharing learning	• Case studies and other media

The Fundamental Principles of the International Red Cross and Red Crescent Movement

Humanity The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavours, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.

Impartiality It makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.

Neutrality In order to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.

Independence The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

Voluntary service It is a voluntary relief movement not prompted in any manner by desire for gain.

Unity There can be only one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

Universality The International Red Cross and Red Crescent Movement, in which all societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

For more information on this IFRC publication, please contact:

Emma Delo
Senior Officer, Recovery
Disaster and Crisis Management Department
Tel: +41 (0)22 730 4676
emma.delo@ifrc.org

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