

## 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
<ul style="list-style-type: none"> <li>• appoint a National Society CTP focal point</li> <li>• establish a CTP technical working group</li> <li>• develop the CTP preparedness PoA</li> <li>• develop CTP SOPs</li> <li>• update and finalize a locally appropriate CTP toolkit</li> </ul>	<ul style="list-style-type: none"> <li>• mainstream CTP into National Society strategic, contingency and response plans</li> <li>• incorporate CTP into human resource systems – recruit and build capacity of CTP staff volunteers and surge</li> <li>• incorporate CTP into financial systems</li> <li>• incorporate CTP into monitoring and evaluation systems</li> <li>• incorporate CTP into resource mobilization systems</li> </ul>	<ul style="list-style-type: none"> <li>• conduct a simulation and/or a pilot</li> <li>• internal and external coordination of CTP actions</li> <li>• develop and implement CTP communications strategy and awareness materials</li> </ul>
<b>Advocacy and communication</b>		

**Figure 9. A summary of the four tracks in ‘develop and implement’**

<b>Develop and implement benchmarks</b>	<b>Enabling systems</b>	<p>The National Society’s auxiliary role includes a reference to CTP.</p> <p>The National Society is committed to mainstreaming CTP and this is reflected in strategic and operational plans as well as the CTP preparedness plan.</p> <p>CaLP resources are known and available.</p>
	<b>Programme tools</b>	<p>Standard tools are used or adapted to the local context, and used for:</p> <ul style="list-style-type: none"> <li>• The creation of a CTP technical working group and the appointment of a CTP focal point.</li> <li>• Self-assessment of CTP preparedness and capacity.</li> <li>• Draft of National Society CTP SOPs guidance and template.</li> <li>• Identification and contracting of financial service providers.</li> <li>• Mapping of donors and trends.</li> <li>• Development of simulations.</li> </ul>
	<b>Resources and capacities</b>	<p>The National Society CTP structures and building blocks are functional and inclusive.</p> <p>National Society staff and volunteers from programming, support services and from headquarters and branch levels are trained in CTP processes and tools.</p> <p>CTP is included in operational contingency plans and stocks, including equipment, cards and kits and for registration processes.</p> <p>Pre-agreements established with financial service providers.</p> <p>Partner and/or donor resources are mapped, identified and confirmed.</p>
	<b>Communication and coordination</b>	<p>CTP coordination is prioritized and properly resourced.</p> <p>Beneficiary communications materials are prepared, and ready to be adapted.</p> <p>CTP is referenced within the National Society’s communications strategy.</p> <p>Other communications materials such as FAQs, talking points, audio-visuals, case studies are prepared and ready to be adapted.</p>

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

## 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.

- 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.

## 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.



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 Toolkit, 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: <a href="http://www.youtube.com/playlist?list=PLrI6tpZ6pQmRg2nU1MEsxiKdMKPABKmiQ">www.youtube.com/playlist?list=PLrI6tpZ6pQmRg2nU1MEsxiKdMKPABKmiQ</a>	

## 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.