

Enhancing livelihoods response capacity

**GUIDANCE FOR LIVELIHOODS
PREPAREDNESS AND OPERATIONAL
READINESS**

IFRC LIVELIHOODS RESOURCE CENTRE

Acknowledgements

Acknowledgement and thanks to all that have contributed to the development and revision of this guidance. Special mention to the staff and volunteers of the Nicaraguan Red Cross and Vietnamese Red Cross. The pilots and guidance were part of a global Livelihoods Resource Centre (LRC) project supported by ECHO through the Emergency Response Capacity funding.

The development of this guidance has capitalised in the learning and recommendations received from the eight *Enhanced Livelihoods Response Capacity* pilots. This IFRC LRC initiative was implemented by the Nicaraguan Red Cross, Peruvian Red Cross, Senegalese Red Cross, Mauritanian Red Cross, Vietnamese Red Cross, Timor Leste Red Cross, and Intermón Oxfam country offices in Nicaragua and Dominican Republic. The IFRC LRC, the French Red Cross (FRC) and Intermón OXFAM managed and provided technical support to the pilot projects.

The IFRC *Cash transfer programming guidelines for mainstreaming and preparedness* has a strong influence in this guidance with regards to its approach and structure. As many of the pilot countries were Red Cross Members, it was decided to adopt the same four track and nine step approach to livelihoods preparedness to keep both the cash transfer and livelihoods preparedness approaches coherent and harmonised.



Humanitarian Aid
and Civil Protection



OXFAM



Livelihoods Centre
knowledge creation | knowledge sharing | knowledge networking

International Federation
of Red Cross and Red Crescent Societies

in partnership with
Spanish Red Cross

Table of Contents

Acknowledgements	1
Table of contents	2
List of abbreviations	3
Introduction	4
Purpose and process of this guidance	4
Target audience	4
How to use this guidance	5
The three stages and nine steps of livelihoods preparedness	5
The four tracks of livelihoods in emergencies preparedness process.....	6
<i>The nine steps towards livelihoods preparedness</i>	<i>11</i>
<i>Stage 1 IDENTIFY AND ANALYSE</i>	<i>12</i>
Step 1. Document livelihoods capacity within the organization and available in country resources	12
Step 2: Livelihoods capacity self-assessment workshop: Identify and analyse the institutional gap in livelihoods capacity	14
Step 3: Consolidate results: livelihoods capacity baseline and priority actions	16
Outputs checklist for steps 1, 2 and 3	16
<i>Stage 2 DEVELOP AND IMPLEMENT</i>	<i>17</i>
Step 4: Set up the livelihoods preparedness working group and appointment of focal point.....	18
Step 5: Develop the livelihoods preparedness action plan	18
Step 6: Implement the livelihoods preparedness action plan.....	19
Outputs checklist for steps 4, 5 and 6	21
<i>Stage 3 REVIEW, LEARN AND IMPROVE</i>	<i>22</i>
Step 7. Levels evaluation of livelihoods preparedness	22
Step 8. External evaluation of preparedness project and emergency responses.....	24
Step 9: Documentation and dissemination of learning contributing to global evidence	25
Outputs checklist for steps 7, 8 and 9	iError! Marcador no definido.
<i>Annexes</i>	<i>26</i>

List of abbreviations

CaLP	The Cash Learning Partnership
CTP	Cash transfer programming
DRR	Disaster risk reduction
ECHO	European Commission's Humanitarian Aid and Civil Protection Department
ERC	Enhancing response capacity
FEWSNET	Famine early warning systems network
FRC	French Red Cross
IASC	Inter-Agency Standing Committee
IFRC	International Federation of the Red Cross and Red Crescent Societies
LLHs	Livelihoods
LRC	Livelihoods Resource Centre (IFRC)
MRC	Mauritanian Red Crescent
NGO	Non-governmental organization
NRC	Nicaraguan Red Cross
OD	Organizational development
SRC	Spanish Red Cross
SRCS	Senegalese Red Cross Society
SWOT	Strengths, weaknesses, opportunities and threats. Refers to the SWOT analysis.
RCM	Red Cross Movement
UN	United Nations
UNDP	United Nations Development Programme
VNRCs	Viet Nam Red Cross Society



Vietnam Red Cross, A VNRC facilitator (right) explains livelihoods vulnerabilities to a village member. Mekong Adaptation and Resilience to Climate Change project.

Introduction

In the aftermath of a disaster, most humanitarian organizations prioritize lifesaving responses, relegating livelihoods interventions to the recovery phase. Evidence shows that interventions protecting and restoring livelihoods immediately after a crisis, contribute significantly to a more rapid and sustainable recovery of the affected population, reducing their dependency on humanitarian assistance.

The IFRC Livelihoods Resource Centre (LRC), hosted by the Spanish Red Cross, initiated a global project to strengthen the operational capacity of humanitarian organizations to deliver livelihoods and cash transfers emergency responses on scale. Eight pilots were implemented in different countries and informed on the development of this step-by-step enhancing of livelihoods response capacity and preparedness guidance.

This IFRC LRC initiative was implemented by the Nicaraguan Red Cross, Peruvian Red Cross, Senegalese Red Cross, Mauritanian Red Cross, Viet Nam Red Cross, Timor Leste Red Cross, and Intermón Oxfam country offices in Nicaragua and Dominican Republic.

The French Red Cross (FRC), the IFRC, the IFRC LRC, and Intermón OXFAM managed and provided technical support to two of these pilots each.

Purpose and process of this guidance

To guide efforts of humanitarian organizations to strengthen livelihoods capacity in emergencies. In addition to the learning and recommendations from the pilots implemented, this guidance builds on a number of IFRC, OXFAM and other organizations capacity building documents and tools.

As part of the global ERC initiative the LRC has also developed a livelihoods toolkit, available on the *LRC website* and which may be used in combination with this guidance.

Six out of eight pilots were implemented by the Red Cross Movement (RCM) members. Some of them included both cash transfer and livelihoods capacity building. As the RCM has recently developed the *Cash transfer programming guidelines for mainstreaming and preparedness*, it was decided to keep preparedness efforts both consistent and harmonised by using the same approach which includes the three stages, four tracks and nine steps to preparedness.

Other cash transfer resources used by some of the pilots include the RCM CTP guidelines and *the RCM CTP emergencies toolkit*. Other CTP documents that may be useful to mainstream cash preparedness are OXFAM's *working with markets and cash SOPs*; and the *Operational guidance and toolkit for operational multi-purpose cash grants* among others. Additionally, the Cash Learning Partnership (CaLP) website has an extensive number of CTP guiding documents and tools.

Target audience

This document is designed to support humanitarian organizations that want to strengthen their livelihoods in emergencies response capacity and need guidance on how to approach this process.

The document design and steps are simple and easy to follow; it may be easily used by international and national NGOs and organizations with little or no livelihoods in emergencies experience.

How to use this guidance

This document indicates the three stages and nine steps towards achieving livelihoods in emergency preparedness and operational readiness. Each organization must adapt the process and steps to their own context and needs, building a simple or complex action plan, according to the prioritized needs of capacity and resources.

This guidance has been structured to facilitate easy use by organizations wishing to strengthen livelihoods preparedness prior to a disaster response. As already mentioned, it follows the structure of the RCM *Cash transfer programming guidelines for mainstreaming and preparedness*.

Feedback received recommended that both livelihoods and cash transfer in emergencies preparedness use the same language, processes and approaches. Therefore, even if during the pilot a slightly different terminology has been used, we have harmonised it using the same four track and nine step approach and language. This facilitates the efforts of some organizations that undertake both livelihoods and cash in emergencies preparedness at the same time.

The three stages and nine steps of livelihoods preparedness

Capacity building is an iterative process where learning is used to revise and improve approaches, systems and tools. Those are then tested, and improved over time after each experience. The preparedness process is based around the same principle; the learning and recommendations shared and documented at the end of the pilots were used to develop this guidance; and to inform future preparedness plans. The future learning generated by those replicas will in a few years, be used again to improve this guidance and inform of new preparedness initiatives.

The three preparedness stages and nine steps of preparedness are outlined in the diagram and table below.

Figure 1: The three stages of livelihoods preparedness



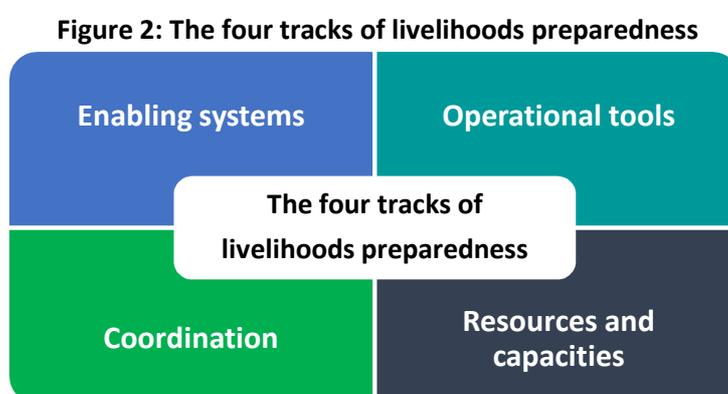
The next table presents the nine steps of preparedness. Three steps have been identified at each stage. The steps are explained in detail in the main section of this guidance.

Table 1: The three stages and nine steps of livelihoods preparedness

STAGE	STEPS	
1. Identify and analyse	Step 1	Document the livelihoods capacity in the organization and resources available in country
	Step 2	Capacity gap analysis: livelihoods capacity self-assessment workshop
	Step 3	Consolidate and document workshop results: institutional livelihoods capacity baseline and priority actions
2. Develop and implement	Step 4	Ensure adequate human resources: establish the working group and nominate the focal point
	Step 5	Develop the livelihoods preparedness action plan
	Step 6	Implement the livelihoods preparedness action plan
3. Review, learn and improve	Step 7	Levels evaluation of livelihoods preparedness: mid-term evaluation, learning by doing, peer to peer support approaches and lessons learned workshop
	Step 8	Learning from implementation of livelihoods preparedness and emergency responses
	Step 9	Communicate and share the learning

The four tracks of the livelihoods in emergencies preparedness process

Effective capacity building and operational readiness efforts can be organized around the following four preparedness parallel tracks¹:



¹ These are the four tracks identified in the Red Cross Movement cash transfer programming guidelines for mainstreaming and preparedness.

- **Enabling systems:** supportive organizational environment exists.
- **Programme tools:** livelihoods emergency response tools developed, tested and ready.
- **Resources and capacities:** adequate resources and capacity developed.
- **Coordination:** internal and external (government, humanitarian actors, donors...).

To achieve adequate levels of preparedness, it is important to include activities under each of the four tracks mentioned. The prioritization of activities will depend on the organization's profile, existing capacity and resources. The different activities under each track can be used as building blocks to develop capacity and operational readiness over time. The combination of different building blocks will result in the preparedness action plan.

Table 2: The four tracks of livelihoods preparedness

Track 1. Enabling systems

This is the institutional environment that includes strategies, plans, systems and procedures that support timely and effective livelihoods in emergencies interventions.

Including the incorporation of the livelihoods in emergencies approach into the organization's strategic plans, and disaster management plans (preparedness, contingency and response).

Important also to have the leadership and decision makers support to endorse the livelihoods preparedness process and that adequate resources are allocated to achieve this.

Track 2. Programme tools

Having livelihoods in emergencies programme tools is critical to ensure adequate levels of preparedness and operational readiness. When possible, the existing emergency tools used by the organization should be adapted to include livelihoods and cash transfer consideration. Developing specific livelihoods and CTP in emergencies tools only when these do not exist.

The livelihoods in emergencies tools need to cover all the phases of the emergency response project cycle. From the assessment, response, decision making, design, implementation, monitoring, to the evaluation.

Livelihoods response tools should be developed, tested in the field and improved before adding them to the existing emergency toolkit of the organization and ready to be used in the next response. Tools should be revised and improved also after each emergency response.

It is important to remember that the tools are used as reference and should be contextualised to the specific needs of the particular emergency response (urban, rural, conflict, displacement, complex. etc.).

Track 3. Resources and capacity

It is necessary to mobilize adequate human and financial resources that support the organization's capacity building and operational readiness efforts. Including livelihoods preparedness into the existing emergency preparedness plan and training packages of the organization is a good practice and supports the mainstreaming and sustainability of the livelihoods preparedness initiative. Specific budget allocation is needed to strengthen the livelihoods in emergencies capacity and to support the livelihoods needs in the emergency responses.

The livelihoods capacity can be developed and strengthened through face to face and online training. Also by using the learning by doing, peer to peer and mentoring approaches. Critical also to ensure that technical capacity includes the training of trainers.

Track 3. Resources and capacity (*continuation*)

This is key to build a network of trainers in the organization that ensure the sustainability and multiplier effect of this initiative; enabling capacity building activities to be replicated at field level targeting branches and local partners, while reducing costs and dependency on external technical assistance.

The main objective is to develop and strengthen the livelihoods response capacity and operational readiness of the emergency response teams. In addition, members of different departments and sectoral areas should also be included. Especially those that are implementing livelihoods activities in their programmes (i.e.: climate change adaptation, building community resilience, DRR, social economic inclusion of vulnerable groups, etc.). Promoting a common understanding of livelihoods and contributing to more harmonised and coherent approaches in emergency, recovery and development programmes. Opening also, new opportunities to access to additional technical resources and funding. External actors can also be invited to participate in the capacity building activities, especially those belonging to the National Response plans of the country.

Some of the preparedness activities are low cost (awareness sessions, adaptation, testing and improvement of tools, advocacy in external and internal coordination meetings, etc.), but require time and dedication of the leadership, technical staff and emergency response teams.

Technology is playing a more relevant role than ever before in emergency responses. Ensuring that livelihoods and CTP consideration are included in relation with technological needs and in the existing information and data collection and management systems.

Track 4. Coordination

Internal and external coordination contributes to more harmonised and coordinated livelihoods in emergencies responses between the humanitarian responders. Especially important when different organizations are operating in the same geographical area, effective coordination will minimise security and risks concerns, and reduce confusion among beneficiary populations.

Strong coordination should cover:

- Government and humanitarian actors participating in the response, including the IASC cluster system when activated.
- Community leaders and representatives of various sectors of the affected population as community committees, representative of vulnerable groups, women, youth, etc. This will strengthen the participation and inclusion of affected populations within the processes of consultation and decision making related to emergency response.
- Organizations and livelihood networks that exist in the country, as well as the private sector (i.e. chambers of commerce, associations and agricultural cooperatives, associations of small and medium-sized enterprises and businesses, etc.).

Coordination, advocacy and communication are important in engaging with donors and mobilising resources.

As some organizations will undertake at the same time livelihoods and cash transfer preparedness and capacity building activities we recommend to complement this guidance with the already mentioned, *CTP guidelines for mainstreaming and preparedness* and the *CTP in emergencies toolkit* created by the Red Cross Movement. Other CTP documents that can be useful include OXFAM's *working with markets and cash SOPs*; and the *Operational guidance and toolkit for multi-purpose cash grants*.

LIVELIHOODS PREPAREDNESS - THREE STAGES AND NINE STEPS

1. IDENTIFY AND ANALYSE

Step 1: <i>Document the livelihoods capacity in the organization and resources available in the country</i>	Step 2: <i>Capacity gap analysis: Livelihoods capacity self-assessment workshop</i>	Step 3: <i>Consolidate and document workshop results: institutional livelihoods capacity baseline and priority actions</i>
---	---	--

Step 1:
Document the organization's livelihoods capacity and resources available in the country

- € Document organizational livelihoods experience and resources to date
- € Identify and engage with livelihoods organizations and networks in country
- € Consolidate all existing livelihoods documentation and resources in country (livelihoods zoning, poverty maps, socio-economic breakdown census, etc.)

Step 2:
Identify and analyse the institutional gap in livelihoods capacity: Livelihoods capacity self-assessment workshop

- € Livelihoods capacity baseline
- € Recommendations and priority actions

Step 3:
Consolidate and document workshop results:

- Livelihoods capacity baseline
- Recommendations and priority actions

2. DEVELOP AND IMPLEMENT

Step 4. <i>Ensure adequate human resources: working group and focal point</i>	Step 5. <i>Develop the livelihoods preparedness action plan</i>	Step 6. Implement the livelihoods preparedness action plan
---	---	---

Step 4:
Ensure adequate human resources: Set up the livelihoods preparedness working group and nominate a focal point

- € Livelihoods in emergency working group (TORs, members profile)
- € Livelihoods in emergencies focal point

Step 5:
Develop the livelihoods preparedness action plan and monitoring system. Four building blocks:

- € Enabling systems
- € Operational tools
- € Resources and capacity (HR, financial, technological, etc.)
- € Coordination

Step 6:
Implement the LLHs preparedness action plan

- € Strategic
- € Operational tools
- € Resources (HR, financial, etc.)
- € Coordination

3. REVIEW, LEARN, IMPROVE

Step 7: <i>Evaluate the levels of livelihoods preparedness</i>	Step 8: <i>Learn from implementation of livelihoods preparedness and emergency responses</i>	Step 9: <i>Communicate and share the learning contributing to global evidence</i>
--	--	---

Step 7:
Evaluating the levels of livelihoods preparedness

- € Creating a learning environment: mid-term review
- € Learning by doing and peer to peer approaches
- € Lessons learned workshop

Step 8:
Learning from implementation of livelihoods preparedness and emergency responses

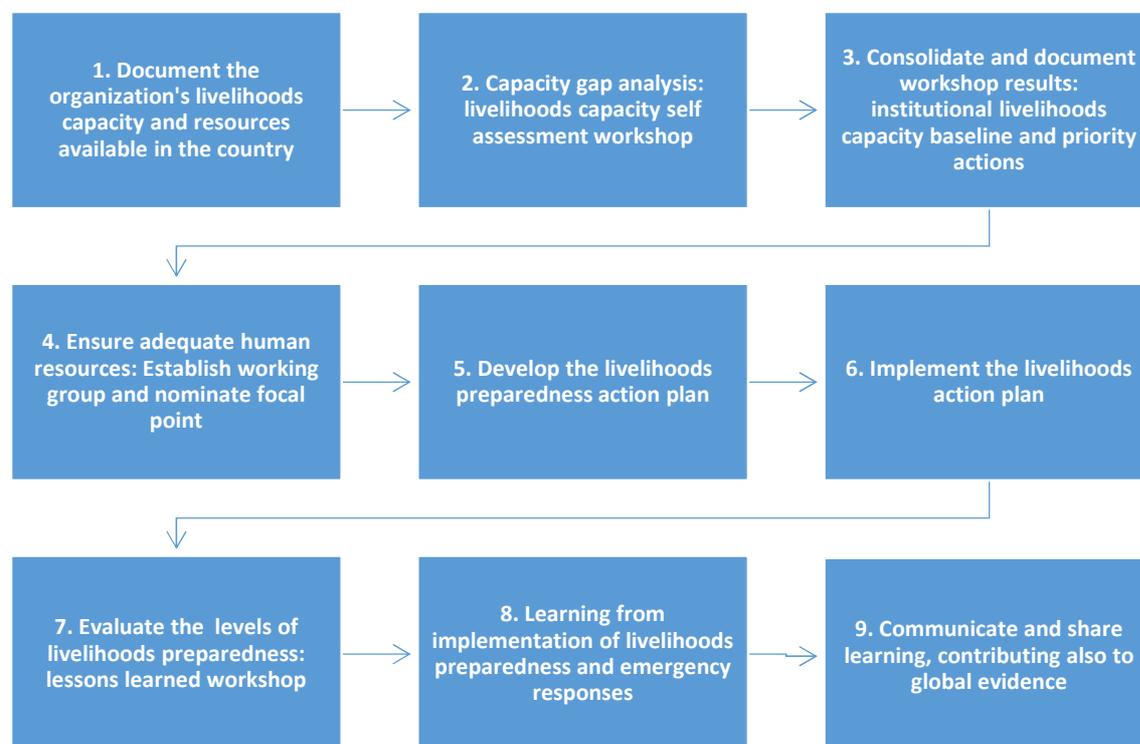
External evaluation of:

- The preparedness process
- Existing emergency responses

Step 9:
Communicate and share the learning (evaluation report, case studies, etc.) internally and externally

- € Disseminate evaluation report and case studies internally and externally
- € Share tools, audio visual materials

Figure 4: The nine steps to livelihoods preparedness and operational readiness



The nine steps towards livelihoods preparedness

A step by step guidance

Stage 1 IDENTIFY AND ANALYSE

For livelihoods preparedness to become a reality the organization has to be willing and able to institutionalise and mainstream the livelihoods in emergencies approach. The preparation and analysis stage of the process includes three steps.

Table 3: The three steps in identify and analyse

STAGE ONE - IDENTIFY AND ANALYSE		
Step 1. Document the organization's livelihoods capacity and resources available in the country	Step 2. Capacity gap analysis: livelihoods capacity self-assessment workshop	Step 3. Consolidate and document workshop results: baseline and priority actions
1.1 Document organization's experiences in livelihoods 1.2 Identify and engage with livelihoods organizations and networks in country 1.3 Consolidate existing livelihoods documentation, mapping and resources that exist in country	2.1 Capacity gap analysis: livelihoods capacity self-assessment workshop, planning and implementation	3.1 Livelihoods in emergencies capacity baseline 3.2 Document recommendations and priority actions
ADVOCACY AND COMMUNICATION		

Step 1. Document the organization's livelihoods capacity and the resources available in country

1.1 Document organization's experiences in livelihoods

Traditionally, most livelihoods interventions were implemented in recovery and development contexts. Organizations need to document their livelihoods experiences, approaches and tools to support the capacity analysis; also to identify how these can be adapted for use in emergency responses.

Institutional livelihoods capacity varies across organizations. Among the livelihoods preparedness pilot organizations, some had livelihoods or economic development technical staff, while others had only implementation experience, and no actual livelihoods technical capacity at the time of the pilot. When a technical focal point or department exists, it is likely that they have documented the livelihoods experiences, resources and tools used by the organization; the main job to do under this sub-step is just summarizing it, preparing some documents or power point presentation for the capacity self-assessment workshop (step 2). When livelihoods technical capacity is

limited or non-existent in the organization, it is necessary to invest more time and dedication to collecting, consolidating and preparing these documents.

Remember that livelihoods activities can also be included in a number of different projects such as climate change adaptation, disaster risk reduction, community based resilience, social inclusion, etc. In this case, it is important to engage with a number of stakeholders across the relevant departments to ensure all livelihoods resources and experiences of the organization are captured.

Staff and volunteers with the relevant livelihoods experience and knowledge, can be identified at this point; and used as advocates to promote the importance of mainstreaming the livelihoods approach in emergencies.

Evidence from the pilot countries indicates that existence of previous livelihoods or CTP experience does not always correlate with actual strong technical capacity. Often, in some organizations the technical experts are employed on project basis and leave the organization when the activities and funding ends resulting in the loss of institutional technical capacity, knowledge and learning.

1.2 Identify and engage with livelihoods organizations and networks in country

Mapping the existing networks and livelihoods organizations is key to knowing what resources and technical expertise exist in the country. When the organization is new to livelihoods, the mapping of networks should be followed later on by a more systematic engagement with these networks. This will enable the organization to exchange knowledge and learning, access resources and technical expertise and expand opportunities to learn and test new innovative approaches. Additional benefits of networking, include developing partnerships and collaborations with others actors. These networks also provide a forum to share information about the preparedness initiative, inviting other organizations that might be interested to participate in the activities.

Alliances with these livelihoods organisations and networks are also useful to strengthen the livelihoods in emergencies advocacy efforts, using their contacts and influence to advocate to the government and other disaster responders. External livelihoods advocates can also be engaged to convince the organization's leadership and decision makers to support the livelihoods preparedness initiative.

Identify also, the existing emergency response coordination mechanisms in country, often led by a Government agency at national and local level, and find out if the preparedness and response plans include livelihoods. If it is not included, plan future advocacy activities targeting the key decision makers in this agency and its implementing partners (civil protection, etc.). The disaster management or humanitarian department of the organization is best placed to respond to these questions or to provide key contacts within the Disaster Management government agency and partners as they engage in national disaster response coordination meetings on a regular basis. The National Response teams and partners should also be invited to participate in some of the livelihoods preparedness activities (trainings, awareness sessions, tools adaptation or development, etc.).

1.3 Consolidate existing secondary information on livelihoods (livelihoods baselines, maps, sources of livelihoods information, etc.), available in country

Identifying and consolidating livelihoods information and baselines related to the country, and specific geographical or disaster prone, high risk areas, will also contribute to livelihoods preparedness.

All these allow the response teams and technical experts to conduct a more accurate, informed and timely analysis of the impact of the disaster comparing the pre-disaster and post-disaster situation in a particular area; resulting in better informed response plans to meet the specific livelihoods needs.

If the organization has limited livelihoods capacity or resources, this information will need to be collected over time and can be one of the activities or *building blocks*, to be included in the livelihoods preparedness plan of action that will be developed later on.

When the organization has contingency plans, this information can support the development of potential humanitarian response scenarios which should now be modified to include livelihoods. Existing contingency plans should also be part of the organization materials for Step 2 (livelihoods capacity self-assessment workshop) as they can inform some of the discussions on gaps that exist and priority actions. Basically, considering what are the levels of livelihoods operational readiness the organization needs to achieve to implement the effectively different response scenarios.

Livelihoods information that is often available in countries include among others: livelihoods profiles and zoning across the country, wealth groups, seasonal calendars, socio-economic population breakdown, census, poverty and vulnerability maps, markets mapping and analysis, etc.

Networks and potential sources of information: Government offices and departments at national, provincial and municipal levels (Department of Agriculture, livestock, fisheries, trade, commerce and social protection, Department of Statistics, chambers of commerce, small and medium sized enterprises and other trade organizations, national and international NGOs, UN organizations, World Bank, African Development Bank, FEWSNET, universities and research institutes, livelihoods platforms and organizations that might exist in country.

Step 2. Capacity gap analysis: livelihoods capacity self-assessment workshop

2.1 Livelihoods capacity self-assessment workshop:

The livelihoods capacity self-assessment workshop objectives are:

1. To identify and analyse the livelihoods capacity gaps of the organization.
2. To make recommendations and set priority actions for building livelihoods capacity and operational readiness.

The LRC toolkit, available on the LRC website, includes a number of tools and guidance on how to plan, implement and document this workshop, and contains the self-assessment and baseline tool.

This (one or two day²) workshop should be facilitated by an external livelihoods expert if possible; when this person is from the same organization, ideally he or she should be based in a different country. Having an external facilitator will ensure that some of the critical analysis and discussions remain objective, providing a more neutral and fair environment ensuring that all participants contribute to the analysis and discussions. The facilitator works closely with the relevant people in the National Society organization to plan and prepare this event.

To achieve best results, the workshop participants will need to participate actively and openly in the discussions. Participants must include a wide range of representatives from the different departments such as leadership and management, disaster management and response teams, sectoral development teams (economic development, DRR, climate change adaptation, resilience, community based development, etc.), and support services (M&E, communications, resource mobilization, OD, etc.). Especially relevant is the participation of staff engaged in livelihoods activities and capacity building across different departments. Also important to ensure the participants include national HQ and field based staff and volunteers. This will enable a more realistic analysis of existing capacities and gaps from the different perspectives.

This workshop includes brief sessions about the livelihoods in emergencies approach, and about the organization's livelihoods experiences to date. Afterwards, groups are formed to analyse the organization's livelihoods capacity gaps considering the four preparedness tracks: a) enabling systems, b) operational tools, c) resources and capacities and d) coordination. Once it is done, the groups revise each other's results, complementing the answers, followed by plenary agreements.

The livelihoods capacity gap analysis can be done using a number of analytical tools (i.e. SWOT analysis, problem and solutions trees, etc.). The LRC has developed its own livelihoods capacity self-diagnosis tool for guiding this process and discussions. Focusing on indicators and questions developed around the four elements of preparedness. It is based on the IFRC C-BAR tool, CaLP OCAC and OXFAM's FSL Readiness tool.

During the last session of the workshop, the groups identify priority actions to strengthen the livelihood capacity, preparedness and operational readiness of the organization so that it is able to deliver timely, pertinent and effective livelihoods emergency responses at scale.

The Vietnam Red Cross, Nicaraguan Red Cross, Peruvian Red Cross and Timor Leste Red Cross used the LRC self-diagnosis tool to guide the discussions and analysis around the capacity gaps and priorities. The two Intermón OXFAM pilots used OXFAM's own FSL Readiness tool. The Senegal Red Cross and Mauritanian Red Crescent used the Strengths, Weaknesses, Opportunities and Threats (SWOT) tool, and a problem tree and solution tree approach to guide the analysis. Both Intermón OXFAM and LRC tools were revised and improved as result of the feedback from the pilots and are available in the LRC livelihoods toolkit.

² When the organization is very familiar with livelihoods and cash based responses, one day may be enough for this workshop. For less experienced organizations it is recommended to have a two-day workshop to ensure participants have an adequate understanding of the livelihoods concepts and approaches to inform about more relevant and productive group discussions.

Step 3. Consolidate results: livelihoods capacity baseline and priority actions

The consolidation and documentation of all the workshop results is the last step of the “identify and analyse” stage. All outputs from the workshop should be properly consolidated, and shared with the key participants for feedback in the next day or two after the workshop. A workshop report template can also be found in the LRC toolkit, and include the capacity baseline and priority actions as key elements.

It is important to document well all the workshop outputs; they will inform of the development of the livelihoods preparedness action plan; and be used as a reference during the end of project, lessons learned workshop, to measure the progress achieved. Two sub-steps are indicated below: documenting the baseline and documenting priority actions.

3.1 Livelihoods capacity baseline

This can be done using the LRC tool and guidance, or other tools already mentioned in step 2. It is important to select carefully the tool to be used as the baseline tool will be used again at the end of the process (end line) to measure progress and institutional change.

3.2 Priority actions to move forward livelihoods preparedness and operational readiness

Priority actions identified by the groups during the workshop can be consolidated and documented using the LRC priority actions tool. Results should be revised and updated at the end of the project.

Outputs checklist for step 1, 2 and 3

Table 5: Outputs checklist for steps 1, 2 and 3

POTENTIAL OUTPUTS CHECKLIST FOR STEP 1:

- € Brief summary document or PPT that highlights all the livelihoods experiences, resources, tools and learnings of the organization.
- € Mapping of organizations and networks available in the different geographical areas of the country.
- € Contact list for the main livelihoods actors and networks that exist in the country.
- € List of main sources of livelihoods information available in country.
- € Create a livelihoods folder or shared drive where to host all the livelihoods information.
- € Identify the Government National Preparedness and Response Plans, and if the organization’s disaster management plans (preparedness, contingency) include or not livelihoods based responses.

POTENTIAL OUTPUTS CHECKLIST FOR STEP 2

- € Delivery of the organization capacity self-assessment workshop: Identify the gap in livelihoods and CTP capacity and provide recommendations to operational readiness.

POTENTIAL OUTPUTS CHECKLIST FOR STEP 3:

- € Final workshop report: must contain the baseline, recommendations and priority actions agreed in the workshop.
 - Livelihoods capacity baseline
 - Recommendations and priority actions
- Additionally, it should include the following elements:*
 - Workshop TORs and budget
 - Workshop agenda
 - Workshop invitation letter
 - List of participants and attendance sheet
 - Presentations (PPTs) and documents shared during the workshop
 - Identified recommendations and priority actions for enhancing institutional preparedness and operational readiness and draft action plan
 - Photos and audio-visual documentation of the workshop
 - Workshop evaluation results (if any has been performed)

Stage 2

DEVELOP AND IMPLEMENT

At this stage of the gap analysis, priority actions recommended become the basis for designing and implementing an action plan. Selecting the key components that contribute to strengthening capacity and the operational level of response teams. This plan is designed around the four tracks of preparation and their degree of complexity depends on the specific needs of each organization. The development and implement stage includes three steps.

Table 6: The three steps in develop and implement

STAGE TWO - DEVELOP AND IMPLEMENT		
Step 4. Ensure adequate human resources: working group and focal point	Step 5. Develop the livelihoods preparedness action plan	Step 6. Implement the preparedness action plan
4.1 Set up the livelihoods preparedness working group 4.2 Appointment of a livelihoods preparedness focal point	5.1 Develop the livelihoods preparedness action plan around the 4 tracks: <ul style="list-style-type: none"> - Enabling systems - Programme tools - Resources and capacities - Coordination 	1. 5.3 Implement the livelihoods preparedness action plan around the 4 tracks: <ul style="list-style-type: none"> - Enabling systems - Programme tools - Resources and capacities - Coordination
ADVOCACY AND COMMUNICATION		

Step 4. Ensure adequate human resources: set up the livelihoods preparedness working group and appointment of a focal point

4.1 Set up the livelihoods preparedness working group

This group should be set up and be responsible for leading and monitoring the enhancing capacity activities and progress. The group must include decision makers, and at least one member of the following: executive team, managerial team, livelihoods and CTP technical team, disaster response team, and operational team. The main responsibilities of the group are to guide, monitor and take decisions or make recommendations to senior leadership, with regards to the livelihoods preparedness project. One of its first activities is to develop the action plan for the livelihoods preparedness project, including budget and resources needed. Different working group members can lead some of the specific outputs or activities included in the action plan.

4.2 Appoint a livelihoods preparedness focal point

A person should be nominated as the responsible for coordinating and managing this process and be responsible for the monthly reports to the working group. She or he should have technical knowledge and also some knowledge of the emergency response plans, procedures and tools of the organization.

If this person has other responsibilities within the organisation, a percentage of her/his time should be allocated exclusively to the capacity enhancing initiative. This person is also a member of the working group, and works closely with all departments engaged in implementing the preparedness action plan.

Step 5: Develop the livelihoods preparedness action plan

Once the focal point is appointed and the livelihoods working group established, the first priority is to identify what elements or building blocks around the four preparedness tracks are priorities for the organization and should be included in the action plan.

When these priority elements or building blocks are identified, the action plan is developed, including specific outputs and activities, structured under each one of the four preparedness components:

- 1. Enabling systems**
- 2. Operational tools**
- 3. Resources and capacities**
- 4. Coordination**

Once ready, this action plan is presented to the management team for approval. It is important to ensure that the plan is aligned with the priority actions identified in the workshop and with the funding and resources available. It can also be used to mobilize resources and funding and to approach donors.

It is recommended that the development of the preparedness action plan and its documentation includes the following elements:

- a) **Background and justification:** Brief summary of the documented baseline and recommendations derived from the workshop.
- b) **Logical framework:** Including specific outcomes, outputs/indicators, activities risks and assumptions.

- c) **Gantt chart:** Activity plan timeframe and resources allocated (financial and human), milestones and responsibilities allocation.
- d) **Monitoring and evaluation plan:** Including monthly monitoring, mid-term review, lessons learned and end-line workshop at the end of the project. Also roles and responsibilities for monitoring and evaluation.
- e) **Budget:** Activity level budget with human and financial resource inputs per activity. Including learning and recommendations dissemination and related activities that should take place at the end of the project.

The expected outcomes and outputs should be aligned to the capacity, resources and timeframe for implementation. A minimum timeframe of 12 months is recommended to ensure some levels of institutionalisation and integration of the livelihoods in emergencies approach are achieved by the organization.

Remember to include adequate financial and human resources for monitoring and evaluation purposes; add them to the preparedness action plan and budget. The monitoring and evaluation team or department could support developing this. Remember to budget any costs related to the editing, printing and disseminating the evaluation reports, case studies, factsheets, videos, etc.

Organizations with limited technical capacity or experience, should be careful not to be overly ambitious with their action plan but consider what progress can be realistically achieved during the specific project timeframe. Otherwise, the initiative might fail; jeopardising also the trust and confidence in the livelihoods preparedness process. Keep the action plan simple, achievable and relevant to the priority needs of the organization.

The development and implement phase also provides the opportunity to reach out and explore potential partnerships and collaborations with other organizations and networks in country. They might be interested in the livelihoods preparedness process, providing potential opportunities to share resources, costs and technical expertise. If relevant, invite livelihoods networks and the National Response teams and partners to some of the preparedness activities (training, awareness sessions, tools adaptation and development, etc.).

Evidence from the pilots demonstrated that when the action plan was not aligned to the real capacity and resources of the organization, progress was more difficult and the most ambitious elements were not achieved. Less experienced organizations focus their plan mainly around advocacy, awareness, training and tools adaptation. At the end of the pilot, with improved knowledge and capacity, they identified more complex results to be achieved in the future.

Step 6: Implement the livelihoods preparedness action plan

Once the preparedness plan has been approved and funded, implementation may start under supervision of the livelihoods focal point, working in close collaboration with the relevant departments: Disaster Management, Technical Department, M&E, Communications, etc.

The main beneficiary for this project is the disaster management or humanitarian department and the response teams; and indirectly, all the population that receive improved assistance to protect or recover their livelihoods after a disaster or crisis.

The implementation engages not only the Disaster Management Department but also some of the other departments mentioned previously. Important to also engage with the support services teams or departments such as communications, resource mobilization, OD, monitoring, evaluation and learning, etc. to ensure livelihoods in

emergencies preparedness and response are also included into their existing systems and tools.

If the country emergency responses are likely to be in a number of different contexts (rural, urban, conflict, natural disaster, health outbreaks, complex emergencies and others), the organization's preparedness should be contextualised to the different settings. This includes having a menu of approaches and tools tailor made for those specific situations that can be used or adapted quickly. If these potential disasters are recurrent, or can be easily anticipated, the organization can undertake valuable work ahead of the disaster by adapting and contextualizing the tools and collecting livelihoods baseline information, especially in the most disaster prone areas.

In conflict settings, security and access to affected population and to information are often critical challenges. In this cases the organization preparedness work might include innovative ways for remote data collection or response monitoring too. Cross cutting issues such as gender, age, discrimination, disabilities, chronically illness and other protection concerns should also be considered from a livelihoods perspective during the preparedness process. This will enable the organization to be better prepared to provide more comprehensive and improved livelihoods responses targeting the different vulnerable groups, including them also in all the consultation and decision making processes of the response.

A critical aspect of implementation is monitoring. The focal person is responsible for preparing the monthly report and sharing it with the working group and relevant stakeholders in the organization. These reports will enable the working group to track progress in a continuous manner, documenting progress, challenges and recommendations in a systematic way throughout the implementation.

These monthly reports facilitate enormously the internal and external evaluation process, enabling the development of timelines containing milestones achieved, main challenges and bottlenecks and what was done to overcome this.

A monthly report sample template is available from the LRC toolkit. The template is simple and includes relevant updates on: outputs and activities' progress (achieved versus planned); financial activity tracking; main challenges and bottlenecks of that period; plus, any follow-up on action points from the previous report and action points for the working group. Attachments to the report should include documents, photos, and audio visual material produced during that month. These materials can be used for advocacy and promotion purposes.

Monthly reports are used not only for monitoring but also to inform about changes in the project implementation or plans. A mid-term project review meeting should take place to look at progress, bottlenecks and changes that might be needed in the action plan. Informed decisions can be taken also as a result of the monthly updates such as requests for additional technical support or changes to the project's action plan.

The IFRC LRC might be able to provide remote technical assistance upon request. Country visits might only be possible if funding or technical resources are available at the regional level.

When the organization identifies that technical support is needed at critical phases of the project (i.e. advocacy to leadership to gain support for the preparedness initiative, facilitation of the capacity self-assessment workshop, training and T.O.T, evaluation, lessons learned workshop), this should be budgeted and planned well ahead so that the adequate person is available.

Some of the critical preparedness activities were delayed in some of the pilots, when external technical assistance was needed and not available at the right time according to the implementation calendar. It is important not only to budget but also to communicate requests of external technical support well in

advance with specific dates to minimise delays in the implementation.

Outputs checklist for step 4, 5 and 6

Table 5: Outputs checklist for steps 4, 5 and 6

POTENTIAL OUTPUTS FOR STEP 4

- € Livelihoods preparedness working group formed and working (TORs, list of members and minutes of meeting)
- € Livelihoods preparedness focal point appointed and working (TORs and time allocation if not full time)

POTENTIAL OUTPUTS FOR STEP 5

- Livelihoods preparedness plan of action including
 - Background and justification
 - Logical framework
 - Monitoring and evaluation plan
 - Activity chronogram with responsibilities allocation and milestones.
 - Budget (activity level)

POTENTIAL OUTPUTS FOR STEP 6

- Monthly implementation reports
- Specific outputs generated by the implementation included in the action plan across the four preparedness tracks: enabling systems...
- Any other communication material generated: written and audio-visual materials created, news on media or own website, social media, etc.

Stage 3 REVIEW, LEARN AND IMPROVE

At this stage, the effectiveness of the preparation process for the response of livelihoods in emergencies is examined, and on the other hand, there are internal and external evaluations of the livelihoods preparedness and emergency responses. Each of these analysis provides opportunities for learning and improvement that should be properly documented and widely disseminated. The review, learn and improve stage contains three steps.

Table 6: The three steps in review, learn and improve

STAGE THREE REVIEW , LEARN AND IMPROVE		
Step 7. Evaluating levels of livelihoods preparedness	Step 8. Learning from implementation of livelihoods preparedness and emergency responses	Step 9. Communicating and sharing learning
7.1 Creating a learning environment: monitoring, mid-term review 7.2 Learning by doing and peer to peer support approaches 7.3 Internal evaluation: lessons learned workshop	8.1 External evaluation of the preparedness project and emergency responses	9.1 Document and disseminate learning contributing to global evidence
ADVOCACY AND COMMUNICATION		

Step 7. Evaluating levels of livelihoods preparedness

7.1 Creating a learning environment

The organization must commit to a transparent, systematic and open approach to learning and sharing from the beginning of the project. A clear monitoring, evaluation and learning plan should be developed in close collaboration with the organization's monitoring and evaluation (M & E) team. Roles and responsibilities for monitoring and evaluation need to be defined and adequate resources (financial and human) budgeted in the action plan.

Monitoring tools need to be developed and used regularly to document progress, inform decisions and capture the challenges and learning at the different stages of the process. The monthly reports are one of the tools that can be used to collect and share learning through this process in a simple and systematic way.

The organization should engage with existing networks and platforms for exchanging livelihoods preparedness and response experiences and learning.

Mid-term project review/internal evaluation

A mid-term meeting review, with participation of the working group, focal point, senior decision makers and key implementation staff, will provide the environment to discuss openly and analyse implementation progress, challenges and learning to date. If needed there is the opportunity to request changes in the activity plan or budget allocation. The report from this review meeting should be shared widely within the organization to keep others informed on the latest developments and plans. The mid-term review should be included in the action plan and budget.

7.2 Learning by doing and peer to peer support approaches

Peer to peer support and learning by doing have been some of the most successful approaches used to promote learning and skills development in the preparedness pilots. The approaches provide opportunities for practical implementation of activities in a real but safe environment.

The **peer to peer support** approach helps the newly trained staff to build their confidence and competencies while under supervision of more experienced practitioners. Examples of this include newly certified trainers that delivered livelihoods sessions and introduction to livelihoods workshops at the field level with presence of more experienced staff. Building the capacity and expertise of field level staff is key to ensure sustainability, reduce costs and dependency on external or HQ technical support.

The **peer to peer support** approach also ensures that activities are implemented at the required quality standards; more experienced staff act as mentors and provide constructive feedback to the trainers on how to improve techniques, deal with challenges or share creative solutions used previously.

The **learning by doing approach** seems to be the preferred option for learning for the majority of the pilot participants, learning in the classroom followed by practical implementation in the field. Activities that can be followed up by **learning by doing** include: newly certified trainers that replicate trainings at the field level, development and testing of tools and approaches, development of livelihoods baseline and market mapping and analysis activities, contingency planning simulations, and existing livelihoods activities or programs that are being implemented by the organization.

Examples of peer to peer support and learning by doing approaches

Nicaraguan Red Cross: Newly certified trainers delivered livelihoods trainings and awareness sessions at field level. The OXFAM 48hours tool training was followed by use of this tool in a real emergency a few weeks later. The development of a livelihoods diagnosis baseline for urban context methodology was followed by implementation of this methodology and tool in Ciudad Sandino (Managua); implemented jointly by NRC, municipality and other partners of the National Disaster response agency.

Vietnam Red Cross: Newly certified trainers delivered field livelihoods in emergencies sessions and introduction to livelihoods workshops in their provinces and branches. The review of the national programme *Cow Bank* benefited from the improved technical knowledge of the teams, which performed a more robust, complex and pertinent analysis of the program and made recommendations on how to improve its effectiveness that will be implemented in the near future. Adaptation of the assessment tools to incorporate livelihoods considerations.

7.3 Internal evaluation: lessons learned workshop

A lessons learned workshop should take place at the end of the project to facilitate the internal review and evaluation of the preparedness project. The review and analysis should cover the following aspects:

- **Main achievements and levels of operational readiness** at end and in comparison to the initial baseline.
- **What worked, what needs to be improved and what changes should be made to the preparedness process** to make it more effective. What was done to overcome challenges and bottlenecks and which ones remain constraining the preparedness process.
- **Learning, good practices and recommendation for future** replicas of this initiative.
- **Future plans and sustainability of the preparedness process.** Identifying the next steps to continue strengthening the livelihoods capacity or to expand this initiative across more field branches or counterparts. Resource mobilisation and funding opportunities should be identified too.

This workshop follows a similar approach as the initial self-assessment workshop. Participants that contributed to the organizational capacity baseline discussions should be present; as well as some of the key people (staff, volunteers, external actors) involved in the project implementation at HQ and field level. The livelihoods preparedness focal person and the working group are also expected to participate and lead some of the discussions.

Facilitation of the workshop can be internal or external but it is important that the person is familiar with the preparedness process and can lead effectively the discussions and achieve the learning objectives for each of the sessions.

To measure the levels of progress achieved, the groups will prepare the end line, comparing results with the baseline. Each indicator will be measured and quantitative and qualitative information provided; ending with specific recommendations or action points with regards to that indicator. The tool used for the base line and end line needs to be the same, to be able to compare the results effectively. It is important that the people leading the process guide the comparison and ask relevant questions to capture the qualitative aspects of the comparison in a systematic way.

The LRC self-assessment tool is easy to use, and provides some quantitative and qualitative information. The organization could improve this tool after this process and share the new version with the LRC.

The final session focuses on sustainability and identifies the next steps the organization needs to take to continue expanding and strengthening their livelihoods operational readiness.

Please follow again Step 3 to document and share the results and outputs of this workshop. This has been combined here to *simplify this document and avoid repetition*. *The agenda and report templates for this workshop are also available from the LRC toolbox.*

Step 8. External evaluation of the preparedness project and emergency responses

8.1 External evaluation of the preparedness project and emergency responses

An external evaluation should be carried out at the end of the project, observing:

1. The results of the livelihoods preparedness project

2. Any livelihoods emergency responses implemented since beginning of project

The objective of the external evaluation is to identify, in a systematic, impartial and independent way, the strengths and weaknesses in relation to the design, actions and outputs, impact, preparedness process and also measure the change in response capacity using both the baseline and real emergency responses undertaken during the period.

The evaluation should draw and make key recommendations to inform and improve existing and future preparedness and response practices, based on the experience.

An independent person or team, with relevant technical and evaluation experience should be hired. The evaluation should include questions and analysis specifically targeted at reviewing:

- The process, design, outputs and impact of the CTP preparedness work in the organization
- The resources allocated and expended
- Include key learning from both preparedness and response experiences
- Must capture good practice and make concrete recommendations

The evaluation will be based on the revision of project documentation, learning and recommendations from the internal lessons learned workshop, also including interviews with a variety of key informants engaged in the process. If external organizations participated in the preparedness process, they should also be included as key informants to provide inputs for the evaluation.

The evaluation outputs are the report and case studies and may also include videos, fact sheets and infographics and any other materials that can be used to document and share the different aspects of the preparedness initiative (strengths, challenges and recommendations solutions, key learning points, etc.).

Remember that if audio visual outputs are expected, the budget allocation for the external evaluation should also consider this.

Step 9: Document and disseminate learning contributing to global evidence

It is important to widely share all good practices, learning materials and tools generated during the preparedness process and evaluation. Tapping into existing internal and external networks in country and international to share and disseminate widely the evaluation report, case studies, videos, training packages tools, etc. In addition to the traditional ways, social media and online networks or working groups can also be used to reach wider audiences quickly.

The dissemination of documents, learning and good practices will promote not only the work of the organization in livelihoods preparedness; but also make a valuable contribution to the humanitarian sector and to the global effort to collect evidence based learnings. All the learning and documentation is of special interest for other organizations interested in starting or strengthening their livelihoods preparedness and operational readiness initiatives.

If dissemination events, or specific activities, are planned for this that have an associated cost it is important to include this in the action plan and budget. The close collaboration with the communication department will facilitate design of the dissemination plan and budget.

Future replicas of the livelihoods preparedness process will generate valuable knowledge, learning and recommendations which will in time inform the revision of this guidance.

The IFRC LRC has a website used as a repository for livelihoods information, knowledge and tools. All the relevant documents and information generated by the global livelihoods preparedness and operational readiness initiative will be shared on this page.

Organizations wishing to contribute to this repository of knowledge can share their assessment reports, case studies, tools and other audio visual materials for wider dissemination. LRC website is open and accessible to people of all organizations.

Annexes

1. **Consolidated checklist for all the steps**
2. **Livelihoods preparedness building blocks**
3. **Livelihoods preparedness case studies: global, Nicaraguan Red Cross, Peruvian Red Cross and Viet Nam Red Cross**
4. **Links to tools and reference materials mentioned in this guidance**

Annex 1: Consolidated checklist for all steps:**POTENTIAL OUTPUTS CHECKLIST FOR STEP 1:**

- € Brief summary document or PPT that highlights all the livelihoods experiences, resources, tools and learnings of the organization.
- € Mapping of organizations and networks available in the different geographical areas of the country.
- € Contact list for the main livelihoods actors and networks that exist in the country.
- € List of main sources of livelihoods information available in country.
- € Create a livelihoods folder or shared drive where to host all the livelihoods information.
- € Identify if the Government National Preparedness and Response Plans, and if the organization's Disaster Management plans (preparedness, contingency) include or not livelihoods based responses.

POTENTIAL OUTPUTS CHECKLIST FOR STEP 2

- Delivery of the organization capacity self-assessment workshop: Identify the gap in livelihoods and CTP capacity and provide recommendations to operational readiness.

POTENTIAL OUTPUTS CHECKLIST FOR STEP 3:

- € Final workshop report: must contain the baseline, recommendations and priority actions agreed in the workshop
 - Livelihoods capacity baseline
 - Recommendations and priority actions

Additionally, it should include some of the following elements:

 - Workshop TORs and budget
 - Workshop agenda
 - Workshop invitation letter
 - List of participants and attendance sheet
 - Presentations (PPTs) and documents shared during the workshop
 - Identified recommendations and priority actions for enhancing institutional preparedness and operational readiness and draft action plan
 - Photos and audio-visual documentation of the workshop
 - Workshop evaluation results (if any has been done)

POTENTIAL OUTPUTS FOR STEP 4

- € Livelihoods preparedness working group formed and working (TORs, list of members and minutes of meeting).
- € Livelihoods preparedness focal point appointed and working (TORs and time allocation if not full time).

POTENTIAL OUTPUTS FOR STEP 5

- Livelihoods preparedness action plan including
 - Background and justification
 - Logical framework
 - Monitoring and evaluation plan
 - Activity chronogram with responsibilities allocation and milestones
 - Budget (activity level)

POTENTIAL OUTPUTS FOR STEP 6

- Monthly implementation reports
- Specific outputs generated by the implementation included in the action plan across the four preparedness tracks: enabling systems...
- Any other communication material generated: written and audio-visual materials created, news on media or own website, social media, etc.

POTENTIAL OUTPUTS FOR STEP 7

- Monthly reports
- Interim report
- Final report
- Learning by doing – fact sheet or infographic
- Peer support – fact sheet, case study, infographic
- Workshop on lessons learned: report, final base line, recommendations and priority future actions.
- Videos, case studies, etc.
- External final evaluation

POTENTIAL OUTPUTS FOR STEP 8

- External evaluation preparedness and emergency responses
- Final report, case studies, videos, fact sheet, infographic, etc.

POTENTIAL OUTPUTS FOR STEP 9

- Dissemination plan: internal and external channels (emails, social media, mass media, platforms, events, etc.
- Identification of web sites where documents and references of the project are available
- Presentations made in forums, in Learning events, webinars, virtual working group, etc.