

Lesson-learning review of the 'One International Appeal' modality

Part of the Strengthening Movement Coordination and Cooperation (SMCC) process

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Acronyms and Abbreviations

BDRCS	Bangladesh Red Crescent Society
CoD	Council of Delegates
DRC	Democratic Republic of the Congo
HQ	Headquarters
HRCS	Haiti Red Cross Society
ICRC	International Committee of the Red Cross
IFRC	International Federation of Red Cross and Red Crescent Societies
JMT	Joint Management Team
MoU	Memorandum of Understanding
MRCS	Myanmar Red Cross Society
NRCS	Nigerian Red Cross Society
NS	National Society
NSD	National Society Development
OIA	One International Appeal
OWF	One Window Framework
PfR	Planning for Results
PNS	Participating (or Partner) National Society
PoA	Plan of Action
RCDRC	Red Cross of the Democratic Republic of the Congo
RCM	The International Red Cross and Red Crescent Movement
SA/SM	Seville Agreement and its Supplementary Measures
SMCC	Strengthening Movement Coordination and Cooperation
SOP	Standard Operating Procedures
SRCS	Somali Red Crescent Society
SSRC	South Sudan Red Cross
ToR	Terms of Reference
URCS	Ukrainian Red Cross Society
WA	Working advance
YRCS	Yemen Red Crescent Society

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Definition of terms

Term	Definition
Capacity strengthening	Aims to enhance a discrete area of a National Society's functional or technical capacity.
Coordinated Appeal	Two separate but pre-agreed and complementary appeals – one ICRC and one IFRC – presented jointly to donors with a shared and agreed joint introductory and framing narrative.
ICRC Annual Appeal	The annual budget is based on the objectives set for the year and aims to cover activities from 1 January to 31 December. All budgets are established on a yearly basis. The ICRC budget and appeal structure is divided into operational (field) and headquarters activities. The ICRC seeks funding to cover the costs of its field activities worldwide through its Appeals for Operations; it uses the Appeals for HQ to seek funding for all activities carried out at its headquarters, which cover operational, legal, communications and administrative support for field activities and other functions, such as resource mobilization, human resource management and financial management.
ICRC Budget Extension Appeal (BEA)	During the year, adjustments to the initial appeals may be made in the form of budget extensions, in response to unforeseen needs requiring increased humanitarian action.
ICRC Special Appeal	Special appeals which are launched to mobilize funds for crosscutting issues.
IFRC Annual Appeal	The annual plan and appeal is launched at the beginning of each year to fund programmes that meet an identified need that year. Programme updates and annual reports report on these activities. The plan reflects the Secretariat's 2-year plans to support National Societies' programmes and provides a vehicle for donors to support non-emergency programmes.
IFRC Emergency Appeal	This is a plan articulating how the IFRC plans to respond to an emergency situation where there are significant needs for which international assistance is required. An emergency appeal is always based on a request from a member National Society and is usually issued on the basis of a needs assessment. It consists of a narrative and a corresponding budget.
Movement Integrated Appeal	The only example of an integrated (sometimes referred to as joint) appeal was in response to the Balkans crisis in 1999. Running from 1 April – 31 December 1999 the appeal was launched on the basis that both the ICRC and IFRC were convinced that the situation called for the combined participation of all components of the Movement to respond with speed and flexibility. A Steering Group was established to ensure the general coordination of the operations of the Movement. In close consultation with the National Societies of the region, the Steering Group developed a global strategy and a plan of action on the basis of which an integrated appeal of the International Red Cross and Red Crescent Movement was submitted to PNS and the international community.
National Society Development (NSD)	National Society development is defined as deliberate work to achieve and maintain an organization that consistently delivers, through volunteers and staff, relevant countrywide services to vulnerable people sustained for as long as needed and that contributes to the strength of IFRC and the Movement. National Society leaderships are responsible for the development of their own organizations. National Society development reflects two inter-linked types of work – capacity strengthening and organizational development.
One International Appeal	Initiated in 2015 by the IFRC Secretary General and the ICRC Director General, the OIA aims to avoid financial competition between the two international institutions in large-scale emergencies and maximize the income available to the Movement. The OIA was endorsed at the November 2015 Council of Delegates, under Resolution One on Strengthening Movement Coordination and Cooperation (SMCC) as part of the related Plan of Action. In September 2016, a Funding Modality Agreement was signed between the IFRC and the ICRC, where the two international institutions agreed that, whenever possible, in large-scale emergencies, one organization (normally the Lead Agency) would launch an appeal for funds on behalf of both, with the aim of optimizing impact and resources in such responses.
One Movement Plan (Haiti) or One Movement Response Plan (South Sudan)	A document that aims to encompass all Red Cross Red Crescent action in response to a particular emergency. Given different names in different contexts, this has included the National Society, the IFRC, Partner National Societies working bilaterally and multilaterally, and the ICRC.
One Window Framework	The document developed in Bangladesh presents the combined effort of the Bangladesh Red Crescent Society with IFRC and the partner National Societies working bilaterally and multilaterally.
Organizational development	Takes a whole organization perspective to strengthen the National Society.

Executive Summary

1. Introduction and background

The concept of the One International Appeal (OIA) was initiated in January 2015 with the aim of increasing the humanitarian response impact of the International Red Cross and Red Crescent Movement. The OIA modality was endorsed at the 2015 Council of Delegates (CoD) and included in the Strengthening Movement Cooperation and Coordination (SMCC) Plan of Action (PoA) 2016 - 2017. Having informally trialled the mechanism during the 2015 Nepal earthquake, in September 2016 the ICRC and the IFRC signed a formal Funding Modality Agreement (FMA) which states that whenever possible in large-scale emergencies, one organization would launch an appeal for funds on behalf of both (a OIA), with the aim of optimizing resources, increasing impact and building on Movement complementarity and non-competition.¹

The FMA was first implemented in the IFRC-led response to Hurricane Matthew in Haiti in 2016. It was subsequently used in Nigeria, South Sudan, Yemen and Myanmar in 2017 and in the Democratic Republic of Congo (DRC) in 2018 in response to outbreaks of the Ebola virus. The mechanism entrusts the organization assuming the “lead agency” role for that context (as per the Seville Agreement and its Supplementary Measures [SA/SM]²), to integrate the planned activities and budget of the other international Movement component into its appeal, budget extension or other fundraising tool. The lead agency (or Funding Partner in the context of the OIA) is responsible for managing the appeal, raising, collecting and allocating funds and reporting to donors in line with its normal *modus operandi*. The OIA is supported not only by the overarching FMA, but each time a OIA is launched, a Project Agreement, which sets out earmarking conditions and reporting requirements as well as approaches to planning, is signed and these are then supported by a letter of agreement when the IFRC is the Funding Partner or a cash pledge agreement when the ICRC takes that role.

2. Purpose and scope of the review

As outlined in the Terms of Reference, the purpose of this lesson-learning review is to highlight emerging good practice and identify the key challenges of delivering the OIA mechanism during its first two years of implementation. The review aims to facilitate decision-making in relation to the next phase of the OIA process in support of the SMCC Plan of Action.

3. Methodology and limitations

The review was commissioned by the senior management of the ICRC and the IFRC as part of the SMCC process, with the ICRC’s Deputy Director General and the IFRC’s Under Secretary General for Programmes and Operations forming the Steering Team providing oversight throughout the review process. Based on an initial inception report approved by the Steering Team, a standard approach to qualitative data collection was adopted including desk review of key documentation and semi-structured interviews with 188 informants (including eight with external donor representatives).³ Interviews were primarily conducted remotely, but country visits were undertaken to Myanmar and Bangladesh⁴. The review focused on the experience from six countries where the OIA was

¹ Source: ICRC/IFRC Funding Modality Agreement, September 2016.

² Agreement on the Organization of the International Activities of the Components of the Red Cross and Red Crescent Movement – The Seville Agreement (1997) and Supplementary Measures (2005).

³ See Annex 1 of the main report for the key documents reviewed and Annex 2 for the list of informants.

⁴ A third visit to Nigeria could not take place for reasons beyond the control of the review.

implemented (the DRC⁵, Haiti, Myanmar, Nigeria, South Sudan and Yemen) and from two countries (Bangladesh and Ukraine) where alternative approaches to resource mobilization and coordination have been adopted. The IFRC was the Funding Partner for the OIA in Haiti and DRC, while the ICRC was the Funding Partner in the remaining four OIA countries.

The review commenced in late September 2018 and was finalized in February 2019. Constraints and limitations included an initial lack of clarity and subsequent changes to which countries would be covered by the review; the over-representation of OIAs in conflict situations as only two of the six OIA case studies were in contexts led by IFRC; and a small number of suggested key informants (16) who did not make themselves available for interview.

4. Key findings

4.1. Maximization of, and reduced competition for, resources

Maximization of resources: While there was no concrete evidence as to whether or not launching any of the OIAs has generated more resources for the Movement than if two separate appeals had been launched⁶, most informants concluded that it was unlikely that using the OIA has facilitated increased generation of funds for the Movement as a whole. Using the mechanism has, however, enabled the IFRC to access funds in some contexts where it would otherwise have been unlikely to have received funding (notably in relation to conflict-affected countries where the ICRC has been operational for many years). Interviewees frequently highlighted their view that implementing a OIA had resulted in high transactional costs in terms of the time and energy utilized to negotiate each appeal.

Reduced competition: A number of informants believed that the proposition that the OIA would reduce competition for resources was largely erroneous, suggesting that historically there had been little resource mobilization competition between the ICRC and IFRC. There was recognition, however, that recent cases of potential competition, such as South Sudan and North East Nigeria, where the IFRC had intended to launch its own separate appeals for funds in relation to the 2017 food security crisis, had been prevented due to the decision to launch the OIA.

Missed opportunities: A number of informants believed that there had been insufficient focus on maximizing the use of the resources mobilized through the OIA approach at the field level. Participating National Society (PNS)⁷ informants regretted that they had not been more actively part of the OIA approach, suggesting that this may have resulted in lost opportunities for funding, particularly in ICRC-led OIAs where donations cannot be tightly earmarked or receive detailed and tailored reporting. It was noted, however, that the OIA mechanism was designed as a financial tool between the ICRC and the IFRC with the expectation that interaction with PNS would be captured through coordination mechanisms as opposed to financing tools.

4.2. Tools, systems and people

OIA activation: In all OIA countries, the decision to launch a joint appeal was taken during a large-scale emergency and SMCC tools were not always in place. While *Mini-Summits* (a decision-making and coordination tool promoted through the SMCC process) were held prior to each OIA launch, as this form of appeal had not been discussed or planned for pre-crisis, there was a need to hold detailed

⁵ Due to the ongoing Ebola response, DRC was considered only in the final weeks of the review. Its inclusion was deemed important by the Review Team in order that more than one IFRC-led OIA could be included in the analysis. The focus was on the first phase of the operation in Equateur.

⁶ This analysis was not possible due to the high number of variables that exist.

⁷ Red Cross and Red Crescent National Societies working internationally.

country-level discussions on what should be included in the appeal and how the process from planning through implementation and monitoring should be managed. With the lack of clear and formal guidance on the OIA, this took significant time and effort (the transactional costs noted above) and at times distracted from a focus on implementation of new or scaled-up humanitarian responses and NS capacity building efforts.

The SMCC PoA gives no guidance as to when it is appropriate to launch a OIA. With the exception of the 2018 DRC OIA, the decision to activate the OIA mechanism was taken not at the country level (as planned) but further up the organizational hierarchies at Regional or headquarters level. While the importance of this strategic level of analysis into OIA activation decisions is acknowledged, it was noted that there has been frustration on the part of country level teams who have been left to work out the details of implementing a OIA in the height of an emergency, without sufficient and clear guidance on how to go about this.

An example of this can be seen with the OIAs for North East Nigeria, South Sudan and Yemen in relation to the 2017 food security crisis. Although there were significant food security needs in all the countries covered, it is worth noting that within the Movement narrative, four of the six contexts included were already among the ICRC's largest operations in the world⁸ with the ICRC and NS (and other humanitarian agencies) already implementing programmes to address the existing high levels of food insecurity and with existing budgets already covered. Instead of the IFRC launching its own new and separate appeals in these conflict-affected locations, and wishing to present a well-coordinated Movement response (as seen with the UN's integrated approach for these countries), the leadership of the ICRC and IFRC chose to use the OIA approach, drafting a joint Movement narrative and either launching Budget Extension Appeals (BEA) in the case of Nigeria and Yemen, or transferring funds from the ICRC's existing budget in the case of South Sudan.

While there have been challenges in terms of agreement of appropriate activities to include in the OIAs and difficulties in the establishment of new structures, systems and operations resulting in the inability to meet implementing timelines, it is the use of the OIA in North East Nigeria which has been highlighted by many ICRC key informants and a large number of IFRC informants as inappropriate. This was in part due to the fact that it resulted in the IFRC establishing parallel systems and structures to those of the ICRC. Combined with difficulties in deploying and maintaining appropriate human resources, this hindered the ability of the IFRC to implement timely responses in accordance with agreed implementation timelines.

The decision to use a OIA in DRC was taken at the regional and national levels, as was the decision in Bangladesh *not* to enter into a OIA but continue with separate ICRC and IFRC appeals. It would seem that decisions taken at field level have, to date, resulted in a smoother implementation.

Existing OIA guidance tools: The *FMA* which was developed and signed at Geneva level between the ICRC and the IFRC in September 2016 is little-known at the field level. A legal document, it primarily covers the funding modalities when one of the international entities funds the other; the role of the OIA National Society is only touched upon lightly. The *OIA Protocol* (sometimes referred to as *Standard Operating Procedures [SOPs]*) is a living guidance document. It was shared with all IFRC delegations in June 2018 (along with other OIA-related documents) but has not so far been sent to ICRC delegations.⁹

⁸ South Sudan, Nigeria, and Yemen (all of which were subject to a OIA) and Somalia (not covered by a OIA). The joint narrative also covered Kenya and Ethiopia but, like Somalia, these were not included in a OIA.

⁹ The ICRC's general practice is not to share unfinalized documents, an approach that runs counter to a 'learning-by-doing' approach, where documents will evolve in line with developing experience in different scenarios.

While the Protocol documents learning, it is insufficient to steer those involved in putting together OIAs at country level, particularly when this needs to be done at speed. The Protocol highlights a number of key issues which have occurred more than once and provides some suggestions as to how they could be overcome, but this has not prevented some of the same challenges arising more than once. For example, there continues to be a lack of clarity around topics such as how to implement National Society Development (NSD) activities within short OIA implementation timeframes and how to transition out of the OIA. The *SMCC Mini-Summit guidance and checklist* was identified by a number of informants as the only tool available to support the OIA. Described as useful to guide the convening of the initial meeting of the senior management of NS, ICRC and IFRC at country level, informants regretted that they do not provide guidance on how to engage with PNS present in-country.

While many of those tasked with implementing OIAs at field level observed that the existing guidance and tools are simply insufficient to support OIA decision-making and implementation – a view supported in this review – it is also understood that had the two institutions waited until there was solid guidance in place, then it is likely the OIA may not have got off the ground. Both NSs and PNSs consulted noted that little or nothing was shared with them to help them understand what OIAs were and what they aimed to achieve. There was a frustration both in Haiti in 2016 and currently in DRC that none of the OIA documents are available in French.

Other guidance gaps: There was lack of guidance related both to the responsibilities of the Funding Partner (in terms of coordination, oversight of and accountability for the activities of another Movement component), as well as a lack of guidance for the Implementing Partner to better understand the rights and obligations of receiving funds through a OIA. How to transition out of the OIA and what, if anything, comes after a OIA was identified as other important omissions.

'Learning-by-doing': the adoption of a 'learning-by-doing' approach in the absence of tools and staff experience has resulted in each OIA being developed and implemented differently. While this has been positive in terms of allowing for contextual adaptation, it has been challenging for those tasked with developing each OIA as there is no systematically documented or shared learning and no trained support staff to provide guidance. Insufficient consideration was given to how the learning-by-doing process of introducing the OIA would play out, particularly in terms of how potential errors and mistakes would be reacted to institutionally if there were financial consequences, as was the case in the first OIA in Haiti. The punitive response to errors made during this first OIA roll-out impacted negatively, in the view of some, on the reputation of the OIA as a mechanism more globally.

Systems: The lack of alignment between the ICRC's and IFRC's approaches and systems has presented some challenges in areas such as budgeting, earmarking, reporting, onward granting (working advances), public communications and organizational decision-making. The ICRC's annual planning and budget cycle created challenges for NSD-focused activities that may not fit into this relatively short period of time (particularly if the OIA is launched in the second half of the calendar year, as in Myanmar), together with difficulties in tracking an operation once it is included as part of the ICRC's overall country-level Planning for Results (PFR) in the following year, as opposed to being managed as a separate BEA/OIA (as happened in Myanmar 2017-2018).

People: There has been insufficient investment in the human resources required to support the roll-out of a new concept, both in terms of providing the guidance for and training of field-based staff, but also the delays in recruiting and training a cadre of Movement Coordination Officers with a strong

knowledge of the ways of working of both the ICRC and the IFRC¹⁰. The presence of ICRC Cooperation delegates in Haiti and Myanmar who were somewhat familiar with the SMCC process was helpful in supporting the process; it was noted that their counterparts were generally IFRC's Heads of Office (staff positions with high workloads and for whom cooperation is one of many responsibilities). The extent to which positive achievements and difficulties were experienced was often linked to individual mindsets and relationships; where counterparts 'clicked', many of the natural organizational challenges of creating a OIA or coordinated approach were overcome, while differences in views and opinions only became more entrenched when these relationships did not work and a spirit of partnership was not pursued.

Reporting: Tension within a number of OIAs was caused by different understandings of the level and type of reporting required from the Implementing Partner and concerns related to meeting the organizations' audit/accountability requirements when acting as a Funding Partner (the quality and depth of reporting required and what, if any, monitoring is required of the Implementing Partner). Instances where budgeted funds have not been transferred until "acceptable" reporting has been provided on previous tranches has also led to tension on both sides.

4.3. Contribution to the implementation of the SMCC¹¹

Improved coordination and cooperation: Those countries previously designated SMCC 'country labs'¹² all had in place the three-tiered coordination structure foreseen in the SMCC which contributed to continued Movement dialogue, with the Mini-Summit considered useful for the establishment of the OIAs. Informants confirmed that where reasonably well-functioning cooperation environments existed prior to the OIA, this contributed to the willingness to participate during the initial stages of the OIA. Notwithstanding this, the experience of piloting the OIA in difficult circumstances may also have contributed to a deterioration in the cooperation landscapes in different ways. In South Sudan for example, it was difficult to reach initial agreement on appropriate activities and locations to include in the OIA and subsequent delays in implementation led to later tension. Both here and in other contexts, these delays risked negatively impacting implementation rates and led to questions in relation to operational effectiveness.

In some contexts, such as North East Nigeria, using the OIA has compelled Movement components to coordinate in a positive way which may not otherwise have happened. Despite reasonably effective operational coordination in DRC, there were concerns regarding the at times low participation of the NS, limited capacity building opportunities to date and insufficient information sharing. A weakness in a number of OIAs (and also in Ukraine and Bangladesh) was the failure to carry out joint operational planning (often because the ICRC already had plans in place while the IFRC was under pressure to develop new ones). In Myanmar the late timing of the operation within the calendar year and the confusion around what the OIA would transition into, all put considerable strain upon Movement relationships. Notwithstanding the limitations of the One Window Framework in Bangladesh¹³,

¹⁰ As anticipated in the SMCC PoA.

¹¹ Due to the timeframe and focus of the review, it has only been possible to assess in a broad manner the contribution that the OIA has made to the global implementation of the SMCC, focusing on the extent to which the OIA has contributed to improved coordination and cooperation.

¹² Haiti, South Sudan and Ukraine. Each of the five regions has one country which has been identified as an SMCC country "laboratory". Each country selected has a different humanitarian and Movement environment. Selected country "labs" serve as contexts in which there is a focused effort on Movement coordination with the aim of improving coordination and cooperation while piloting new SMCC products/tools.

¹³ The document presenting the combined effort of the Bangladesh Red Crescent Society with IFRC and the PNS working bilaterally and multilaterally in response to the impact of the Rakhine crisis in Bangladesh. Many informants regretted the inability to frame the OWF in such a way that the ICRC could have been reflected in the plans.

informants, donors and PNS HQs see this as a move in the direction of the Movement achieving a smarter and more joined up way of planning that better reflects the Movement's footprint outwardly. However, similar to Haiti, and to an extent Nigeria and South Sudan, the NS in Bangladesh expressed feeling somewhat crowded out by this process.

In spite of these challenges, it was noted that working cooperation at the field level was often more productive than at Regional level. Informants regretted that the institutional intentions represented in the SMCC initiative were sometimes prey to mindset and individualism at Regional level and they looked for institutional leadership to help overcome such barriers, together with moves to hold individuals accountable in job descriptions and measuring performance through the appraisal system.

Shared approaches to capacity building: In some contexts, such as North East Nigeria, Haiti and DRC, investment in NSD has focused on branches where operations have been carried out, perhaps to the detriment of NSD for the NS as a whole. This has resulted in the NS feeling sidelined and their staff and volunteers not benefitting from sustainable capacity strengthening activities which could have been covered by OIA funds. Ukraine provides a positive example of collaborative approaches to NSD which is delivered by both the ICRC and the IFRC, funded by the ICRC through its PfR as opposed to via a OIA.

Safety and security management: With the OIA being launched in some of the most dangerous operating environments seen today¹⁴, the need for a thorough understanding of safety and security management when implementing activities financed through a OIA is paramount. However, there have been difficulties in ensuring consistent adherence to ICRC-led security procedures in a number of OIA locations which has been a point of friction at field level, particularly given the ICRC's long-term presence where breaches of security regulations may negatively impact its ongoing operations and put its staff at risk.

Presentation of strong, coherent Movement messaging: The OIA has been beneficial in terms of encouraging increased dialogue resulting in the issuing of initial public joint statements. Communication staff from the ICRC and IFRC reflected that more could be achieved, that joint communications have not always adequately reflected the activities of all components sufficiently and that in some circumstances, joint decisions regarding the communication strategy to be followed in a OIA operation have not always been adhered to. The name of the OIA (not having clear Red Cross Red Crescent branding in its title) was a continuing frustration.

Added value for the NS: Although NS have been involved in the Mini-Summits where the decision whether or not to launch a OIA is often taken, it is difficult in the examples considered to see what the ultimate added value of a OIA is for the NS. Some NS¹⁵ felt excluded or marginalized from strategic decision-making and regretted that their own organizational capacity had not been built. The positive experience of Ukraine provides an example of clear added value for the NS without using a OIA.

Operational effectiveness and complementarity: While a large number of activities and services that the ICRC and the IFRC can provide – either directly, or in order to support and strengthen the capacity of NS – are similar, each organization has a specific role to play depending upon its mandate¹⁶, the operational environment and skills and capacities. Some of the unique skills that each can offer in contexts where it may *not* be lead agency, are primarily (but not exclusively): restoring family links,

¹⁴ DRC, North East Nigeria, South Sudan and Yemen.

¹⁵ South Sudan, Nigeria and Myanmar, and to an extent in Yemen.

¹⁶ Based on the statutes and visions of each organization and the SA/SM.

some forensic services and weapon contamination activities in the case of the ICRC; and for the IFRC NSD and epidemic/pandemic response and preparedness. When these unique skills and services are offered and combined, in conjunction with the skills and services of the NS, the real value of the Movement is seen and the opportunities to increase the Movement's footprint for the benefit of those affected by crisis turn the relationship into a true partnership, where each partner needs and relies on the skills and expertise of the others in order to achieve shared operational objectives.

While the OIA is not expected to bring this complementarity but rather to result from it, this has only been observed in a limited number of locations where the OIA has been launched - in Haiti and DRC¹⁷ and also in South Sudan¹⁸. Observing good practice in relation to Movement complementarity has been less obvious in conflict environments with ICRC-led OIAs where the IFRC has pursued more operational activities (or been perceived to have done so) and "moved away" from NSD in some instances.

Involvement of PNSs in OIAs: The decision to focus on the relationship between the two international entities of the Movement and initially exclude the PNS is understandable but has been seen to have had some negative consequences. The most recent IFRC-led OIA in DRC (Equateur) has seen the PNSs working in DRC involved in helping to deliver support to the operation of the Red Cross of the Democratic Republic of Congo (RCDRC), building on their capacities and experience in particular technical areas and their geographical presence. While this is viewed as a step forward, PNS interviewed viewed their engagement in this operation not as partners but as sub-contractors funded by the IFRC. More could be done to turn this approach into one of strategic and active Movement partnership which would be mutually beneficial.

4.4. Perceptions and expectations of external stakeholders¹⁹

Donors: Where the OIA mechanism has been used, the production of joint narratives and joint appeal launches has been seen as positive and well received by those donors interviewed. They perceived the OIAs to be evidence of jointly planned Movement responses, which was more important to them than the issue of having only one appeal document to consider or attending only one appeal launch. Donor concern tended to be less about organizational roles and relationships and more about whether the objectives of the operation are met collectively.

PNS informants: PNS provided mixed feedback on the OIA with the majority of senior headquarters staff stressing that they were looking for evidence of joined-up planning and coherence in the Movement's responses based on complementarity, rather than *de facto* a one appeal approach. A number felt that a OIA is currently more of a cosmetic description of a coherent response that might not (or did not) reflect the reality on the ground. There was a clear expectation that PNS roles would be captured in any future OIA or Movement response plan in order to project the full Movement footprint and leverage a range of institutional donor relationships. One unintended consequence of the OIA mechanism for PNS was the inability to provide a level of earmarking within an ICRC-led OIA in order to meet donor requirements.

¹⁷ In both these cases it is unclear whether an OIA was needed in order to support these responses.

¹⁸ Although it should be noted that reaching agreement in South Sudan took some time and required the deployment of IFRC Geneva staff as discussions at country and Regional level were taking too long to come to a positive conclusion.

¹⁹ Note that it was only possible to speak to a limited number of donors, NS and PNS representatives during the review process.

4.5. Additional Findings

A number of informants reflected on the willingness and institutional mindset shift that had allowed Movement partners to try out new modalities while managing large-scale crises, recognizing that this has required significant investment from individuals in both institutions. While there has been positive collaboration in pursuing OIAs at senior leadership and executive levels of the ICRC and the IFRC, informants stated that at times messages coming from leadership on how and why to implement the OIA were insufficiently clear and the role of intermediary levels within the hierarchies (particularly the IFRC Regions) were seen as being unhelpful in the operationalization of OIAs at field level. A breakdown in trust (both individually and institutionally) and a contribution to rising tensions seems to have been one unintended consequence of implementing the OIAs in some instances and this seems to have had a prejudicial impact either on the development of later OIAs or on the low levels of enthusiasm for implementing OIAs in the future. Finally, it was observed that the OIA as currently configured makes little allowance for the very different nature and scale of the two organizations and may result in false comparisons being made of the performance of each institution.

5. Conclusions

Piloting the OIA approach over the last two years has demonstrated that the two international components of the Movement positively and willingly entered into an exploratory process to challenge the *status quo* to resource mobilization in countries affected by severe and large-scale emergencies. With minimal preparation, they created a 'learning-by-doing' process that led to increased dialogue and enhanced efforts to implement coordinated Movement humanitarian responses which in some contexts has contributed to improving Movement coordination and cooperation. In certain conflict-affected environments the OIA has provided the opportunity for the IFRC to access funding that it may otherwise not have had access to.

However, launching a complicated resource mobilization tool in the face of an emergency, unsupported by clear guidance and with different institutional drivers for using such a mechanism has been time and energy consuming and has often led to confusion and tension, particularly at field level. Tensions in one OIA have impacted on subsequent OIAs to their detriment. At the same time there are examples of positive Movement collaboration and cooperation in contexts where the OIA has not been used.

The contexts which have seen the most difficulties in application of the OIA have been conflict environments where the ICRC has had a long-term presence with established structures; existing dialogue with authorities, weapon-bearers and affected communities; and has been implementing large-scale humanitarian responses, with the NS, often for a number of decades. Difficulties have arisen when the IFRC has moved beyond its recognized strengths in such conflict environments (including but not limited to NSD and epidemic response) and endeavoured to establish new operational responses with NS which mirror those of the ICRC and which have not always resulted in improved efficiency and effectiveness. The effect of one organization providing large amounts of funding to the other has shifted the balance from one of partner organizations working alongside each other to one of donor and recipient, which has had a negative impact on institutional relationships.

It is acknowledged that there is a need to identify collaborative ways in which the IFRC's strengths can be supported financially and which avoid the establishment of parallel systems and structures, particularly in often-volatile and sensitive conflict environments. This is already happening in some locations where the ICRC is including financial support to the IFRC to undertake NSD outside conflict locations within its annual budgeting processes. However, there is a need to generate further sustainable financial support which would allow the IFRC to focus on those areas where it has unique

skills and capacity and avoid future operational competition that many feel has distracted from support to crisis-affected populations. The tendency for NSs to feel marginalized within the OIA approach and the explicit decision to omit the PNSs are missed opportunities which have masked the true extent of the Movement's footprint in appeal reporting.

With the OIA only having been in place for two years, it is a short time span within which to draw conclusions as to the success of the mechanism. Testing the OIA has required significant investment in time and resources from all components of the Movement and although each location where it has been used has experienced difficulties, it has compelled individuals to engage in discussions at field level which may not otherwise have occurred. This is an important and positive result in terms of moving forward and trying to find more fertile ground for cooperation which does not necessarily centre around a resource mobilization tool.

6. Recommendations²⁰

The focus of the recommendations is that use of the OIA mechanism should be paused so that the Movement can take stock of the experience of the past two years and ensure that this learning is captured and built upon. Specifically, this means that the OIA mechanism should not be used until there are clear and agreed SOPs and guidance to support them; key staff who have the responsibility to implement OIAs have been well-prepared to be able to do so successfully; and the supporting infrastructure (in terms of specialist roles) is available to enable continued OIA roll out.

Once the tools and guidance have been prepared and a clear message from the leadership of both institutions has been disseminated which strategically frames the OIA, the mechanism should be prepared for and tested in limited number of large-scale emergency response environments (perhaps five or six) where the probable need for a OIA is judged to be high. Each use of the OIA should be the subject of a joint lesson learning review at the end of the implementation period, in order to feed into the systematic revision of the guidance and a fine-tuning of the mechanism for the future.

In the meantime, international Movement appeals should be coordinated, based on a shared narrative presented jointly to donors and to external audiences, but with separate ICRC and IFRC appeal mechanisms beneath the narrative.

Recommendation 1: Future Movement appeals

- No further OIAs should be launched until the leadership of the ICRC and the IFRC have a clearly articulated and agreed strategic direction on the approach and objectives of a OIA (see Recommendation 2) in place supported by the appropriate people, guidance and tools (see Recommendations 4 and 7);
- The model for a **Movement Coordinated Emergency Appeal** (with separate ICRC and IFRC budgets jointly presented with an overarching narrative) is developed, tested and fine-tuned²¹;
- The Coordinated Appeal and shared narrative must be based on a **clear Movement Plan of Action** that responds to a harmonized assessment and clearly describes the roles of each involved organization (NS, ICRC, IFRC and PNS);
- The OIA re-launch should be accompanied by a **name change**, with the mechanism being clearly branded as a Red Cross Red Crescent Movement tool to allow more effective communication.

²⁰ The recommendations focus around a set of key thematic areas and are not presented here in order of priority, but in an attempt to present them in a logical sequential order to the extent possible.

²¹ In line with Objective 7 of the SMCC PoA.

Recommendation 2: Strategic framing of the OIA

- There is a need for a **strategic level framing of the OIA** which clearly states:
 - The purpose of the OIA;
 - When a OIA would be the best approach to most effectively meet the needs of those affected by disaster;
 - The pre-requisites that need to be in place;
 - The bottom-up nature of the planning of a OIA, linking it directly to clear, and where possible joint, needs assessments;
 - Which component of the Movement is responsible for what, ensuring that complementarity and the added value of each is explicitly described. This can go beyond operational issues and include issues such as access (to communities, local authorities, etc) and security management;
 - The performance indicators and how these will be monitored;
 - Who is accountable for what and how that accountability will be exercised;
 - How the implementation of activities covered by an OIA will be reported on;
 - The timeframe for the OIA, together with transition and exit arrangements;
 - How contributions from donors to the OIA will be represented.
- This strategic framing needs to be documented, disseminated and requires consistent and unambiguous leadership messaging, particularly when the launch of a OIA is under consideration.

Recommendation 3: Sequencing of the OIA within the SMCC

- **No further joint appeals are “tested”** in locations where other critical elements of the SMCC process are not yet in place and well understood. This requires:
 - The completion of a Movement contingency plan with framework pre-agreements about how Movement actors will collaborate, built on distinction of mandates and the added value of each Movement partner (NS central role);
 - The formulation of country and operational plans in a joined-up manner that include the NS and considers the role that PNS could play where relevant and appropriate;
 - Having clear security management agreements in place and signed;
 - Development of shared Movement communication statements and promotional documentation as standard;
 - Agreement of Movement fundraising strategies based on leveraging institutional relationships with donors, building on a shared Movement narrative (which could/would include PNS).
- Evidence of a functioning Movement coordination and cooperation platform in place in which all Movement components participate, led by the NS and supported by IFRC and ICRC.

Recommendation 4: Timeframes for OIA, transition and exit

- Based on the acknowledgement that a OIA mechanism is appropriate to support a joint Movement approach only during the emergency phase of an operation, and in the case of ICRC-led OIAs will have to fit within the current budget year, it is recommended that **NSD activities contained within a OIA must be realistically planned to be achievable within that timeframe**. This means that NSD activities should not be included in a OIA for which the ICRC is the Funding Partner if the appeal is launched within the last quarter of the year.
- Where longer-term NSD activities are required, these must be developed, discussed and agreed through the joint planning processes and cooperation mechanisms that support the operation, with clear identification and agreement around the accountability framework for this.

- In these situations, **consideration needs to be given to how NSD activities can be supported by Movement partners and the IFRC membership**, including the potential for including NSD activities delivered by IFRC and the NS in the ICRC's PfR for an agreed period of time.

Recommendation 5: Accountability

- The **ICRC and IFRC should jointly develop a shared accountability framework** that can be followed in all OIAs, regardless of which institution is the Funding Partner. This would include the identification of indicators, appropriate monitoring²² and narrative and financial reporting procedures required in any given circumstance.²³ The opportunity to pilot an approach where the Implementing Partner's operational team is embedded within the Funding Partner's management system for the duration of the delivery of specific activities should be investigated if the circumstances are appropriate.

Recommendation 6: Guidance and tools

- There is a need²⁴ to **build upon the existing OIA guidance in order that appropriate tools and SOPs are available** for each stage of a OIA (starting with the decision whether to activate a OIA or not). Those working at field level must be closely involved in developing and testing these tools, initially through table top simulation exercises, will be important.
- The **Protocol document** should be further developed so that it becomes a template SOP that can be quickly adjusted to the particular context. It should include guidance on:
 - The step-by-step process from pre-activation of, to exit from a OIA, including clear roles and responsibilities for each step;
 - The sequencing of IFRC and ICRC planning processes;
 - Approaches to NSD, operational coordination, visibility, communications;
 - Security roles and responsibilities;
 - What to do when activities are not being undertaken as agreed;
 - How to engage with PNS before and after the Mini-Summit;
 - The roles and responsibilities for Funding and Implementing Partners.
- The SOPs need to include an online repository with OIA templates for agreements such as the security framework; security management agreement; project agreement; cash pledge; tripartite MoU and joint communication plan.
- An important part of producing tools is to develop an associated **dissemination plan**, so that staff have access to and are familiar with them and have learned how to use them.

Recommendation 7: Centrality of the NS

- Further discussion is required with NS that have been involved in an OIA to consolidate their suggestions on how the role of NSs could be enhanced in the future. This should then be included in the newly developed OIA SOPs and guidance.

Recommendation 8: Appeal activation triggers and pre-conditions

- ICRC and IFRC SMCC file-holders should facilitate a process (involving those who have participated in OIAs at field level) to identify OIA triggers. Pre-conditions would include:
 - A new and specific crisis;
 - Agreed added value of and complementarity between components - ideally already specified in an existing contingency plan;

²² Responsibilities for monitoring could be shared between Implementing and Funding Partners.

²³ Building this sort of joint accountability approach could lead in the long term to developing a specific OIA budgeting and reporting system to support OIAs.

²⁴ As foreseen in the 2018-2019 SMCC PoA.

- Commitments of each Movement component documented and agreed in advance;
 - Trust and goodwill at country level, Country Cluster Support Team or Regional level (as appropriate);
 - Commitment to have appropriate HR in place to support appeal objectives;
 - Pre-agreement on monitoring of and reporting on funds;
 - Signed Movement Security Framework in place (where these frameworks exist);
 - Agreed joint communications document signed.
- Having a ‘decision-tree’ tool in place that can help protagonists quickly work their way through the process of deciding whether the situation meets the criteria for a OIA approach would be useful.

Recommendation 9: People

- Both institutions should invest in ensuring **that staff from all services are included in OIA simulation exercises and training**. The Movement Coordination Officer roster needs to be functional, training on the OIA needs to include all staff who work in the field in operational and management roles, helping to develop their partnership brokering skills and finding creative ways to help staff learn from the individual and personal experiences of others that they work with (e.g. using audio and video documentation, encouraging blogging/vlogging, etc).
- **Commitments made by each institution in relation to the OIA should be included in individual job descriptions and performance appraisals**. Staff should be held to account against organizational commitments and consideration should be given to including these in 360-degree appraisals from counterparts in other Movement components.
- **The ICRC and IFRC should develop a strategy to encourage staff to better understand how the other organization works**. This could include not only inception and training events, but also staff exchange or secondment, shadowing or professional pairing to encourage staff in technical positions to get to know how their counterparts’ function within their organizations.

Recommendation 10: Complementarity and added value

- With a focus on large scale crises, it is necessary for **the ICRC, the IFRC and NS to ensure Movement complementarity** to support those affected by crisis. This should include:
 - Building the capacity of the NS to respond to crises, now and in the future;
 - Identifying options through which the ICRC can provide multi-year support to IFRC NSD activities in a number of locations (perhaps starting with those countries already receiving support in the PfR process); (See Recommendations 4 and 11)
 - Jointly identifying areas where capacity needs to be strengthened and forming country-level working groups, comprised of all Movement components.²⁵

Recommendation 11: National Society Development

- Drawing on learning from the contexts considered in this review (and additional relevant contexts), **the ICRC and the IFRC need to define a clear shared vision of how NSD can best be achieved in sensitive security environments** – and particularly whether and how it could be achieved in certain conflict situations.
- This may vary from country to country and will need to include a sharing of responsibilities between the IFRC and ICRC in some security sensitive settings, respecting the Lead Agency of the ICRC while acknowledging and building on the lead role that the IFRC has for NSD. Respect for the

²⁵ In Somalia for example, there has been a move away from the historical project/programme-focused capacity strengthening support which was not sustainable. Instead, priority capacity strengthening areas have been jointly identified with different Movement components providing jointly agreed support to a specific priority area based on their own skills and capacities.

security framework that is in place and the particular expertise that ICRC has developed to work effectively in these environments is a central element to this.

- As with other situations, consideration of the best-placed organization to achieve the stated outcome must be applied, defining how a particular objective can be achieved by working together. This should include a strengthened dialogue with and ensuring of commitments from PNS to support their Federation in carrying out its NSD role.

Recommendation 12: Learning from other organizations' appeal processes

- **Joint research should be conducted into optimal approaches to harmonized operational planning and funding and how other organizations approach this task**, particularly those international organizations such as the UN and other large NGO networks. Learning how peers plan and appeal for funds and how the UN designed its funding structure with the participation of states to avoid multiple varying funding approaches could inform the development of Movement's funding process.

Recommendation 13: Supporting 'learning-by-doing' processes

- Should 'learning-by-doing' be used in future Movement pilots, it is important that the participating organizations consider how they will manage and respond not only to the successes of the pilots but also how mistakes and errors will be addressed.
- If 'learning-by-doing' approaches are to be repeated, the ICRC will need to consider amending its policy of only sharing finalized documents in order that in specific 'learning-by-doing' scenarios, delegations can benefit from the emerging learning from these processes with the dissemination of evolving (and therefore unfinalized) documents.
- Consideration should be given to creating a **broader oversight body in the next phase of piloting OIA** and coordinated planning and appeal processes. This should include both staff who have recent direct experience of working in OIA operations, NSs and PNSs, who can oversee progress and offer an external view on progress, opportunities and challenges in terms of putting the OIA into practice.

1. Introduction and background

The concept of the One International Appeal (OIA) was initiated in January 2015 by the Secretary General of the IFRC and the Director General of the ICRC. The aim of this initiative was “that through efficient resource mobilization built on complementarity and internal non-competition, the Movement would increase the impact of its overall response”.²⁶ The OIA modality was later endorsed at the 2015 Council of Delegates (CoD) under Resolution One on Strengthening Movement Coordination and Cooperation (SMCC) and was included in the SMCC Plan of Action (PoA) 2016 - 2017.

Although there were no agreements yet in place, the 2015 Nepal earthquake provided an opportunity for the ICRC and the IFRC to test out the nascent OIA approach. This was followed in September 2016 with the signing of the Funding Modality Agreement (FMA) between the two institutions, whereby they agreed that, whenever possible, in large-scale emergencies, one organization would launch an appeal for funds on behalf of both, with the aim of optimizing resources and impact in such responses.²⁷ The OIA also responded to a recognition that donors were demanding a demonstration of increased Movement coordination, effectiveness, efficiency and value for money in large scale operations. The Funding Modality Agreement was first implemented in response to Hurricane Matthew in Haiti in 2016. It was subsequently used in Nigeria, South Sudan, Yemen and Myanmar in 2017 and in the Democratic Republic of Congo (DRC) in 2018 in response to outbreaks of the Ebola virus²⁸.

The OIA – which is focused on the two international components of the Movement - has primarily been triggered at the onset or spike of an emergency, by the Movement’s Strategic Coordination mechanism²⁹ at the country level. In some cases, the headquarters or the Regions have promoted the use of the OIA, including in relation to the 2017 drought in Africa. This mechanism entrusts the organization assuming the “lead agency” role for that context (as per the Seville Agreement and its Supplementary Measures (SA/SM))³⁰, to integrate the planned activities and budget of the other international Movement component into the lead agency’s appeal, budget extension or other fundraising tool. The lead agency is then responsible for managing the appeal, raising, collecting and allocating funds and compiling reporting to donors on the use of those funds in line with the normal *modus operandi* of the lead agency.

As depicted in Figure 1 below, there are a small number of formal agreements which have been created in order to support OIAs. One is the above-mentioned FMA - the overarching agreement for all OIAs. The context-specific Project Agreement (signed by the ICRC and IFRC and in some cases subsequently also signed by the National Society [NS]), specifies amounts to be paid by the “Funding Partner” to the “Implementing Partner”; sets out earmarking conditions and reporting requirements for each specific OIA; and covers topics such as the sharing of assessment information, and approaches to planning (joint, coordinated etc.). The final formal document between the two international Movement components in an OIA is the Letter of Agreement (in cases where the IFRC is the Funding Partner) or a cash pledge agreement when the ICRC is the Funding Partner.

²⁶ Source: ICRC/IFRC Funding Modality Agreement, September 2016.

²⁷ Ibid.

²⁸ The Funding Modality Agreement was also used for the Sulawesi Earthquake and Tsunami in Indonesia in September 2018, although not as part of a OIA. This was not however included in the review’s timeframe.

²⁹ Made up of the Secretary General of the host National Society (NS) and the heads of delegation of both the ICRC and IFRC.

³⁰ Agreement on the Organization of the International Activities of the Components of the Red Cross and Red Crescent Movement – The Seville Agreement (1997) and Supplementary Measures (2005).

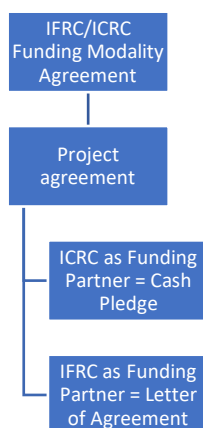


Figure 1 OIA official documents

As discussed in Section 5 below, the OIA is one element within a wider set of commitments to improve coherence in relation to the Movement’s approach to the mobilization and coordination of financial resources in large-scale emergencies.

Reflections undertaken in preparation for the 2017 CoD showed that the OIA had been both challenging and interesting. This led to the need for a deeper consideration of the process and the joint commissioning of this review by the ICRC and the IFRC.

2. Purpose and scope of the review

As outlined in the review Terms of Reference (ToR), the purpose of this lesson-learning review is to highlight emerging good practice and identify the key challenges of delivering the OIA mechanism in its first two years of implementation. The review aims to facilitate decision-making in relation to the next phase of the OIA process in support of the SMCC Plan of Action.

Specifically, the objective of the review is to ascertain whether the mechanism has helped support improved coordination between Movement components and maximize resources available to the Movement while lessening competition for resources.

3. Methodology and limitations

The review has been undertaken by two independent consultants, both familiar with the different components of the Movement and the ways in which the Movement operates.

The review was commissioned by the senior management of the ICRC and the IFRC, as part of the SMCC process, with the ICRC’s Deputy Director General and the IFRC’s Under Secretary General for Programmes and Operations forming the Steering Team providing oversight throughout the review. A Joint Management Team (JMT) composed of SMCC file-holders from the ICRC Headquarters and the IFRC Secretariat managed the review process.

Methodology

Following an initial briefing by the JMT, an inception report was drafted outlining the review methodology, data collection and analysis tools, a review matrix and timeline. The inception report was approved by the JMT prior to the start of data collection.

A standard approach to qualitative data collection has been adopted focusing on:

- a desk review of key documentation;
- semi-structured interviews with key informants from different components of the Movement and external donors.³¹

As can be seen from Table 1 below, between 26 September and 11 December, a total of 188 interviews were conducted (180 with Movement stakeholders and eight with donor representatives). Country visits which allowed for in-person interviews were undertaken to Myanmar and Bangladesh. All other interviews (with the exception of a small number held during the briefing phase in Geneva) were undertaken remotely.

Table 1 Overview of review key informants

Stakeholder group	Number of interviews held
ICRC Geneva	31
IFRC Geneva	20
ICRC field delegations	41
IFRC regional, cluster and country offices	29
National Societies implementing the OIA	21
Participating National Society (PNS) HQs	15
PNS field offices	22
Donors	8
Other	1
Total	188

The review has focused on data collection from six countries where the OIA has been implemented (the DRC³², Haiti, Myanmar, Nigeria, South Sudan and Yemen) and from two countries – Bangladesh and Ukraine – where alternative approaches to resource mobilization and coordination have been adopted.

A draft review report was shared with the JMT and the Steering Team in order to incorporate feedback prior to finalization of the review process.

The review commenced in late September 2018 and was finalized in February 2019.

Limitations

The following constraints and limitations were faced during the review:

- It was not possible to undertake the planned field visit to Nigeria during the review timeframe for reasons beyond the control of the review team. Instead, data collection and stakeholder interviews were undertaken remotely.
- There was a lack of clarity from the outset as to which countries would be covered. For example, DRC was initially included, then dropped, and then re-included (at the request of the Review Team in order to ensure better representation of IFRC-led OIAs). Somalia had initially been included (hence some limited reference to Somalia in the report) but was substituted by Ukraine following discussions with the JMT.
- As only two of the six OIA case studies that were part of the review were led by IFRC, the review has more reflection on OIAs in conflict situations than those that respond to situations of natural disaster.

³¹ See Annex 1 for the key documents reviewed and Annex 2 for the list of informants.

³² Due to the ongoing Ebola response, DRC was considered only in the final weeks of the review. Its inclusion was deemed important by the Review Team in order that more than one IFRC-led OIA could be included in the analysis. The focus was on the first phase of the operation in Equateur although some discussions also referred to the ongoing operation in North Kivu.

- While an understanding of the SMCC process was necessary for this review, given the multiple areas covered by the SMCC and variances in terms of progress in each area, it has only been possible to make a broad assessment of the contribution that the OIA has made to the overall implementation of the SMCC (and vice versa) as requested in the ToR (section 7.3 of this report).
- Of the total of 204 people contacted for interview, a small number of key informants (16) either did not respond to these interview requests or did not make themselves available at the mutually agreed interview times.

4. Countries reviewed

Table 2 below provides a brief overview of the countries that were focused upon during this review. Of the eight focus countries from which lessons have been drawn for this review, three – Haiti, South Sudan and Ukraine – had been designated as SMCC country “laboratories” in 2016.³³ SMCC country laboratories have benefitted from a certain level of familiarity with, and in some cases use of, SMCC-promoted tools in advance of the decision to launch a OIA (or equivalent), often meaning that the spirit of enhanced Movement coordination and collaboration and an understanding of the advantages of these approaches was already in place.

As noted above, this review has focused on six OIAs which have been launched primarily in relation to large-scale crises in the last two years. In two of the countries considered (Haiti and DRC), the IFRC was the Funding Partner for the OIA, and the ICRC was the Funding Partner in the remaining four OIA countries (Myanmar, Nigeria, South Sudan and Yemen). It is worth noting (and as discussed further in Section 7.2 below) that the OIAs for Nigeria, South Sudan and Yemen followed the UN’s move to launch massive appeals for these countries (as well as for Somalia) with a joined-up narrative. The ICRC and the IFRC were keen to portray a similar joined-up approach in these countries – all of which are severely affected by conflict - while addressing needs. The ICRC’s operations in these countries were amongst its biggest in the world at the time. Table 2 below provides an overview of the OIAs considered in this review. Although not the subject of a OIA, Ukraine has been included as it provides an example of Movement cooperation, including in relation to financing but using a different collaborative financial mechanism than a OIA, from which learning could be taken. Similarly, Bangladesh has been included as it was part of the Movement’s wider Rakhine crisis response and allowed for a comparison with Myanmar where a OIA was launched.

Table 2 Overview of review focus countries³⁴

Launch date	Country	Appeal type	Emergency	Lead organization	Implementation timeframe	Agreed appeal amount in CHF
October 2016	Haiti	IFRC launched emergency appeal, then converted into OIA, supported by One Movement Plan	Hurricane Matthew response	IFRC	October 2016 – October 2017	Initial total appeal 6,853,515, revised to 28,236,416 (including PNS) ICRC: 175,735 agreed, 208,000 claimed

³³ Each of the five regions has one country which has been identified as an SMCC country “laboratory”. Each country selected has a different humanitarian and Movement environment. Selected country “labs” serve as contexts in which there is a focused effort on Movement coordination with the aim of improving coordination and cooperation while piloting new SMCC products/tools.

³⁴ Source: Comparison table of ICRC contributions to the IFRC OIA.

Launch date	Country	Appeal type	Emergency	Lead organization	Implementation timeframe	Agreed appeal amount in CHF
April 2017	South Sudan	"OIA" based on internal reallocation of resources from existing annual appeal ³⁵	"Famine" – food insecurity in a conflict environment	ICRC	April 2017 – 31 December 2017 <i>January – December 2018</i> <i>Carry over of unspent funds</i>	PfR 125,996,000 IFRC: 1,115,991
May 2017	Nigeria	OIA based on a Budget Extension Appeal (BEA) for the Lake Chad crisis response.	"Famine" – food insecurity in a conflict environment	ICRC	May 2017 – December 2017 (Agreement to extend IFRC implementation timeframe to December 2018)	BEA 27,000,000 IFRC: 5,096,838
June 2017	Yemen	OIA built on a BEA	"Famine" – food insecurity in a conflict environment	ICRC	June 2017 – 31 December <i>Exceptional carry over of unspent funds to 2018 (not included in ICRC's annual budget)</i>	BEA 42,422,000 IFRC: 2,412,496
June 2017	Ukraine	2017 Non-budgeted allocation of expenditure 2018 Inclusion in ICRC PfR	Support to IFRC capacity building	ICRC contribution to the IFRC	June – December 2017 January – December 2018	
August 2017	Bangladesh	Single ICRC Appeal Single IFRC Appeal, supported by a One Window Framework (minus ICRC)	Large scale population movement operation	ICRC IFRC	May – December 2017 DREF January 2017, Appeal May 2017, revised August 2017 – December 2018 (flooding & displacement)	BEA 8,025,000 IFRC: 36,455,381
September 2017	Myanmar	OIA built on a BEA	Violence and displacement	ICRC	September – December 2017 <i>January – December 2018</i>	BEA 16,617,520 1,505,216 to IFRC/NS <i>PfR: 63M</i> <i>Contribution to IFRC from PfR: 600,000</i>
June 2018	DRC	IFRC DREF and appeal (May 2018) revised to OIA (June 2018) ³⁶	Ebola virus disease 9 th outbreak in Equateur (Bikoro, Iboko & Wangata)	IFRC	May - November 2018	Appeal 7,879,764 ICRC: 1,975,487

³⁵ No OIA was launched in South Sudan but instead there was a reallocation of resources from the existing ICRC budget. This coordination effort was framed under the banner of a Movement Response Plan.

³⁶ The extension of the OIA to North Kivu in August 2018 was not considered in this review as it was an on-going operation.

5. The OIA and the SMCC

Approved by the CoD in 2015, the SMCC process was initiated in order to improve Movement coordination. Among other commitments made by Movement partners to fulfill this objective was the acknowledgement of the need for a Movement-wide approach to resource mobilization, built on complementarity and non-competitiveness.³⁷ Within this, Objective 7 of the SMCC 2016-2017 PoA foresees what it called coordinated appeals as the minimum, while also pursuing the concept of the OIA. The 2018-2019 PoA puts more emphasis on developing OIAs. (see Figure 2 below).

<u>2016-17 PoA</u>	Movement Coordinated Emergency Appeal	One International Appeal
Objective 7: The Movement pursues a coherent and complementary approach to resource mobilization in large-scale emergencies	ICRC and IFRC further develop, test and fine-tune the Movement Coordinated Emergency Appeal model for future large-scale emergencies Coordinated, complementary, synchronized and internally non-competing appeals for large-scale emergencies	ICRC and IFRC, in consultation with NS, further explore the feasibility of launching OIA which includes the objectives, activities and budgets of the other components Improved perception of efficiency, coherence and clarity of Movement response plus greater sense of collective responsibility in terms of operations and accountability to donors
<u>2018-19 PoA</u> Objective 3: Continue improving coherence in resource mobilization and developing modalities that ensure cost-efficiency and credibility of the Movement response	3.1.4 Develop SOPs for Coordinated Appeals in line with the ones for OIA and ensure their dissemination	3.1.1 Learn from the implementation of the One International Appeal modality and adapt the practice and process on the basis of the results of an independent evaluation 3.1.2 Develop new action points based on management decision following evaluation of the One International Appeal and ensure implementation 3.1.3 Disseminate SOPs for One International Appeal and create Q&A to go with it

Figure 2 SMCC Movement Appeal Mechanisms

6. Overview of ICRC and IFRC appeal processes

Both the ICRC and the IFRC have their own well-established mechanisms to appeal to donors for financial support as shown in Figure 3 below. In addition, two collaborative mechanisms have been

³⁷ CD/15/R1.

developed in the last two decades – the Integrated Appeal (used only once, in the Balkans in 1999) and the OIA.

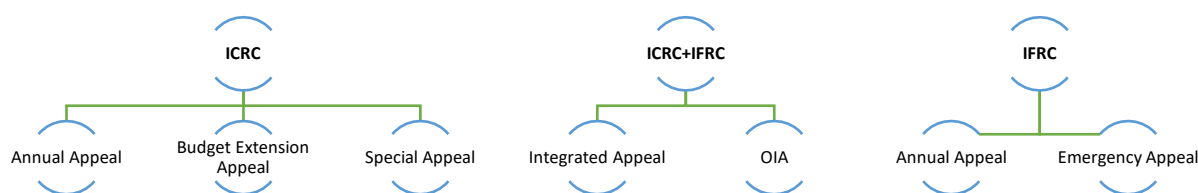


Figure 3 Overview of institutional appeal mechanisms

As referred to above, although the SMCC Plan of Action 2016-2017 instructs the two institutions to develop and test what it refers to as a ‘Movement Coordinated Emergency Appeal’, there appear to be no examples of this approach recently. However, it should be noted that in recent years, IFRC members have become familiar with developing what have been known as Federation-wide plans that aim to present a joint Federation membership approach to supporting the host National Society in response to a natural disaster. Examples of this include the Haiti earthquake operation 2010, the Philippines Typhoon Haiyan operation in 2013 and the Bangladesh operation in response to the Rakhine crisis 2017 - 2018.

7. Key findings

The key findings are presented in line with the five thematic areas outlined in the review ToR:

- ⊙ Assess the extent to which the ICRC and IFRC are fulfilling the **commitment to maximize resources and lessen competition for resources** for emergency operations, and the contribution of the OIA to that goal.
- ⊙ Identify **key achievements and challenges** in the implementation of the “OIA” modality by the ICRC and IFRC at the various levels (country, regional, headquarters), including an assessment of the different ways in which the “OIA” modality has been promoted to donors.³⁸
- ⊙ Assess the **relevance** of the guidance and tools recently developed to support the implementation of the “OIA” modality, and the readiness of ICRC and IFRC systems.
- ⊙ Consider whether the “OIA” has made a positive contribution to the **overall implementation of the SMCC initiative**, particularly in relation to the resource mobilization commitments and operational leadership and coordination, and ultimately on operational effectiveness in favour of the affected populations.
- ⊙ Capture the **perception and expectations** of key external stakeholders in relation to the “OIA” modality, particularly the views of the involved National Societies and donors.

³⁸ Achievements and challenges have been integrated into the appropriate sections of the report as they range over all thematic areas. A consolidated list of achievements and challenges can be found in Annex 3.

7.1 Maximization of, and reduced competition for, resources

Key Findings

- Key Finding 1** Implementing OIAs has required significant investment from the staff of both the ICRC and the IFRC. To date however, there is no clear evidence of increased resource generation for the Movement as a whole.
- Key Finding 2** Using an ICRC-led OIA in conflict-affected environments has facilitated IFRC access to financing in contexts where it was unlikely to have generated funding if it had launched its own single and separate appeal.
- Key Finding 3** In some conflict-affected locations where the IFRC has accessed funds through an OIA, this has increased the risk of potential duplication of systems and structures. This has been seen where OIA funds have been used by the NS/IFRC for operational purposes focused on service delivery to affected communities (rather than National Society Development), particularly in locations where new IFRC structures, logistics pipelines and personnel have been put in place to support NS implementation of programmatic responses. Insufficient consideration of how to achieve efficiency gains between the organizations has led to questions regarding potential duplication, efficiency and value for money.
- Key Finding 4** In some contexts where an OIA has not been considered appropriate (e.g. due to the scale of the crisis), alternatives to collaborative Movement approaches to use of resources have been found. Ukraine provides an example of the ICRC supporting the IFRC in its National Society Development work by including funding for this in its regular annual budget process.
- Key Finding 5** The non-inclusion of the Participating National Societies (PNS) in the OIA concept in 2016/2017 meant that opportunities for maximizing Movement-wide resource mobilization and reducing internal cross-Movement competition were lost. The DRC (Equateur) OIA demonstrated an ability to include PNS in a Movement-wide response, both in terms of fundraising and programme delivery, although there is room for improvement in the operationalization of this approach.
- Key Finding 6** Using a joint funding approach has not always enhanced coordination and cooperation as foreseen in the SMCC, and has not always resulted in drawing on the added value of each international component.
- Key Finding 7** When OIAs have been launched in the latter part of the year it has been extremely difficult for the IFRC to complete NSD activities within calendar-year timeframes. This has highlighted the incompatibility of activating OIAs which include the need to implement NSD within a short time span.

Maximization of resources

Of the six OIA contexts studied for this review, two appeals were led by the IFRC (Haiti in 2016 and DRC in 2018) and the other four (Myanmar, Nigeria, South Sudan and Yemen) were led by the ICRC. Of the ICRC-led appeals, three OIAs were built on an ICRC Budget Extension Appeal (BEA), while for South Sudan, resources were re-allocated from the ICRC's existing annual budget in order to support IFRC activities related to the much-publicized high levels of food insecurity in the country.

Discussions held with the resource mobilization teams of both the ICRC and the IFRC, as well as others involved in resource mobilization efforts for the OIAs considered in this review, highlight that it is impossible to provide concrete evidence as to whether or not launching any of the OIAs has generated more resources for the Movement than if two separate appeals had been launched.³⁹

While most informants concluded that using the OIA has probably *not* allowed the Movement as a whole to generate more funds, using the mechanism *has* allowed the IFRC to access funds in some contexts, particularly those affected by conflict, where it would otherwise have been unlikely to have received funding. This is notably the case for the appeals launched in relation to the food security crisis in Nigeria (for operations in the North East of the country) and South Sudan⁴⁰ - both conflict-affected countries where the ICRC was already present and had been operational for many years prior to the use of the OIA mechanism. In these cases, use of the OIA mechanism has therefore increased funds to one international component of the Movement. Notwithstanding this, key informants expressed their view that the OIA had not maximized resources for the Movement as a whole.

It is also worth noting here that although the IFRC has been able to increase access to resources in conflict-affected countries through the OIA, a number of challenges have been experienced in terms of delivering activities (and therefore spending funds) within the agreed timeframes. This tends to have been a result of the IFRC establishing new operational responses and structures (at times, but not always, in support of the NS) in the height of a large-scale emergency in a conflict environment – a focus beyond the institution’s strength and added value in National Society Development⁴¹ (NSD) and exacerbated by difficulties in recruiting and maintaining requisite staff to support the response. This was particularly noted as a challenge and a concern in Nigeria, where the IFRC included operational support to the Nigerian Red Cross Society (NRCS) as part of its approach to NSD (including for example, the provision of food and cash assistance, health, WASH and shelter activities, all activities described as operational, rather than focused on NSD). This required establishing a presence in new locations and embarking upon a range of new activities within a short timeframe. This resulted in a number of challenges which will be picked up throughout this report, with many informants emphasizing that they perceived that the IFRC had become directly operational here, something with which IFRC informants strongly disagreed.

With the Myanmar OIA launched in September 2017, the IFRC struggled to spend funds destined for NSD before the end of the year, primarily due to the very limited period of time that was left in the calendar year for implementation.⁴² Although NSD in this context was concentrated on short-term training activities and the purchase of goods and equipment, it still proved challenging to achieve this in the very limited timeframe, underscoring the incompatibility of funding NSD (a longer-term activity) in very short timespans.

Regarding the first of the two IFRC-led OIAs, no informants for the review of the Haiti OIA believed that it had resulted in increased funding for the Movement, although as this report reflects in section 7.3, the Movement-wide planning involving NS, ICRC, IFRC and PNSs led to the articulation of a clear

³⁹ It is also worth noting that undertaking an exercise to compare the extent to which OIAs might generate more resources than other resource mobilization efforts is perhaps impossible due to the high number of variables that exist such as scale and nature of the emergency; donor interest and political agendas for the context; media coverage; and time of year.

⁴⁰ In South Sudan it was agreed that the IFRC would focus on areas less directly affected by conflict.

⁴¹ Informants interviewed used the terms organizational development, capacity building, capacity strengthening and NS development inter-changeably and inconsistently throughout the data collection period. In the interests of remaining consistent, this review report will primarily use the term NS development (NSD) in order to capture all the different forms of capacity or organizational strengthening support provided to a NS by the ICRC, IFRC and PNS.

⁴² The ICRC was the Funding Partner for the Myanmar OIA, therefore it was necessary to follow the ICRC’s standard budgeting timeframe, i.e. the calendar year.

plan of action for the Movement response to Hurricane Matthew. The initial confusion regarding the scope of the OIA (whether it included the PNS or not) meant that the budgetary size of the appeal was inflated to include expected PNS bilateral funds which were not then channelled through the OIA, meaning that the appeal was significantly underfunded. Some (ICRC) informants involved in the operation concluded that the OIA approach may have resulted in reduced funding being available to support the operation, suggesting that had the ICRC activities not been included in the OIA (and therefore paid for by funds raised by the IFRC), they would have been implemented and covered through a reallocation of funds within the ICRC's own annual budget. Although in line with the Funding Modality Agreement, these informants observed that relationships with some ICRC donors who have historically supported the ICRC in Haiti may not have been sufficiently leveraged in support of the OIA.

The recent DRC OIA in Equateur has demonstrated a step forward from that taken in Haiti, in that the PNS who were present on the ground have been directly involved the OIA, not only channelling funds through the OIA in some cases, but also being subcontracted to deliver part of the response in ways that have responded to their organizational focus. This is further explored in section 7.3 below. It is not clear however that the OIA has increased the overall levels of fundraising.

In Ukraine (where there is no OIA), it was reported by all those spoken to that the provision of funding by the ICRC to support the IFRC's delivery of NSD activities has helped not only the ability of the Movement to support the Ukraine Red Cross Society (URCS), but has enabled the IFRC to leverage these funds in order to attract additional funding for NSD activities, boosted by the funding arrangement being seen as a sign of trust between the two organizations. At the same time there have been challenges in spending and clearly reporting on funds destined for NSD activities within the one-year timeframe of ICRC funding (in line with its annual budgeting process), indicating a possible mismatch of timeframes between annual plans and the longer-term nature of many NSD-focused interventions.

Finally, informants highlighted that working out the details of a OIA has taken up a great deal of time and energy (often described as high transactional costs) at the field and regional levels but without having generated increased funding for a Movement response.

Reduced competition for resources

A number of informants from different stakeholder groups spoken to (ICRC, IFRC, donors and PNS) expressed their view that the proposition that the OIA would reduce competition for resources was largely erroneous, suggesting that historically there had been little such competition between the ICRC and IFRC.⁴³ It was, however, noted that more recently there have been examples of potential competition between Movement partners (for example in South Sudan and Nigeria, where in both cases the IFRC intended to launch its own appeal for funds before the OIA mechanism was activated). Stakeholders pointed out that in a scenario such as Haiti after Hurricane Matthew, the ICRC would not have sought additional funding (and would have reallocated funds from within its annual Planning for Results (PFR) budget to support the small-scale activities that were funded through the OIA). In contexts such as Myanmar or Yemen, given that the ICRC is known by donors as the arm of the Red Cross and Red Crescent Movement that responds in conflict scenarios, many speculated that had the IFRC launched separate appeals, these may have been largely unfunded (and may, had they gone ahead, have had a deleterious effect on the ability of the Movement to coordinate its actions).

⁴³ The reasons for this may include the changing nature of a number of crises as well as changing funding patterns for humanitarian response and a number of other reasons that are beyond the scope of this review.

Ukraine provides an example of a country where a OIA has not been launched, but a different approach has ensured that there is neither competition for resources nor duplication of systems and structures.⁴⁴ As touched on above, here, the ICRC has included support to the IFRC's NSD activities in its PfR. The funds have not been allocated in response to a specific emergency, but instead are focused on ongoing NSD by using a General Objective in the PfR which is dedicated to the provision of financial support to the IFRC. Here, all components of the Movement - the ICRC, the IFRC, the URCS and in-country PNS - have worked closely to agree on best approaches to supporting URCS NSD. A combination of factors led to this decision including:

- The fact that Ukraine is not an easy context for which to raise funds, particularly for non-conflict-related activities;
- The absence of a large-scale crisis drawing media spotlighting and international attention;
- Agreement, in the interests of Movement complementarity, that the ICRC would not focus on NSD outside the conflict-affected east of the country;
- A conducive operational context where there is consensus between all Movement partners of the importance of focusing on NSD, led by URCS, and reportedly well-functioning relationships between the partners.

Maximization of the use of resources in the field

A number of informants reflected on the missed opportunity of not focusing sufficiently on maximizing the use of the resources mobilized through the OIA approach at the field level. While these informants were able to point to areas where the ICRC and the IFRC (through the SMCC process) had been able to achieve efficiency gains, for example with joint communication efforts and the work on logistics inter-operability, it was suggested that more could have been achieved to reduce duplication, for example, in terms of the replication of roles and the creation of parallel structures and systems in the field between the two institutions. In response to the Ebola outbreak in Equateur Province, DRC, for example, informants recognized that while some efforts were made to streamline expenditure related to field office space in some locations, this could have been achieved throughout all field locations, and this would have helped reduce duplicating costs.

Possible longer-term impact of centralizing fundraising

In Myanmar concerns were raised regarding the possible longer-term impact on fundraising for the IFRC, should the ICRC continue to assume the responsibility for liaison with donors. A fear was expressed that an extended period where the IFRC is not directly engaging with donors could jeopardize future fundraising possibilities, even if in the short-term the OIA results in increased funding for IFRC. This concern was partly based on evidence (also picked up later in this report) that the communications related to OIAs tends to focus primarily on the activities of the Funding Partner rather than on the combined impact of the Movement, with the activities of the Implementing Partner being minimally mentioned (particularly when the Implementing Partner's activities may represent a very small percentage of the overall funding).

Missed opportunities of the OIA

A number of PNS interviewed for the review regretted that they had not been more actively part of the OIA approach from a funding perspective. They suggested that in some circumstances this may have resulted in lost opportunities for funding, particularly in ICRC-led OIAs where donations cannot

⁴⁴ It should perhaps be noted that the risk of competition for resources was low as this is not a context where access to financial resources has been easy even for the ICRC, let alone for the NSD activities of the IFRC.

be as tightly earmarked as with an IFRC-led OIA or IFRC appeal, or receive the level of detailed reporting as an IFRC appeal would have allowed. In Haiti, the time taken to negotiate the OIA following the impact of the hurricane meant that insufficient advantage was taken of the limited window of opportunity to attract the attention of donors following any disaster⁴⁵.

“OIA was never about the funding”

This direct quote from one informant echoes the comments from a number of informants across the spectrum of organizations and positions consulted during this review. For these informants, the OIA should be about identifying a strategy which would allow the best-placed organization(s) within the Movement to respond in a given context, drawing on the added value of other components where appropriate. This issue is covered further in section 7.3 below. Using the sensitive issue of funding as a lever for engineering or enabling relationship change between two partners (and particularly two partners that have very unequal levels of funding) was highlighted as an error of judgement by some informants. This was particularly the case where the OIA was used in contexts where strong coordination mechanisms and robust relationships did not necessarily previously exist.

7.2 Tools, systems and people

Key Findings

Key Finding 8 There is currently no guidance on *when* a OIA should be launched or whether certain pre-conditions need to be in place prior to a launch. This has led to lack of clarity with regard to why a OIA has been launched in some circumstances and not in others.

Key Finding 9 Having OIA-activation pre-conditions in place would have helped to facilitate decisions on whether a OIA was appropriate and whether the environment was conducive to using this mechanism. This would have avoided some of the pressure on field staff who were trying to find their way through the OIA process with little direction or understanding of the process.

Key Finding 10 There are no finalized OIA standard operating procedures or clear guidance for implementation. Instead, country and regional teams have had to build on the limited existing guidance available. This has been positive in terms of facilitating contextual flexibility but extremely challenging and time-consuming in the height of large-scale emergency responses. The guidance and tools that do exist have not been well-shared across the Movement.

Key Finding 11 Trying to develop and implement OIAs while the guidance for it is “live” – the learning-by-doing approach - has caused significant frustration, lack of clarity and repetition of mistakes. Although this was a deliberate approach and in line with the thrust of the SMCC process, it has contributed to tense relationships between the ICRC, the IFRC, and sometimes with the NS and PNS, in a number of contexts.

Key Finding 12 There are a number of differences between the normal budgeting, financial and reporting systems of the ICRC and IFRC. This lack of alignment has resulted in challenges at all levels during OIA implementation. This has been exacerbated by a

⁴⁵ Although the first IFRC Emergency Appeal was launched on 6 October 2016 (five days after the hurricane hit) and was well-covered, the extended OIA was only launched on the 10 November and remained underfunded.

lack of understanding by individuals of the approaches and expectations of the other organization.

Key Finding 13 The lack of agreed and shared guidance on the process related to the level of accountability that the Funding Partner has in relation to the activities of the Implementing Partner has been problematic for both institutions, fueled by the different institutional *modus operandi* in this regard.

Key Finding 14 Tools and systems are only as good as the people who know and use them. The OIA approach was little known in 2016 and the early applications suffered due to this. In some locations ICRC Cooperation delegates (who had received some level of orientation on OIAs) were able to facilitate the process to a certain extent, but they did not have *dedicated* counterparts within IFRC (with cooperation generally being part of the Head of Office role). In the early days, staff from both institutions lacked a central point of expertise which they could access to receive technical support and guidance related to the OIA process.

OIA Guidance and Tools

OIA activation

In all six OIA countries that were considered in this review, the decision to launch a joint appeal was taken *during* a medium or large-scale emergency. While some SMCC tools were in place in some OIA locations, discussions on the appropriateness of launching a OIA should an emergency or crisis occur had not taken place *prior* to the onset of an emergency. For example, the failure to employ available coordination tools in Nigeria (both those from the SMCC process and others⁴⁶) in advance of a OIA being triggered has negatively impacted on the potential effectiveness and efficiency of the OIA. This resulted in the need to hold discussions on the finer details of what should be included in the appeal (in terms of activities; implementation locations; which component should be doing what/where; decision-making and coordination mechanisms; and how transferred funds would be reported on). This took significant time and effort and distracted from a focus on humanitarian responses and NS capacity building efforts.

Beyond mentioning large-scale emergencies, the SMCC PoA gives no guidance as to when it is appropriate to launch a OIA. While some informants felt that maintaining this ambiguity was important in order to ensure flexibility and to allow the field level *Mini-Summit* process to be responsible for decision-making, others felt that having some clear pre-conditions and more concise triggers for going ahead with a OIA would be beneficial. The issue of what constitutes a ‘large-scale emergency’ was also raised by some informants, some believing in hindsight, for example, that Hurricane Matthew or the Equateur Ebola situation did not represent the scale of emergency that merited taking a OIA approach (with its inherent challenges), suggesting instead that an IFRC appeal well-coordinated with ICRC would have been sufficient. Some believe that not defining a “large-scale emergency” does, however, allow for important flexibility in the decision-making process.

On a number of occasions, it seems that the decision to activate the OIA mechanism was taken not at the country level but further up the organizational hierarchies (e.g. by regional directors or even higher), with country offices instructed to work out the details of how it would be implemented. This was the case in both Haiti and Myanmar and could be seen with the 2017 food crisis in East Africa.

⁴⁶ This includes tools such as the Movement Coordination Agreement, Movement Country Plans and Movement Contingency Plans.

Here, following the launch of a massive appeal and accompanying narrative by the UN to support a response to the high levels of food insecurity in North East Nigeria, Somalia, South Sudan and Yemen,⁴⁷ the headquarters of the ICRC and the IFRC agreed to launch a Movement narrative for the same countries and include a OIA for North East Nigeria, South Sudan and Yemen.⁴⁸ Although there were significant food security needs in all the countries covered, it is worth noting that within the Movement narrative, four of the six contexts covered were already among the ICRC’s largest operations in the world – South Sudan, Nigeria, Somalia and Yemen. Large-scale humanitarian operations, including programmes addressing the high levels of food insecurity, were already being implemented by the ICRC with the NS in these countries and the budgets were already covered. On the basis of the desire (and perhaps need) to present a well-coordinated Movement response, the decision to use the Funding Modality Agreement and draft a joint Movement narrative was reached. While funds were transferred from the ICRC’s existing budget for South Sudan to the IFRC, the other two countries launched Budget Extension Appeals (BEA) under the joint Movement narrative. Many ICRC key informants and a large number of IFRC informants believed that in retrospect, using the OIA for Nigeria was inappropriate for a number of reasons (noted in section 7.1 above and 7.3 below). Similar, although less strong observations, were made in relation to South Sudan and Yemen.

In the case of Myanmar and Haiti, the decision to use the OIA was taken between the Regional Directors of the ICRC and IFRC, while it is understood that more recently the decision to take a OIA approach in DRC was taken at the regional/national levels, as was the decision in Bangladesh not to enter into a OIA but continue with separate ICRC and IFRC appeals. It would seem that decisions taken at field level have to date had a smoother implementation.

The importance of Regional and headquarters analysis (particularly at a strategic level) into OIA activation decisions is acknowledged. However, in the experiences cited above, where the final decision to launch OIAs was not taken at country level, there has been frustration on the part of country level teams who have been left to work out the details of implementing a OIA, in the height of an emergency, without sufficient and clear guidance on how to go about this.

Current available guidance

As seen in Table 3 below, different forms of guidance have been developed since the agreement to use the OIA approach was taken in 2016.

Table 3 OIA tools and guidance

Tool/Guidance developed before the OIA was tested	Tool/Guidance developed during the implementation of the OIA
Funding Modality Agreement (September 2016)	OIA Background Information (June 2018)
Project Agreement template	Q&A on the OIA (updated February 2018 ⁴⁹)
Cash Pledge template	OIA protocol (updated April 2018)

⁴⁷ In its joined-up narrative on the four countries mentioned, the UN, already under funding pressure (with a new US administration in place) and aware of its commitments under the Grand Bargain, wanted to put into practice its “new way of working” by linking humanitarian and development efforts under this multi-country appeal.

⁴⁸ The narrative also covered Somalia (where, with humanitarian action already clearly divided between the ICRC and the IFRC on a geographical basis, there was no joint appeal but rather a separate IFRC appeal and ICRC BEA). Ethiopia and Kenya were also included in the joint narrative, but no joint appeal was launched for these two countries either. The IFRC had launched Emergency Appeals for the drought response for Ethiopia, Kenya and Somalia in 2016 and these were revised as the situation deteriorated. In Ethiopia and Kenya the ICRC covered increased activities with the 10% flexibility included in its annual plans.

⁴⁹ This document was further revised in July 2018, but these changes have not been published (it is understood that the decision was made to hold publication until after this review).

Narrative to the cash pledge	
Letter of Agreement template	

The **Funding Modality Agreement (FMA)** was developed and signed at Geneva level between the ICRC and the IFRC in September 2016 and is little-known at the field level. A legal document, it primarily covers the funding modalities when one of the international entities funds the other; the role of the OIA National Society is only touched upon lightly.

The **OIA Protocol** (sometimes referred to as SOPs) is described as a living document⁵⁰, based on learning from each OIA, which covers some of the steps that need to be taken in developing a OIA, as well as providing a more general commentary on the process. The document was shared with all IFRC delegations in June 2018 (along with other OIA-related documents) but not with ICRC delegations; the ICRC's general practice is not to share unfinalized documents, an approach that runs counter to a 'learning-by-doing' approach where documents will evolve as they develop in line with experience. While the Protocol is documenting learning, it is not sufficient to steer those involved in putting together OIAs, particularly when this needs to be done at speed. The Protocol also highlights a number of key issues which have occurred more than once, such as the difference in implementation timeframes that each organization follows (calendar year implementation versus project-based implementation). Even though suggestions are made as to how to overcome these issues, this has not prevented the same challenges being faced from country to country with lack of clarity around topics such as how to implement NSD activities within short OIA implementation timeframes. A number of OIAs experienced difficulties in knowing how to transition out of the OIA and what, if anything, comes afterwards as this was also not addressed in the Protocol⁵¹ and this has led to tensions and complications.

The SMCC **Mini-Summit guidance and checklist** was identified by a number of informants as being the only tool available to support the OIA in 2016 and many suggested that it proved a useful guide for the convening of the initial meeting of the senior management of NS, ICRC and IFRC.⁵² A weakness of the checklist that was highlighted in interviews is that it does not provide guidance on how to engage with PNS present in-country. While most of those spoken to supported the fact that PNS are not directly involved in the *Mini-Summit* meeting itself as this was considered too unwieldy, the fact that the tool does not cover how to consult with PNS before and after the *Mini-Summit* or how to build on decisions made during the *Mini-Summit* was considered a critical gap.

Many of those who have been tasked with implementing OIAs at field level highlighted the fact that the existing guidance and tools are simply insufficient to help those responsible for making decisions in relation to context-specific OIAs. This review supports this opinion. However, if the two institutions had waited until there was solid guidance in place, then it is likely the OIA would never have got off the ground.

Finally, it should be mentioned that both NSs and PNSs consulted noted that little or nothing was shared with them to help them understand what OIAs were and what they aimed to achieve. There

⁵⁰ The example shared with the review team is version 8.

⁵¹ It is understood that this issue has now been addressed with the IFRC moving to an annual planning process. It will be important that this is also reflected in the OIA Protocol document.

⁵² A *Mini-Summit* was also convened at the start of the crisis in Bangladesh, with informants reporting that it was an effective way to quickly clarify which organization was going to do what and provided the forum to confirm that the OIA mechanism would not be used.

was also a frustration both in Haiti in 2016 and currently in DRC that none of the OIA documents are available in French.

Guidance on Funding Partner responsibilities

While an important part of the SMCC process is ensuring that activities are coordinated, having oversight of and accountability for the activities of another Movement component is an extra step and an extra responsibility. With the lack of institutional level guidance, it has been unclear for individuals whether there is an intention for oversight to take place and if so, what form it should take. This has led to discomfort and even tension in some OIA contexts. The creation of Technical Committees in South Sudan reduced some of the pressure here as it allowed for sharing of technical knowledge before implementation started and helped to promote aligned ways of working. However, in other locations and at non-technical levels, the problem remains. In Yemen the ICRC felt responsible for the IFRC's activities as they were included in the ICRC's BEA (under the banner of a OIA) but the delegation did not want the IFRC to feel like they were being vetted. At the same time, the ICRC did not want to be accountable for activities that it was not itself implementing (or implementing with the Yemen Red Crescent Society), while being ultimately accountable for the funding to the OIA donors.

This dilemma is particularly acute in hostile and conflict environments where the need for the Movement's lead agency to have a solid comprehension of what activities are being implemented by whom, where and when is essential to ensure a well-orchestrated and coordinated Movement response and is key to operational effectiveness, safety and security.

Guidance on Implementing Partner responsibilities

A number of informants suggested that guidance was also required for the Implementing Partner, in order to better understand rights and obligations of receiving funds through a OIA approach.

The 'learning-by-doing' process

The absence of tools or preparation of staff (through training and development) has necessitated a 'learning-by-doing' approach and resulted in each OIA being developed and implemented differently. While this has been positive in terms of allowing for adaptability in accordance with context, it has also been challenging for those tasked with developing each OIA and has not enabled one context to systematically learn from previous examples.

There is currently no databank of information and documentation that staff can go to, for example to access the SOPs that were developed in Myanmar in 2017⁵³ or the security framework that is currently being used in DRC⁵⁴. If each organization had ensured the human resources to support this learning-by-doing, either in terms of staff on the ground or in Geneva, or globally available documentation, those responsible for implementing the OIAs might have benefitted significantly. However, in the absence of tools or resource staff, this rather unstructured and frustrating approach has, to an extent, been necessary in order to gauge what works and what does not.

It also seems that insufficient consideration was given to how the learning-by-doing process of introducing the OIA would play out, particularly in terms of how potential errors and mistakes would be reacted to institutionally by both organizations, particularly if there were financial consequences. The first OIA experience in Haiti followed shortly after the signature of the FMA (when staff had largely

⁵³ RC/RC Movement Coordination Guide Standard Operating Procedure (SOP) for Rakhine Response, October 2017.

⁵⁴ Security Management Support Agreement (L3) between IFRC and ICRC for North Kivu and Ituri Provinces, August 2018.

not been briefed or prepared and virtually no tools were in place). This first pilot revealed errors in relation to a failure to sign the Project Agreement between the ICRC and the IFRC (including signing-off the size of the budget for ICRC activities), errors that were not picked up at the time and were only identified when the IFRC was invoiced by the ICRC several months after the activities had been implemented. The subsequent negotiations around the repayment of costs incurred by the ICRC seems to have negatively impacted not only institutional relationships related to the Haiti OIA⁵⁵, but also the reputation of the OIA as a mechanism more globally. A number of (ICRC) informants believed that as the funding received through the appeal was not critical to the ability of the ICRC to deliver the activities that were covered by the appeal (and that in their view they would have been covered by a reallocation of existing funding within the PfR budget had a OIA approach not be taken, given their modest nature), the mistakes made in relation to this first OIA should have put down to learning. However, others note that having a mechanism which only sees one institution providing funding to the other creates or increases the imbalance between the two and that financial provision in both directions was important. While some management theory may suggest that more can be learned through the failures than the successes of learning-by-doing, if there is an early punitive response to a learning failure, this may harm the process.

Additionally, there was also insufficient consideration of how the OIA mechanism would respond in the event of less than 100% funding being received by an IFRC-launched appeal. This issue was revealed in Haiti only when the ICRC invoice was received several months after the ICRC activities had been delivered in their entirety. It is noted that the OIA in DRC has clearly learned from this experience; the second clause of the letter of agreement signed between ICRC and IFRC agrees a percentage contribution to the ICRC of unearmarked funds received for the appeal.⁵⁶

Systems

While difficulties have been felt at the country level, the lack of alignment between the ICRC's and IFRC's financial and reporting approaches and systems have also presented challenges.⁵⁷ Key differences in the systems of the two organizations that have been identified as problematic when implementing a OIA are presented in Table 4 below.

Table 4 Systems variances

Thematic Area	ICRC Approach/System	IFRC Approach/System
Budgeting	Once a budget is agreed this is considered as a licence to spend, based on the fact that all activities approved in the budget will be financed. This means that all planned activities will be implemented (access etc. permitting).	The IFRC can only start spending the funds in approved budgets when funds have been received from donors ⁵⁸ . This means that there is no guarantee that it will be possible to implement all budgeted activities. An operational budget is developed to define what funds can be spent.
Earmarking	The ICRC will only accept earmarking to country or General Objective (programme) level.	Earmarking can be detailed, down to activity level with a project.

⁵⁵ It also led to IFRC having to make the decision to reduce some community-focused activities in the appeal plan of action in order to meet the need to refund ICRC for the activities implemented.

⁵⁶ See the Letter of Agreement for OIA for the Ebola Disease Outbreak in DRC, signed July 2018.

⁵⁷ This assessment does not include the potential differences in the systems of the other Movement component that plays a key role here – the NS.

⁵⁸ This is with the exception of allocating a Disaster Relief Emergency Fund loan and available Project Expenditure Approval Request.

Thematic Area	ICRC Approach/System	IFRC Approach/System
Reporting	ICRC standard reporting includes Annual, Midterm and Special Reports which inform donors about the results or status of ICRC activities around the world. They include a narrative and consolidated beneficiary figures. The ICRC issues Monthly and Quarterly Financial Updates, which inform donors of developments in the ICRC's budget, expenditure rate and contribution levels.	Project level reporting is available. [The ICRC's system is not built for this level of reporting.]
Budget allocations	In those cases where the OIA has been part of an ICRC existing budget from which resources are reallocated under the name of an OIA (e.g. South Sudan), the "OIA" funds look like they are part of the ICRC's budget envelope when in fact they have become part of a Movement budget. The ICRC system has no clear way of reflecting this.	There is no defined system in place at the start of an operation to determine the likely percentage of appeal coverage. Therefore, deciding on the amount of funds (as opposed to percentage of funds) to be provided to ICRC within an IFRC-led OIA is difficult, particularly given that most ICRC activities are carried out in the initial weeks after a disaster occurs.
Working advances	In the majority of cases, the ICRC advances funds from a revolving fund based on a Project/Programme Annex to a Partnership Framework Agreement. Funds are transferred quarterly (with the approach depending upon NS categorization) and NSs reimburse against expenditure.	IFRC PoAs lead to working advances (WAs) being provided to the NS in order to implement many planned activities, supported by a signed Project/Programme Agreement. NSs liquidate these WAs over a period of time (monthly, quarterly or biannually). The majority of an operation's funds can be disbursed in this way.
Public communications	Public communications in relation to ICRC-led appeals do not always include information relating to the IFRC's inputs beyond talking generally about Movement Coordination. Appeals led by IFRC are not referred to on ICRC website.	Public communications in relation to IFRC-led appeals do not always include information relating to the ICRC's inputs – it is not clear whether this is at the request of the ICRC or not. Appeals led by ICRC are not referred to on IFRC website.
Institutional set-up	ICRC decision-making remains hierarchical in spite of increased influence from the field level in the last decade. Many key decisions are made or at least finalized in Geneva.	IFRC has a decentralized system of decision-making whereby the Regions are central in decision-making processes. This does not match with the ICRC's set-up.

Finance systems

In addition to the broad reporting and systems differences noted in Table 4 above, some challenges are noted in relation to the ICRC's financial system working on an annual cycle. As already mentioned, this can create challenges for NSD-focused activities that may not fit into this relatively short period of time (particularly if the OIA is only launched into the second half of the year). Additionally, in Myanmar, ICRC Cooperation staff identified the difficulties faced in tracking the budget and expenditure of the Red Cross Movement (RCM) Rakhine operation once it was included as part of the overall Myanmar Pfr budget in 2018, as opposed to being managed as a separate BEA (as in 2017). This meant that while the ICRC was able to clearly explain the budget and expenditure of the RCM/OIA operation to the Myanmar Red Cross Society (MRCS), IFRC and PNSs in 2017, it has not been possible for this same level of information to be provided in relation to the Rakhine operation funding in 2018. Informants from MRCS, IFRC and PNS all expressed their frustration with the lack of information related to how the Rakhine funds for 2018 were being spent, which they expressed as a lack of transparency. Given that MRCS, ICRC and IFRC continue to work through the One Movement RCM

operation required by the Myanmar government for the Rakhine operation, it is not surprising that this is conflated with the OIA approach and thus that the Rakhine operation funds in 2018 are understood and described as being OIA funds, leading to expectations that the ICRC would continue to share detailed information about how these funds are being used. From an ICRC perspective, the Rakhine operation has become part of the 2018 PfR, which they do not routinely report back on to NS or IFRC but reflect in the annual report. It seems that this misunderstanding may be one of the contributors to the tense relationship that today exists between ICRC and other Movement partners.

People: training and investment in HR to support the OIA roll out

As well as an absence of tools and guidance, there has been insufficient investment in the human resources required to support the roll out of a new concept. This is both in terms of providing the guidance and training to all field-based staff who may have responsibilities to work under a OIA framework, but also in terms of the delays in recruiting and training a cadre of Movement Coordination Officers (MCOs) as anticipated in the SMCC PoA.

In Haiti and Myanmar, the presence of ICRC Cooperation delegates who were somewhat familiar with the SMCC process was seen to be helpful in supporting the process, although informants in the field who were responsible for the OIA roll out felt that there was insufficient available technical support on the OIA and noted that the IFRC did not have dedicated counterparts for these ICRC Cooperation delegates; their IFRC counterparts were generally the Heads of Office (staff positions with very high workloads to manage and for whom cooperation is one of very many responsibilities).

One overriding observation that was made in relation both to contexts which have used the OIA, as well as those that adopted alternative approaches, was the extent to which positive achievements and difficulties were related to individual mindsets and relationships. Where individuals from IFRC and ICRC were able to 'click', many of the natural organizational challenges of creating a OIA or coordinated approach were overcome, while differences in views and opinions only became more entrenched when these relationships did not work and a spirit of partnership was not pursued.

Reporting

Already touched upon under "*Guidance on Funding Partner responsibilities*" above, there has been tension with a number of OIAs as a result of different understandings of the level and type of reporting that is required from the Implementing Partner.

Both ICRC and IFRC informants have raised concerns around whether their own organization's audit/accountability requirements (when acting as a Funding Partner) are being met when the Implementing Partner is reporting on expenditure of OIA funds; the quality and depth of reporting required to meet that accountability; and what, if any, monitoring is required of the implementing partner (and whether this suggests a lack of trust or is rather a natural requirement of a funding organization). Several ICRC informants (all of whom had worked with IFRC previously) suggested that if the ICRC were to adopt a project cycle management approach closer to that of the IFRC, this would create a common platform which would help clarify levels of reporting and could be useful more generally, although others valued the light level of reporting that the ICRC has with its donors and would not want to lose it.

There have also been expectations that all budgeted funds will be transferred by the Funding Partner to the Implementing Partner regardless of the amount previously used. This has at times been combined with an unwillingness of the Funding Partner to transfer funds until "acceptable" reporting has been provided on previous tranches. Both expectations have led to tension, mistrust and in some cases, delays in the implementation of activities.

7.3 Contribution to the implementation of the SMCC

Key Findings

- Key Finding 15** In a number of contexts, the OIA has contributed to improving Movement coordination and cooperation. This is particularly apparent in those locations where there were already established cooperation structures. The absence of pre-existing coordination structures and norms has created a number of OIA implementation challenges.
- Key Finding 16** The OIA has contributed to Movement discussions on operational coordination which in some contexts were already taking place but in others were absent. This is a positive outcome of the mechanism. The dialogue on operational coordination has however not been built on robust joint needs assessment or joint planning in most cases and the NS have often felt excluded from strategic level decision-making.
- Key Finding 17** Alignment of Movement approaches to safety and security is a key part of the SMCC. In some OIA contexts there has, however, been inconsistency in terms of following security procedures, highlighting the need to ensure that all staff deployed are appropriately trained in safety and security and sufficiently prepared for working in conflict environments. .
- Key Finding 18** The emphasis on the need for complementarity between the ICRC and the IFRC to underpin the OIA, as identified in the SMCC process, has been lost in a number of OIA contexts. This is due to different interpretations of the objectives underlying the OIA mechanism and lack of clarity around the strengths, ambitions and added value of each component, sometimes exacerbated by leadership messaging being either ambiguous or on some occasions not followed.
- Key Finding 19** A key element of Movement complementarity is the establishment of reliable partnerships. There have been frustrations under a number of OIAs that Movement partners have not always managed to deliver on agreed outputs within agreed timeframes. This is in part linked to each component measuring the other by its own *modus operandi* and standards, at times due to a lack of cross-organizational understanding.
- Key Finding 20** The decision to exclude PNS from the first iteration of the OIA, while understandable, has been seen by some as a retrograde step and a lost opportunity to build a truly Movement-wide approach building on organizational complementarity. The recent experience in DRC shows positive steps in including PNS in the delivery of activities within the OIA, although there is considerable room to further develop this approach so that it becomes one of strategic partnership rather than one that is sub-contractual in nature.

In order for this review to be able to appreciate where the OIA is situated within the SMCC initiative, it has been important to have a general understanding of the SMCC process as a whole. However, due to the timeframe and focus of the review, it has only been possible to assess in a broad manner the contribution that the OIA has made to the global implementation of the SMCC.

Taking the overall objective statement of the SMCC PoA 2016 – 2017 into account (*“The Red Cross and Red Crescent Movement significantly increases its humanitarian impact through improved*

coordination and cooperation before, during and after large-scale emergency operations”), the review has focused on the extent to which the OIA has contributed to improved coordination and cooperation. Formally assessing connections between the OIA and humanitarian impact has not been possible (as flagged in the review’s Inception Report) but anecdotal evidence of the extent to which the Movement’s footprint has been enhanced as a result of the mechanism is provided.

Improved coordination and cooperation

SMCC coordination structures

Two of the OIA countries considered in this review are SMCC ‘country labs’ (Haiti and South Sudan) and as such had reasonably well-functioning coordination mechanisms prior to the launch of an OIA.

The three-tiered coordination structure as foreseen in the SMCC was already in existence in South Sudan upon the activation of the OIA (or Movement Response Plan [MRP]). When the OIA/MRP was developed, a further technical layer was added, to facilitate technical discussions and avoid duplication. In Haiti there was also a nascent three-tiered coordination structure in place at the time of Hurricane Matthew and the Movement Plan that was developed encompassed NS, IFRC, ICRC and all in-country PNSs. Similarly, in Ukraine (one of the non-OIA countries considered in this review, but also a SMCC ‘lab’) the SMCC-promoted three-tiered coordination structure is in place.

In all instances, these coordination structures have contributed to promoting and ensuring consistent and continued dialogue focusing on Movement humanitarian response actions. Having these coordination structures in place has ensured that PNS with an in-country presence also have the opportunity to participate in coordination platforms.

As mentioned in section 7.2, the *Mini-Summit* approach proposed in the SMCC process at the onset of all emergencies has been adopted in advance of all the OIAs considered in this review and has roundly been considered useful in terms of facilitating dialogue and feeding into decision-making, developing in some instances into a Movement strategic decision-making platform.

It should be noted that in Haiti, Myanmar and DRC, informants all reflected on the reasonably well-functioning cooperation environment that existed between NS, ICRC, IFRC and PNSs prior to the OIAs being introduced and which, in their view contributed to the willingness to participate during the initial stages of the OIA (and without which perhaps the initial gains might not have been made). Notwithstanding this, it was notable that informants in all three locations remarked on how the experience of piloting the OIA in difficult circumstances may have contributed in different ways (and to differing extents) to a deterioration in the cooperation landscapes. In Myanmar it was suggested that the delicate balance between partners was upset when one (ICRC) became a donor to the other two, while in both Haiti and DRC it was suggested that the OIA had marginalized the NS to a certain extent and therefore had a negative impact on the overall Movement cooperation environment.

Operational coordination

At the Geneva level and in some cases at regional level, using the OIA in a small number of contexts has encouraged improved cooperation and coordination. It has been highlighted that the activation of the OIA in some locations – Nigeria and Yemen for example – has compelled all Movement components to hold discussions and ramp up coordination in a way which may not otherwise have happened. This is one of the positive outcomes of the OIA.

A number of informants from all stakeholder groups have highlighted that, in some contexts, although the instruction to implement the OIA was the driver behind a dialogue that did not previously exist (at

least at the same level), the ground was not yet fertile for a joint appeal as a number of pre-conditions which would have further facilitated the dialogue were not in place. Again, Nigeria provides an example. In spite of this, the OIA has forced conversations on operational plans that may otherwise perhaps not have occurred and this has opened up positive discussions at country-level on how the ICRC may be able to support the IFRC in its NSD role in the future.

South Sudan provides an example of initial strong coordination which resulted in a solid Movement Response Plan through which the ICRC continued to work in conflict-affected areas, with the IFRC supporting the South Sudan Red Cross' (SSRC) non-food distributions in other areas. Although dialogue and coordination were maintained throughout the implementation of the MRP, with delays in distributions, the tension that seems to have been a key feature of nearly all OIAs implemented in conflict environments to date appeared again here, with the IFRC and NS needing to distribute items within short timeframes but with limited capacity to do so. The two international institutions were, however, able to come to an agreement for the IFRC to use the ICRC's existing supply chain (linking into the SMCC's inter-operability objectives) which helped facilitate a quicker response than if the IFRC had tried to establish a new pipeline. The delays in implementing activities here and in other contexts risk negatively impacting implementation rates (of critical importance to the ICRC as donors appreciate the institution's current high implementation rates) and lead to question marks in relation to operational effectiveness.

Operational coordination in DRC for the Ebola operations has been reasonably effective although not without its challenges, particularly as the operation moved from Equateur to North Kivu. A two-tiered coordination structure exists (a strategic level in Kinshasa and technical levels in the field). However, a recent lessons-learned workshop revealed concerns regarding the sometimes low participation of the NS and insufficient sharing of information with the NS, particularly related to OIA finances. The NS and PNS are also concerned that the NS has not yet been able to sufficiently benefit from the operation in terms of building its own sustainable capacity to respond to future Ebola outbreaks. As mentioned earlier, there is a clear security framework in place that covers the ICRC and IFRC and places the ICRC as the lead organization for security management, although there have been a number of infringements of this framework, possibly due to lack of familiarity of some IFRC staff to working in sensitive security environments. There are concerns that the framework does not currently cover the NS (although it is understood that this will be addressed in a revision of the framework).

Although there was no OIA in Ukraine, it is frequently cited as a positive example of Movement coordination and collaboration. While this review supports this view, it is observed that this has not necessarily extended to operational planning, which in Ukraine (as in many other places) is not carried out jointly. As such, operational plans are often not shared between the ICRC and the IFRC until after they have been finalized (an approach also seen in some OIA contexts). Indeed, this was one of the issues which underpinned the many challenges for the OIA in Nigeria, as operational plans were not developed jointly or shared with sufficient time to make appropriate and realistic amendments. In Nigeria the IFRC/NS plans stretched well beyond NSD and into a number of operational responses which mirrored those already being implemented by the ICRC. Although these were in geographical areas which were not at the time covered by the ICRC, in the absence of any existing NS/IFRC structures, logistics set-up or ability to provide consistent human resource support, the difficulties of launching a new operation have resulted in implementation challenges and insufficient NSD support to the NRCS.

In 2017 the key issue in Myanmar that impacted upon operability of the OIA was the timing of the operation (in August/September 2017). This left very few months before the end of the calendar year – a timeframe which was incompatible with the aspirations of NSD activities (beyond the most basic provision of goods and some elementary training). The confusion around how the OIA would or would not be included in the ICRC's PfR budget in 2018; how the funds for 2018 were negotiated; and the interruption of MRCS/IFRC activities caused by the delay in transferring funds in the first half of 2018 while questions regarding the reporting of 2017's funding were resolved, all put a strain upon Movement relationships. This was exacerbated by the departure of the ICRC Cooperation Coordinator who had taken a central role in facilitating previously strong working relationships between the ICRC, MRCS and IFRC. Operational coordination seems to be more fragile today as a result of the tensions experienced during 2018.

In Haiti, the initial phase of developing a One Movement Plan resulted in what was roundly seen to have been an effective approach to harnessing the complementarity of Movement partners' areas of sectoral expertise, knowledge and experience on the ground. This included the eight PNSs in Haiti at the time of the hurricane, although the extent to which the NS felt it was fully participating as the leading protagonist in this process is unclear. The design of the OIA (which prioritizes alignment between the ICRC and IFRC and does not encompass the PNS) was a disappointment to a number of informants. The recent OIA in DRC has built on the experiences of Haiti and has included PNS as implementing partners (although not as strategic partners in their view, something reflected on later in this section).

The One Window Framework (OWF) being developed in Bangladesh⁵⁹ benefits from representing the contribution of the Bangladesh Red Crescent Society (BDRCS), IFRC and the 30 PNSs responding to the population displacement from Myanmar to Cox's Bazar. Many informants regretted that it had not been possible to frame the OWF in such a way that the ICRC could have been reflected either in the plans or the communication and reporting tools. Notwithstanding this, the ICRC and IFRC broadly achieved a complementary approach through their geographical concentration (BDRCS/IFRC mainly in the mega-camps, ICRC in the militarized areas and smaller camps) and the inclusion of an ICRC delegate into the IFRC's FACT team was also seen to be a positive move.

The limitations of the OWF plan reflect the timing of its development, which means that it is essentially a collation of what all partners are doing on the ground (and hence reflecting donor priorities in many cases), rather than being a strategic framework around a shared needs assessment that helps Movement partners plan their response and coordinate their fundraising activities around operational priorities. However, most informants directly involved in the OWF, as well as donors and PNS HQs, see this example as a move in the direction of the Movement achieving a smarter and more joined up way of planning the Movement's response to emergency situations and thus being able to better reflect the Movement's footprint outwardly. The aspirations of the OWF approach in Bangladesh are similar to those of the Haiti One Movement Plan (although minus the ICRC). Similar to Haiti, the NS in Bangladesh articulated feeling somewhat crowded out by the process.⁶⁰

Although initially included in this review, Somalia was replaced with Ukraine as a non-OIA focus country. However, there are positive examples of Movement cooperation and coordination that can be seen in Somalia and were reflected upon by a number of informants during interviews. With an

⁵⁹ The first draft of the OWF was developed in February 2018.

⁶⁰ Interestingly, one PNS informant with direct experience of both the Haiti and Bangladesh operations reflected on these two operations being on a continuum of progress moving in a positive direction.

unwritten Movement understanding that with ongoing conflict in Somalia, the ICRC and Somali Red Crescent Society (SRCS) are the main actors, the IFRC and PNS focus their efforts with the SRCS in Somaliland. In response to the 2017 drought, agreement was reached in relation to the areas where PNS would be able to operate and move without facing security issues; where they could operate remotely (in support of the SRCS); and where they could not access at all.⁶¹ The agreement on the geographical focus areas of each Movement component (with the SRCS being active throughout) includes capacity building support. However, based on jointly identified priorities for the NS, there are a number of working groups into which all Movement components provide inputs in order to ensure that there is a standardization of capacity building support, regardless of which area of the country is being focused on or who is providing the support.

Although difficult to evidence, a number of informants felt that adopting a unified approach between the NS, the ICRC and the IFRC through the OIA more generally has helped to project a coherent Movement approach which may have dissuaded some PNS from adopting a more bilateral approach which might, in turn, have risked overwhelming the NS with different forms of support. This was noted particularly in relation to Myanmar and South Sudan.

In spite of the challenges highlighted above, it was noted that working cooperation at the field level was often more productive than at Regional level. Many informants regretted that the institutional intentions represented in the SMCC initiative were sometimes prey to the mindset and individualism that has been touched upon in section 7.2 above and were looking for institutional leadership to help overcome such barriers, together with moves to hold individuals accountable for realizing institutional objectives focusing on strengthening the Movement, for example by including these responsibilities in job descriptions and measuring performance through the appraisal system.

Shared approaches to capacity building

As highlighted in the 2017 Progress Report to the CoD on the SMCC⁶², this review can confirm that through the OIA, in some contexts, investment in NSD has focused on branches where operations have been carried out perhaps to the detriment of NSD for the NS as a whole in some cases. This was seen in North East Nigeria for example, where a number of informants from all stakeholder groups stated that the IFRC had brought in a number of its own international staff to establish new structures and programmes. While the recruitment of international staff to support operations and fill key gaps in the NS structure is understood to be necessary to a degree, in Nigeria this approach (where international staff turnover was reported to be high; international staff with no previous Movement experience were recruited; and with gaps between deployments resulting in lack of consistent handovers) left the NS feeling sidelined and its staff and volunteers not benefitting from sustainable capacity strengthening activities which could have been covered by OIA funds. This was a view also articulated in relation to the OIA in both DRC and Haiti. In addition, in Nigeria it has not been possible for the IFRC to use all the funds which were allocated through the OIA within the agreed timeframe.⁶³

⁶¹ With ongoing tension in Sool and Sanaag (disputed territories between Somaliland and Puntland) and with some parts of Puntland remaining tense, the ICRC maintains responsibility for Movement security in the latter and activities of the IFRC here are limited.

⁶² SMCC Progress Report to the Council of Delegates (September 2017).

⁶³ It should be noted that other issues such as security constraints and delays in importing goods due to complex customs procedures also impacted the IFRC's ability to use allocated funds in a timely manner. However, had a different approach been adopted, focusing more on NSD than on the establishment of operations in highly complex and insecure operating environments, the need for access and import of items would have been reduced.

Ukraine provides an example of collaborative approaches to NSD without using a OIA. Here, the Movement has a shared capacity building strategy and the ICRC has provided (and continues to provide) financial support to IFRC core costs, to the URCS and to IFRC NS capacity strengthening activities through the annual PfR and budget, while also having an ICRC Cooperation delegate embedded in the URCS during its transformation.⁶⁴ This financial support has been included in the Ukraine Delegation's PfR for a number of years, under a specific General Objective dedicated to this. This approach of funding IFRC's support to NSD is likely to be adopted in other countries where OIAs have been implemented and was already adopted in Myanmar in 2018 as previously mentioned.

Safety and security management

A key element of the SMCC is focused on the alignment of Movement approaches to safety and security. Again, highlighted in the 2017 SMCC Progress Report, the emphasis is on the need for more collaborative security efforts, particularly in high risk environments. With the OIA being launched in some of the most dangerous operating environments seen today – DRC, North East Nigeria, South Sudan and Yemen – the need for a thorough understanding of safety and security management when implementing activities financed through a OIA is paramount. However, there have been difficulties in ensuring consistent adherence to ICRC-led security procedures in a number of OIA locations which has been a point of friction at field level. In Nigeria, the high turnover of IFRC international staff (noted above), often with gaps between missions, resulted in the need for the ICRC to provide continual security briefings and this may also have contributed to the lack of understanding related to the importance of following established security protocols.

Presentation of strong, coherent Movement messaging

As has been noted already, using the OIA has been beneficial in terms of encouraging increased dialogue between the components of the Movement. Even though not going as far as joint response plans, this has resulted in the issuing of initial public joint statements as seen in Haiti and Myanmar (which included Bangladesh), as well as for the Movement's response to the 2017 Africa food crisis. In Myanmar the RCM operation continues to provide regular Movement external reporting.

Observation and interviews with communication staff both within ICRC and IFRC reflected the impact of the joint work that has been achieved under the SMCC work stream on communications. Although recognizing that more could be achieved, that joint communications have not always adequately reflected the activities of all components sufficiently and that in some circumstances, joint decisions regarding the communication strategy to be followed in a OIA operation have not always been adhered to, there was a noticeably harmonized approach regarding the communications supporting the OIA. Communications staff did however voice their frustration with the name of the OIA, regretting that it did not have clear Red Cross Red Crescent branding in its title.

Added value for the NS

Objective 7 of the SMCC PoA 2016-2017 sees the NS as central to decision-making process in relation to the feasibility of launching a OIA. Although NS have been involved in the *Mini-Summits* where the decision whether or not to launch a OIA is often taken (although the final decision was often taken at Geneva/region levels in both the ICRC and the IFRC), it is difficult to see what the ultimate added value of a OIA is for the NS considered in this review.

⁶⁴ The delegate (who was the former Secretary General of the Georgian Red Cross and an organizational development expert) was tasked with ensuring that the priorities of the ICRC were in alignment with the URCS and ensuring that ICRC programmes were designed in a way to support the capacity and long-term vision of the NS with a view to knowledge and responsibility transfer.

Some NS spoken to reported feeling excluded or marginalized from strategic (as opposed to technical) decision-making and felt that their own organizational capacity had not been built despite a OIA being launched in their country. Some suggested that they received very little financial support through the OIA⁶⁵. This was mentioned by informants in relation to South Sudan, Nigeria and Myanmar, and to an extent in Yemen. On a number of occasions NS explained that their expectations that they would be equal partners within a OIA have not been met. This perhaps highlights the lack of understanding by NS that the OIA is a financial tool between the ICRC and the IFRC, with priorities of the NS and other international Movement components expected to be captured through effective coordination mechanisms as suggested in the SMCC process.

As has been noted at other points in this review, the collaborative approaches adopted by the ICRC, IFRC and URCS in Ukraine provide an example of clear added value for the NS without using a OIA. While this has been implemented in an ongoing and relatively small-scale crisis, there are definitely lessons that can be learned from this context for application in the face of large-scale emergencies.

Operational effectiveness and complementarity

A large number of activities and services that the ICRC and the IFRC can provide – either directly or in order to support and strengthen the capacity of NS – are similar. Based on the mandates and visions of each organization and, considering the SA/SM, each organization has a *specific* role to play depending upon the crisis environment and *specific* skills and capacities that the other does not. The unique skills that each organization has and can bring to respond to humanitarian needs in those contexts where it may not be lead agency, but would have a lead role are primarily (but not exclusively):

ICRC

- restoring family links (RFL)
- some forensics services
- weapon contamination activities

IFRC

- NSD
- epidemic and pandemic response and preparedness

It is when these unique skills and services are offered and combined, in conjunction with the skills and services of the NS, that the real value of the Movement is seen and the opportunities to increase the Movement's footprint – for the benefit of those affected by crises – are present. It is this collaboration and complementarity that turns a coordinated set of actions into a true partnership, where each partner needs and relies on the skills and expertise of the others in order to achieve the shared objectives of an operation. In order to most effectively meet the needs of crisis-affected populations, it is essential to consider the respective mandates of each component of the Movement, the ability to function in accordance with the Fundamental Principles and the practicalities of different operational settings (such as access and relationships with armed groups).

Ensuring complementarity between the national components of the Movement (National Societies) and the international components of the Movement is critical. While the OIA is not expected to bring complementarity but rather to result from it, this has only been observed in a limited number of locations where the OIA has been launched. DRC provides one of the most recent examples of complementarity and interdependence under a OIA, with Haiti providing a more historical example. In DRC the IFRC has led the technical response to the Ebola outbreak as the ICRC (the lead agency under SA/SM) does not have the expertise in this kind of response (but is able to offer other expertise

⁶⁵ It was not possible to assess the provision of in-kind support under a OIA but it is recognized that in some cases it may be significant.

to support the IFRC). Whether an OIA was needed in order to support this response however remains unclear.⁶⁶

The issue of complementarity was a key feature of the original SMCC initiative in relation to resource mobilization⁶⁷, but it seems to have been set aside in a number of the contexts studied in this review. In the urgent push to implement the OIA and develop templates and procedures to support this (sometimes seemingly for political reasons), the original objectives and strategic direction for the mechanism seem to have been lost, with a number of informants stressing the imbalance between the energy that has been put into launching and implementing OIAs and the results for those in need. The IFRC's response in North East Nigeria was cited as an example of this. Observing good practice in relation to Movement complementarity has been less obvious in conflict environments with ICRC-led OIAs where the IFRC has pursued more operational activities (or been perceived to have done so) and "moved away" from NSD in some scenarios. Some IFRC informants were keen to stress that it was not operational in Nigeria but supported the NRCS to be operational. However, other stakeholders perceived the IFRC to have been operational, perhaps highlighting the need to clearly agree and document the approaches to complementarity that are being adopted under a OIA and in advance of its launch.

There is no doubt that receiving funds through a OIA has in some cases (specifically in conflict-affected countries) increased the IFRC's operational presence. Nigeria and South Sudan have been cited as examples, although most IFRC informants state that the IFRC was not itself operational in these locations but was rather supporting the NSs to be operational. However, with OIA-supported presence being limited in time, and in both cases with the IFRC struggling to utilize all the allocated funds within agreed timelines, this operational focus cannot be considered as an indicator of increased effectiveness or efficiency.

On the positive side, in South Sudan, the SSRC does report that because the IFRC received funds through the OIA (funds which it would probably not have received had a separate appeal been launched), this enabled the NS to increase its network and the number of its volunteers and structures by becoming operational in a small number of locations where it previously was not. In addition, with the OIA mechanism giving the IFRC access to funds from the outset, in a way which IFRC's own appeals often do not, this has allowed the IFRC to rapidly commence work, which may otherwise not have been possible.

There was clear evidence of the complementarity of ICRC activities that were incorporated within the two IFRC-led OIAs. The initial work on the OIA supported by the One Movement Plan in Haiti which included the role and specialism of the various PNS present on the ground as well as the ICRC's contribution of its specialized activities, allowed for a clear projection of a unified Movement approach built on complementarity, while in DRC a similar approach was taken for the Equateur Ebola outbreak response.

Ukraine can also provide a positive example of Movement complementarity, with each component (including PNS that are present) focusing on specific roles and with a geographical divide which sees some components working in one part of the country and others working elsewhere (primarily divided by the Line of Control). South Sudan provides another positive example of Movement complementarity where there was an agreement on which Movement component would be active in specific geographic locations, combined with clarity on the type of activities that would be

⁶⁶ The complementary role of the PNS in DRC is taken up later in this section.

⁶⁷ CD/15/R1 – CoD SMCC document E(9).

implemented. It should be noted though, that reaching this agreement took some time and required the deployment of IFRC Geneva staff as discussions at country and Regional level were taking too long to come to a positive conclusion.

Complementarity and being a reliable partner

An important aspect of building complementary partnerships between organizations is the recognition of the mutuality of the relationship, where partners rely on each other to deliver their part of the plan of action in order to achieve the whole (the complementarity of partners bringing their added value to the table). It has been observed in a number of the OIAs studied, that one of the frustrations that has not helped the application of the OIA has been the perceived inability of one partner to deliver their part of the programme satisfactorily in the eyes of the other. A complication in this regard (an observation mentioned elsewhere in this report) is the lack of understanding of how the other organization functions, which may lead to one organization measuring the other's performance against its own *modus operandi*. Comparing a Secretariat of a membership organization that routinely works *through* its membership against the way of working of a large semi-autonomous organization such as the ICRC can lead to possibly false judgements being made.

Taking this caveat into consideration, it is worth stressing the importance of having reliable partners that can deliver agreed outputs within agreed timelines and to an agreed standard. When this fails to happen, the level of trust between organizations can break down. In partnerships, therefore, it is important that each partner commits to contributing what it can reliably deliver. On the basis of experience through the four OIAs in which the ICRC was the Funding Partner and where the IFRC was unable to implement activities within agreed timelines, ICRC informants expressed concerns with regard to the institution's ability to maintain its 90% implementation rate against budget (an important aspect of the ICRC's institutional funding model).

Involvement of PNSs in OIAs

When developing the initial OIA concept, the decision was taken to focus on the relationship between the two international entities of the Movement and not to include the PNS during the first iteration of the approach. While this decision was perhaps understandable, it has been seen to have had some negative consequences and in the eyes of PNSs themselves has been a lost opportunity and a retrograde step in terms of overall Movement collaboration.

The first OIA pilot in Haiti was implemented shortly after the signing of the FMA between the ICRC and IFRC, when little was known about the aims and methodology of the approach. After the experience of Federation-wide planning and working together in response to the 2010 earthquake involving all PNS working in Haiti, there was not only an expectation that the response to Hurricane Matthew would continue the tradition of the NS working closely together with IFRC and PNS, but a positive relish at what was (as it turned out erroneously) seen to be the opportunity to put together an all-Movement appeal based on a joint strategic plan and with a joint resource mobilization strategy. That this proved not possible was a disappointment, particularly for IFRC and PNS staff in Haiti.

Fast forward two years, and the IFRC-led OIA in DRC (Equateur) has seen the PNSs working in DRC involved in helping to deliver support to the operation of the Red Cross of the Democratic Republic of Congo (RCDC), building on their capacities and experience in particular technical areas and their geographical presence. (For example, the French Red Cross is supporting the delivery of psychosocial support to volunteers while Swedish, Canadian and Spanish Red Cross have re-focused their preparedness and capacity building efforts in the areas where they work to respond to Ebola prevention and preparedness). This is viewed as a step forward from the approach in Haiti,

demonstrating as it does the complementarity that the Movement aims to build upon. Notwithstanding this, the PNS interviewed viewed their engagement in this operation not as partners but effectively as sub-contractors funded by IFRC, recognizing that more could be done to turn this approach into one of strategic and active Movement partnership which would be mutually beneficial. More focus on regular and active communications and dialogue would also have helped in this regard; not having a Movement coordination function as part of the OIA set up was seen to be detrimental.

PNS working in Myanmar reflected that opportunities had been missed by the OIA not engaging more effectively with them. In Myanmar the PNS understood and agreed with the decision made at the time of the appeal launch for them not to be involved in the field due to the sensitivities of the situation, but over time have felt increasingly excluded from the Movement strategy, with little opportunity to learn about the Movement's work in North Rakhine⁶⁸ or to contribute resources (be that funds or in-kind) or capacities, which is seen as a lost opportunity and has added to a sense of distance and strain between Movement partners.

7.4 Perceptions and expectations of external stakeholders

Key Findings

Key Finding 21 Donors have welcomed the pragmatic approach of the ICRC and the IFRC carrying out joint appeal launches. However, donor enthusiasm is less about having one appeal document and more focused on evidence that the joint narrative on how the Movement works together in emergencies is based on shared planning that capitalizes upon Movement complementarity for greater impact.

Key Finding 22 Implementing the OIA in the face of large-scale emergencies has led to an external perception of coherent Movement coordination and complementarity that was not necessarily reflected within the operations themselves.

Key Finding 23 PNS HQs emphasized that their expectations of the OIA focused on aligned and principled Movement responses that ensure that the comparative advantages of each Movement component are being utilized in emergencies and are built on joint planning in response to a shared assessment of needs, including PNS where relevant.

This review was asked to assess the perception and expectations of key external stakeholders in relation to the OIA modality and the different ways in which the OIA has been presented to donors. It was however only possible to speak to a limited number of donors, NS and PNS representatives during the review process.

Where the OIA mechanism has been used, there have been positive advances to jointly presenting these to donors. For example, with regard to the 2017 OIAs for Nigeria, South Sudan and Yemen, these were included in a joint Movement narrative detailing the Movement's response to the food security crisis in East Africa.⁶⁹ There were then two presentations of the appeal to the Geneva-based Permanent Missions to cover these contexts (and three others) – one held at the ICRC and a second

⁶⁸ All PNSs (and IFRC) reported that they received more information on the activities of the RCM operation via their embassies or UN contacts who had been briefed by the ICRC than from direct briefings.

⁶⁹ The narrative also covered Somalia, Ethiopia and Kenya and was referred to as the "4+2" approach/logic. This followed the UN's launch of a \$4.4 billion multi-country appeal to address the food needs of 20 million people.

held by the IFRC. In the case of Myanmar, a joint narrative was produced and presented at the appeal's launch and this has been consistently supported since through the production of periodic joint operational updates and communications. (It should be noted that in the case of Myanmar, the adoption of the OIA approach was predicated by the requirement of the Myanmar government that all international components of the Movement work only through the MRCS as part of the RCM operation). These joint presentations to donors were well received by those donors interviewed, who viewed them as evidence of jointly planned Movement responses.

In Bangladesh the ICRC and the IFRC chose not to pursue a OIA approach following an initial communication describing the Red Cross Movement's response to the Rakhine crisis in both Myanmar and Bangladesh⁷⁰. The Movement's response in Bangladesh is currently represented through two separate appeals and two different sets of infographics (one reflecting BDRCS and ICRC's activities and the other BDRCS/IFRC/PNS work through the OWF). Some informants (particularly from PNSs) regretted that it had not been possible to find a form of wording that would have enabled the inclusion of the ICRC in the representation of the Movement's footprint within one planning framework, although no feedback on this was received from donors.

The 2017 Progress Report to the CoD on the SMCC noted the OIA has generally been well received by donors as it has resulted in them only having to consider one international appeal from the Movement. While this view was repeated by a number of ICRC and IFRC informants, feedback from the donors interviewed for this review was more nuanced; what they valued was what they saw as the OIA being evidence of a combined Movement narrative that indicated a level of joint planning (rather than the issue of having one appeal document to consider).

A number of donors appreciated having to attend only one appeal launch for the same crisis, seeing this as a pragmatic approach which at least gave the image of a coordinated Movement response. It is noted that external donors are aware to a certain extent of the challenges that might lie behind use of the OIA mechanism⁷¹ but their concern as donors is less about organizational roles and relationships and more about whether the objectives of the operation are met collectively (perhaps echoing the 2017 SMCC Progress Report which noted, "*...the process as well as the intended purpose of projecting an image of unity has, at times, taken precedence over operational coherence*"). One of the six donor governments interviewed expressed confusion around the blurring of the traditional ICRC and IFRC demarcation between conflict and natural disasters as seen in the OIA.

PNS informants provided mixed feedback on their expectations and perceptions of the OIA. The majority of senior staff from PNS headquarters expressed a view which was similar to that of donors, stressing that they were looking for evidence of joined-up planning and coherence in the Movement's responses based on complementarity, rather than *de facto* a one appeal approach. They believed that with a clear operational plan in place that responds to a shared assessment of the needs, the Movement could then design an associated fundraising strategy which would ensure the clarity which they, and their back donors, were looking for. In that regard, a number felt that a OIA is currently more of a cosmetic description of a coherent response that might not (or did not) reflect the reality on the ground.

PNS senior managers had a clear expectation that the role of their organizations would be captured in any future OIA or Movement response plan, believing that the PNS contribution being outside the OIA

⁷⁰ A Red Cross Movement one-page document dated 15 September 2017.

⁷¹ A number of the donor contacts volunteered the information that they had worked either for ICRC or IFRC before taking up their current role.

initiative was a major lost opportunity for the Movement's ability to project its footprint and leverage a range of institutional donor relationships.

At least two PNS identified that one unintended consequence of the OIA mechanism for them was the inability to support operations where they needed to request a level of earmarking in order to meet donor requirements or needed to provide their back donor with IFRC levels of reporting, which was not possible within an ICRC-led OIA. One PNS informant suggested that it had had to return more than CHF360,000 to their back donor in one instance for this reason.

7.5 Additional Findings

Key Findings

Key Finding 24 There has been an institutional will to try new ways of working together during large-scale emergencies. This has required a significant change in institutional mindset and commitment from individuals involved at all levels.

Key Finding 25 Implementing the OIAs has seen positive collaboration at the leadership level in Geneva. However, messages from the leadership have not always been sufficiently clear and consistent, resulting in lack of consistent approach and application at a country level.

The review has provided the opportunity to identify a small number of additional findings which do not fit neatly under the four thematic areas included in the ToR. These are presented here.

Institutional will

Both institutions and NS have shown a 'willingness' to try new modalities while managing large-scale crises. A number of informants reflected on the institutional mindset shift that had allowed this to be attempted and believed this should not be underestimated (although there were others who doubted whether these scenarios were the best occasions to pilot new approaches in a learning-by-doing way). Developing these new collaborative ways of working, while not without challenges, has required significant investment from individuals in both institutions.

Leadership messaging

There has been positive collaboration in pursuing OIAs at senior leadership and executive levels of the ICRC and the IFRC. Informants from both institutions and the NS have, however, stated that at times the messages coming from leadership levels on how and why to implement the OIA for the benefit of the Movement and its beneficiaries are insufficiently clear. The role of intermediary levels within the hierarchies (particularly the IFRC Regions) was highlighted by a number of informants as being unhelpful in the operationalization of OIAs at field level.

Unintended consequence – a reduction in trust

Across the experience of implementing OIAs, many informants identified that some of the tensions that were raised through the OIA implementation processes have contributed to what they described as a breakdown in trust, both individually and institutionally.

In at least one location (Myanmar) it was noted that the introduction of a hierarchical relationship between a 'donor' ICRC and a 'recipient' IFRC in the OIA negatively impacted on what was seen to be the previous overall positive peer-to-peer working environment of partnership that had existed.

The cumulative impact of OIAs and the negative impression that a number of ICRC staff had of the mechanism, having heard of some of the challenges or perceived challenges in developing and operationalizing OIAs, in some cases had a prejudicial impact on the development of later OIAs, something that was reflected in the interviews with operational staff who were directly involved. A large number of these interviewees expressed their lack of enthusiasm for being involved in future OIAs given their earlier experiences. This view was also echoed by a number of IFRC staff associated with the first OIA experience in Haiti, all of who said they would not want to be involved in mounting a OIA unless the weaknesses of that experience had been comprehensively addressed.

Institutional differences

A number of informants pointed to fact that the set-up of the OIA makes little allowance of the very different nature and scale of the two organizations (one the Secretariat of a membership organization which principally works as a facilitator of and therefore dependent upon its membership and in a tight funding environment, the other a large, well-funded private organization). This 'one-size-fits-both' approach encourages a false comparison of the performance of each institution (e.g. comparing the ability of the ICRC to spend 100% of its allocated funding to the possible inability of the IFRC to achieve such a high spend rate due to being the funding conduit through the NS).

8. Conclusions

The key findings show that piloting the OIA approach over the last two years has demonstrated that the two international Movement organizations were prepared to enter into an exploratory process, with willingness and openness to challenge the *status quo* of their working relationships with each other and in relation to their work with National Societies in countries affected by severe, and in some cases, large-scale emergency situations.

With minimal preparation, they took the decision to create a 'learning-by-doing' process that both were prepared to try out even in complex operational situations. These experiences compelled Movement components (particularly NS, ICRC and IFRC) to increase dialogue and enhance efforts to implement coordinated Movement humanitarian responses and in some contexts (particularly where there were already established cooperation mechanisms), this has contributed to improving Movement coordination and cooperation and has, at times, laid the groundwork for future collaboration. In certain conflict-affected environments, the OIA has provided the opportunity for the IFRC to access funding that it may otherwise not have had access to.

However, in all environments where the OIA has been used, launching a complicated resource mobilization tool in the face of an emergency, unsupported by clear guidance and with different institutional drivers for using such a mechanism, has been time and energy consuming. Use of the OIA has often led to confusion and tension between individuals from different Movement components, particularly at field level. Tensions in early OIAs have impacted on subsequent OIAs to their detriment.

There are examples of positive Movement collaboration and cooperation in contexts where the OIA has not been used but where other SMCC tools and processes have been in place or where there was a previously good cooperation environment. This has included, for example, the signing of Movement MoUs or tripartite agreements which outline the roles and responsibilities of Movement partners when responding to humanitarian needs. The absence of some of these foundational agreements before launching a OIA has necessitated discussions and agreements during the height of an emergency when often the priority should instead have been focused on assisting and supporting those in need.

The contexts which have seen the most difficulties in application of the OIA have been conflict environments where the ICRC has already been present, has established structures and been implementing large scale humanitarian responses, with the NS, often for a number of decades. Difficulties have arisen when the IFRC has moved beyond its recognized strengths in such conflict environments (including but not limited to NSD and epidemic response) and endeavoured to establish new operational responses with NS which mirror those of the ICRC, as seen in Nigeria and originally pursued but ultimately avoided in South Sudan. Here, the allocation of relatively large amounts of money in the height of an emergency has unfortunately not always resulted in improved efficiency and effectiveness.

Whether intended or not, the effect of a OIA where one organization is providing large amounts of funding to the other has been to shift the balance from one of partner organizations working alongside each other to one of donor and recipient, particularly in relation to how to exercise financial accountability. This has had a negative impact on the relationships between ICRC, IFRC and the NS in a number of instances. In some contexts, this has contributed to a breakdown of trust.

Whether through the OIA, or through alternative funding mechanisms, there is a need to identify ways in which the IFRC's strengths can be supported financially. This is already happening in some locations where the ICRC has lead role or is active, with the ICRC including financial support to the IFRC within its annual budgeting processes. There is a need, however, to try and generate further financial and sustainable support from the IFRC's membership, also in situations where the ICRC does not have lead role. This would allow the IFRC to focus on those areas where it has unique skills and capacity and avoid the operational competition that has been seen under some recent OIAs – an approach which has been perceived as unsuccessful and ineffective in terms of building capacity and in the view of many has distracted from support to crisis-affected populations.

Two elements that have generally been seen as a missed opportunity so far with OIA roll out have been the tendency for NSs to feel marginalized within the approach and the explicit decision to omit the PNSs, so that in some cases, the true extent of the Movement's footprint has not been portrayed in appeal reporting.

It is worth highlighting that the scenarios reviewed that are generally considered more successful in terms of working together in the Movement are those which have developed more as a partnership and where each partner contributes their own valued added activities, with each relying on the other to achieve the overall objectives of the operation. This is particularly the case in DRC. More success in terms of collaborative spirit is also seen in those situations where smaller sums of money are involved, again seen in DRC but also in non-OIA contexts such as Ukraine. Scenarios where the relationship between funding and implementing partners is seen more as a donor-recipient relationship have generally been seen to be less successful.

With the OIA only having been in place for two years, it is a short time span within which to draw conclusions as to the success of the mechanism. Testing the OIA has required significant investment in time and resources from all components of the Movement and although each location where it has been used has experienced difficulties, it has compelled individuals to engage in discussions at field level which may not otherwise have occurred. This is an important and positive result in terms of moving forward and trying to find more fertile ground for cooperation which does not necessarily centre around a resource mobilization tool.

9. Recommendations

The recommendations below are linked to the review's key findings laid out in section 7. The recommendations focus around a set of key thematic areas and are not presented here in order of priority, but in as logical sequential order as possible.

In summary, the focus of the recommendations is that use of the OIA mechanism should be paused so that the Movement can take stock of the experience of the past two years and ensure that this learning is captured and built upon. Specifically, this means that the OIA mechanism should not be used until there are clear and agreed SOPs and guidance to support them; key staff who have the responsibility to implement OIAs have been well-prepared to be able to do so successfully; and the supporting infrastructure (in terms of specialist roles) is available to enable continued OIA roll out.

Once the tools and guidance have been prepared and a clear message from the leadership of both institutions which strategically frames the OIA has been disseminated, the mechanism should be prepared for and tested in a limited number of large-scale emergency response environments (perhaps five or six) where the probable need for a OIA is judged to be high. Each use of the OIA should be the subject of a joint lesson learning review at the end of the implementation period, in order to feed into the systematic revision of the guidance and a fine-tuning of the mechanism for the future.

In the meantime, international Movement appeals should be coordinated, based on a shared narrative presented jointly to donors and to external audiences, but with separate ICRC and IFRC appeal mechanisms beneath the narrative.

9.1 Future Movement appeals

The review has been able to identify some positive results from the use of the OIA mechanism. However, a significant number of challenges have also been faced and it will require long-term commitment and dedication of focused human resources in order to identify credible solutions for many of these challenges. Bearing in mind the commitments made in the SMCC initiative, there remains the need to develop resource mobilization approaches in large-scale emergencies which are truly designed to:

- Ensure NS are in a stronger position to assist crisis-affected populations in a sustainable way;
- Guarantee that each Movement component uses mobilized resources to pursue complementary approaches to assisting those in crisis in a timely manner by focusing on their unique roles, mandates and added value.⁷²

Recommendation 1

(Associated Key Findings – 8, 9, 10, 11, 13, 18, 21, 25)

It is recommended that:

- No further OIAs are launched until the leadership of the ICRC and the IFRC have documented a **clearly articulated and agreed strategic direction** on the approach and objectives of a OIA (see Recommendation 2) supported by the development of improved guidance and tools and a small cadre of core trained resource persons available to guide the process of implementation (see Recommendation 4 and 7);

⁷² An approach which is also promoted in the "IFRC-ICRC Africa Region Joint approach on Priority Areas for 2018-2019".

- In line with Objective 7 of the SMCC PoA, the ICRC and IFRC further **develop, test and fine-tune a Movement Coordinated Emergency Appeal** model, comprising one appeal for each institution, for future large-scale emergencies. Coordinated international appeals consist of separate ICRC and IFRC budgets which are jointly presented to donors with an overarching shared narrative describing the Movement's response, allowing donors to consider both appeals simultaneously in order to understand the Movement's footprint, and giving them the possibility to contribute to either appeal or to both;⁷³
- The Coordinated Appeal and shared narrative must be based on a **clear Movement Plan of Action** that responds to a harmonized assessment and clearly describes the roles of each involved organization (NS, ICRC, IFRC and PNS);
- The OIA re-launch should be accompanied by a name change, with the mechanism being clearly branded as a Red Cross Red Crescent Movement tool, to allow more effective communication.

9.2 Strategic framing of the OIA

The objectives behind the OIA – building a Movement-wide approach both to resource mobilization and operations, based on complementarity and non-competitiveness – remain supported by the vast majority of those interviewed as part of this review. However, the objectives seem to have become blurred and lost in a flurry of implementation, with some individuals ignoring these institutional commitments, while leadership messaging on the OIA has either been ambiguous, or on some occasions, simply not followed.

This has resulted in the absence of complementarity and missed opportunities for each Movement component to focus on its added value in some contexts. NS have often felt excluded from strategic decision-making related to the OIA and not benefitting from capacity strengthening. PNS feel similarly excluded from the process.

Recommendation 2

(Associated Key Findings – 3, 7, 8, 9, 1, 13, 16, 18, 19, 20)

There is a need for a **strategic level framing of the OIA by each institution's leadership** which clearly states:

- The purpose of the OIA;
- In which environments using a OIA would be the best approach for the Movement in order to most effectively meet the needs of those affected by disaster;
- The pre-requisites that need to be in place for a OIA to be activated;
- The bottom-up nature of the planning of a OIA, linking it directly to clear, and where possible joint, needs assessments;
- Which component of the Movement is responsible for what, ensuring that complementarity and the added value of each is explicitly described. This can go beyond operational issues and include issues such as access (to communities, local authorities, and other interlocutors) and security management;
- The performance indicators against which implementation will take place and how these will be monitored;
- Who is accountable for what and how that accountability will be exercised;

⁷³ This differs to a joint appeal or OIA where data collection, processing and analysis should form one single process between the Movement components and lead to the production of a single appeal narrative and budget.

- How implementation of activities covered by an OIA will be reported on;
- The timeframe for the OIA, together with transition and exit arrangements (including measures in place to support longer-term activities, particularly when they need to continue into the next calendar year);
- How contributions from donors to the OIA will be represented.

This strategic framing, which needs to be documented and disseminated, requires consistent and unambiguous leadership messaging, particularly at times when the launch of a OIA is under consideration.

9.3 The sequencing of the OIA within the SMCC

The OIA is one small action within the SMCC PoA. Testing the OIA has, however, taken place in advance of other linked and important action points having been completed. This resulted in delays in launching a Movement joint appeal at the immediate onset of large-scale emergencies and onwards delays in implementation and reaching those in need. The lack of clear agreement on which Movement component is best placed to do what, through previously agreed and SMCC-promoted approaches such as Movement contingency and operational plans, has in turn impacted on the ability of the Movement to effectively and sustainably increase and project its operational footprint.

Recommendation 3

(Associated Key Findings – 3, 5, 9, 10, 11, 15, 16, 17, 18, 19, 20, 23)

It is recommended that **no further joint appeals are “tested” in locations where other critical elements of the SMCC process are not yet in place** and well understood. This requires the:

- Completion of a Movement contingency plan with framework pre-agreements about how the different Movement actors will collaborate in response to likely situations, built on distinction of mandates and the added value of each Movement partner (NS central role);
- Formulation of country and operational plans in a joined-up manner that include the NS and consider the role that PNS could play where relevant and appropriate;⁷⁴
- Having clear security management agreements in place and signed;
- Development of shared Movement communication statements and promotional documentation as standard;
- Agreement of Movement fundraising strategies based on leveraging institutional relationships with donors, building on a shared Movement narrative (which could/would include PNS);
- Evidence of a functioning Movement coordination and cooperation platform in place in which all Movement components participate, led by the NS and supported by IFRC and ICRC.

9.4 Timeframes for OIA, transition and exit

One of the aspects of the OIAs implemented to date that caused confusion and stress was the perceived lack of clarity regarding how long an OIA could continue, particularly in those situations where the OIA is supporting NSD-related activities. The review confirms the original definition of the OIA as being applicable only for the emergency phase of any operation, with a clearly defined process for provision of longer-term support where the Movement plan requires it, for example to fund ongoing NSD objectives.

⁷⁴ It is possible for the country plan to highlight that PNS are present but not operational, but in-country PNS must be included in the plans.

Recommendation 4

(Associated Key Findings – 3, 4, 5, 7, 18, 19)

Based on the acknowledgement that a OIA mechanism is appropriate to support a joint Movement approach only during the emergency phase of an operation and in the case of ICRC-led OIAs will have to fit within the current budget year, it is recommended that **NSD activities contained within a OIA must be realistically planned to be achievable within that timeframe**. This means that NSD activities should not be included in a OIA for which the ICRC is the Funding Partner if the appeal is launched within the last quarter of the year.

Where longer-term NSD activities are required, this must be developed, discussed and agreed together through the joint planning processes and cooperation mechanisms that support the operation, with clear identification and agreement around the accountability framework for this.

In these situations, **consideration needs to be given to how NSD activities can be supported by Movement partners and the IFRC membership** and the potential for including NSD activities delivered by IFRC and the NS in the ICRC's PfR and budget for an agreed period of time.

9.5 Accountability

A key issue that is touched upon in Recommendation 2 is the need for the OIA mechanism to recognize that the organization that is responsible for raising the funds has to be able to demonstrate its accountability for the use and impact of those funds, including those funds that are passed on to an Implementing Partner. The absence of a shared accountability framework and very different institutional approaches to donor accountability practised by the two international organizations has been an area of friction in the OIAs reviewed. Additionally, there may be scope in some circumstances to explore a range of other structural solutions to accountability, for example temporarily embedding technical units from one organization into the management structures of the other organization.

Recommendation 5

(Associated Key Findings – 11, 12, 13, 19)

It is recommended that the **ICRC and IFRC jointly develop a shared accountability framework** that can be followed in all OIAs, regardless of which institution is the Funding Partner. This would include the identification of indicators and appropriate monitoring⁷⁵ and narrative and financial reporting procedures required in any given circumstance.⁷⁶ The opportunity to pilot an approach where the Implementing Partner's operational team is embedded within the Funding Partner's management system for the duration of the delivery of specific activities should be investigated if the circumstances are appropriate.

9.6 Guidance and tools

The absence of clear and practical OIA tools and guidance has led to country and regional teams having to 'learn-by-doing' and test processes, often under pressure and in the height of an emergency response. This has hindered learning from the implementation of previous OIAs. The limited tools that did exist had not been tested by field staff, even in simulation exercises and had not been widely shared.

⁷⁵ Responsibilities for monitoring could be shared between Implementing and Funding Partners.

⁷⁶ Building this sort of joint accountability approach could lead in the long term to developing a specific OIA budgeting and reporting system to support OIAs.

Recommendation 6

(Associated Key Findings – 7, 8, 10, 11, 14, 17)

As foreseen in the 2018-2019 SMCC PoA, there is a need to **build upon the existing OIA guidance in order that appropriate tools and SOPs are available** for country and regional teams for each stage of a OIA (starting with the decision whether to activate a OIA or not). Ensuring that those working at field level are closely involved in developing and testing these tools, initially through table top simulation exercises, will be important.⁷⁷

There is a particular need to further develop the Protocol document so that it becomes a template SOP that can be quickly adjusted to the particular context. Time has not allowed for a full overview of the additional elements that need to be covered in the SOPs but they should include guidance on:

- The step-by-step process from pre-activation of, to exit from a OIA, including clear roles and responsibilities for each step, covering who is responsible for taking and validating decisions; ; and being informed of decisions;
- The sequencing of IFRC and ICRC planning processes;
- NSD and what approaches should be adopted;
- Approaches to operational coordination;
- Approaches to communication;
- Security roles and responsibilities;
- What to do when activities are not being undertaken as agreed;
- Visibility;
- How to engage with PNS before and after the *Mini-Summit*;
- The roles and responsibilities for Funding and Implementing Partners.

The SOPs need to include an online repository with OIA templates for agreements such as the security framework; security management agreement; project agreement; cash pledge; tripartite MoU; and joint communication plan.

An important part of producing tools is to develop an associated **dissemination plan**, so that staff have access to and are familiar with the tools and have learned how to use them.

9.7 Centrality of the NS

In a number of the OIAs considered for this review, although the NS has been involved in the *Mini-Summit* prior to the appeal launch, their strategic role throughout the implementation of the OIA has been limited.

Recommendation 7

(Associated Key Finding – 16)

Further discussion is required with NS that have been involved in an OIA to consolidate their suggestions on how the role of NSs could be enhanced in the future. This should then be included in the newly developed OIA SOPs and guidance.

⁷⁷ Some informants reflected that a number of tools have been developed over the years to support the Movement working in partnership (for example the CAS (Cooperation Agreement Strategy) Handbook) and suggested that these be revisited before embarking on producing new tools.

9.8 Appeal activation triggers and pre-conditions

The lack of clarity as to when and on what basis it is most appropriate for a OIA to be launched has led to confusion and tension in some circumstances. While all OIAs have been preceded by field level *Mini-Summits*, the final decision on activation has taken place at more senior levels. Having a clearly articulated set of triggers for the launch of a OIA would facilitate a smoother dialogue at country, region and Geneva levels.

Recommendation 8

(Associated Key Findings – 3, 8, 9)

Due to time limitations it has not been possible for this review to **draw up a definitive list of triggers which would lead to the activation of a specific appeal mechanism**. It is therefore recommended that the SMCC file-holders within the ICRC and the IFRC facilitate a process that addresses this gap before launching any further collaborative appeals. This process needs to involve those who have participated in OIAs at field level.

It was possible to identify a number of pre-conditions which should be in place before a OIA is considered (below) and these should be used to support the trigger definition process:

- A new and specific crisis;
- Agreed added value of and complementarity between components - ideally already specified in an existing contingency plan;
- Commitments of each Movement component documented and agreed in advance of a launch;
- Trust and goodwill at country level (and where country level representation does not exist, this trust and goodwill will need to be assured at other levels such as Country Cluster Support Team or Regional level);
- Commitment to have appropriate HR in place to support appeal objectives;
- Pre-agreement on monitoring of and reporting on funds;
- Signed Movement Security Framework in place (where these frameworks exist);
- Agreed joint communications document signed.

Having a 'decision-tree' tool in place that can help protagonists quickly work their way through the process of deciding whether the situation meets the criteria for a OIA approach would be useful.

9.9 People

A number of scenarios have demonstrated that institutional commitments focused on working in a coherent and joined up manner within the Movement have not necessarily been fully implemented. There have been instances where individual behaviour has run contrary to these commitments and leadership messaging may have been ambiguous or not coherently followed down through the organizational hierarchies. This individualized approach to OIA implementation has been exacerbated by the absence of understanding of the OIA across all Movement components; the lack of inclusion of OIA-related commitments in individual job descriptions; and the lack of opportunity to help staff develop the skills that help create, build and strengthen partnerships.

A clear area for improvement revealed by this evaluation is recognizing and addressing the very real differences in culture, behaviours and systems between the ICRC and the IFRC. If two organizations

have a strategic intention to work more effectively together, it is imperative that they get closer and their staff better understand how they work, both at the macro and the micro level.

Recommendation 9

(Associated Key Findings – 11, 12, 14, 19, 25)

It is recommended that both institutions invest in ensuring **that staff from all services are included in OIA simulation exercises and training**. The starting point should be ensuring that the Movement Coordination Officer roster is functioning, but training and dissemination of the OIA needs to go beyond this cadre of personnel and must include all staff who work in the field in operational and management roles. Key personnel should be helped to develop their partnership brokering skills, finding creative ways to help staff learn from the individual and personal experiences of others that they work with (for example using audio and video documentation, encouraging blogging and vlogging, etc).

It is recommended that **commitments made by each institution in relation to the OIA are included in individual job descriptions and performance appraisals**. Staff should be held to account against organizational commitments and consideration should be given to including these in 360-degree appraisals from counterparts in other Movement components.

The **ICRC and IFRC should develop a strategy, both at country level in scenarios where close working together is anticipated, but also globally, to encourage staff to better understand how the other organization works**. This could include not only inception and training events, but could include staff exchange or secondment, shadowing or professional pairing to encourage staff in technical positions to get to know how their counterparts' function within their organizations.

9.10 Complementarity and added value

Implementation of the OIA mechanism has seen a move away from Movement complementarity in some contexts. This has been particularly apparent in ICRC-led OIAs in conflict environments. There is a need to ensure that each Movement component is sufficiently financially supported to be able to focus on its strengths and unique expertise in large scale emergencies. Here, the Movement's approach to coordination in Somalia could be taken as an example as the approach ensures that the NS is at the centre of support, while recognizing the strengths that each Movement component can bring.

Recommendation 10

(Associated Key Findings – 3, 16, 18, 19, 20, 21, 23)

With a focus on large scale crises, it is necessary for **the ICRC, the IFRC and NS to identify and commit to ensuring Movement complementarity** as the most effective way to support those affected by crisis. This should include:

- Building the capacity of the NS to respond to crises, now and in the future;
- Identifying options through which the ICRC can provide multi-year support to IFRC NSD activities in a number of locations (perhaps starting with those countries already receiving support in the PfR process); (See Recommendations 4 and 11)
- Jointly identifying areas where capacity needs to be strengthened and forming country-level working groups, comprised of all Movement components, to focus on these specific areas;⁷⁸

⁷⁸ In Somalia for example, there has been a move away from the historical project/programme-focused capacity strengthening support which was not sustainable. Instead, priority capacity strengthening areas have been jointly identified

9.11 National Society Development

While the IFRC should continue to be the lead in NSD, it is clear that the ICRC and PNS also have capacities in this area and are in a position to provide such support to NS in some circumstances in a complementary way. It is important that the ICRC and IFRC develop and share a common understanding and vision of how capacity building is achieved, particularly when related to helping NSs build technical capacity to implement programming, which generally combines more theoretical learning with practical, on-the-job learning, in which the role of IFRC includes provide coaching, mentoring and accompaniment to staff and volunteers. This shared vision of NSD will help inform strategies to ensure capacity building opportunities are built on, even in sensitive conflict situations.

Recommendation 11

(Associated Key Findings – 3, 7, 18, 19, 23)

Drawing on learning from the contexts considered in this review (and additional relevant contexts), **the ICRC and the IFRC need to define a clear shared vision of how NSD can best be achieved in sensitive security environments** – and particularly whether and how it could be achieved in certain conflict situations.

This may vary from country to country and will need to include a sharing of responsibilities between the IFRC and ICRC in some security-sensitive settings, respecting the Lead Agency of the ICRC while acknowledging and building on the lead role that the IFRC has for NSD. Respect for the security framework that is in place and the particular expertise that ICRC has developed to work effectively in these environments is a central element to this. As with other situations, consideration of the best-placed organization to achieve the stated outcome must be applied, defining how a particular objective can be achieved by working together. This should include a strengthened dialogue with and ensuring of commitments from PNS to support their Federation in carrying out its NSD role.

9.12 Learning from other organizations' appeal processes

A number of informants suggested during interviews and discussions that the Movement could learn from recent developments within the UN family related to how the different agencies plan and budget together, request funds from their major institutional donors and how it is working to consolidate various administrative functions.

Recommendation 12

It is recommended that **the ICRC and IFRC conduct joint research into optimal approaches to harmonized operational planning and funding and how other organizations approach this task**, particularly those international organizations such as the UN and other large NGO networks. Learning from these peers how they plan and appeal for funds and how the UN designed its funding structure with the participation of the states in order to avoid multiple different donor approaches to funding could inform how the Movement's funding process can be developed.

9.13 Supporting 'learning-by-doing' processes

While this review recommends pausing the OIA approach in order to internalize and capitalize upon the learning and experiences so far, it is also valuable to reflect on the 'learning-by-doing' process that

with different Movement components providing jointly agreed support to a specific priority area based on their own skills and capacities.

has been followed to date, to help consider how the OIA can be supported going forward (and potentially how other similar action-learning processes could be supported in the future). As this report has shown, increasing the level of institutional support to the process, ensuring that lessons learned are quickly responded to and particularly that the organizations agree how they are going to manage the inherent emergence of opportunities and risks through 'learning by doing' processes is important and was perhaps not sufficiently anticipated. Better engagement with both NSs and PNSs in the next phase of developing Movement joint planning and fundraising will be important.

Recommendation 13

Should 'learning-by-doing' as a methodology be used in future Movement pilots, it is important that the participating organizations consider how they will manage and respond not only to the successes of the pilots but also how mistakes and errors will be addressed. If 'learning-by-doing' approaches are to be repeated, the ICRC will need to consider amending its policy of only sharing finalized documents in order that in specific 'learning-by-doing' scenarios, delegations can benefit from the emerging learning from these processes with the dissemination of evolving (and therefore unfinalized) documents.

Consideration should be given to creating a broader oversight body in the next phase of piloting OIA and coordinated planning and appeal processes. This should include both staff who have recent direct experience of working in OIA operations, NSs and PNSs, who can oversee progress and offer an external view on progress, opportunities and challenges in terms of putting the OIA into practice.

Annex 1 – Key documents reviewed

The list below provides an overview of the key documents/websites reviewed:

General One International Appeal documents

- Comparison table of ICRC contributions to the IFRC through the OIA, 2017 (2017)
- ICRC IFRC Financial Interactions, September 2015, updated November 2015
- IFRC ICRC Funding Modality Agreement, September 2016
- Letter Agreement Template for ICRC inclusion in IFRC Emergency Appeal, June 2018
- Narrative to the ICRC Cash Pledge Template, February 2018
- One International Appeal Background Note, June 2018
- One International Appeal Protocol spreadsheet, June 2018
- Q&A: Funding the One International Appeals under the 'ICRC/IFRC Funding Modality Agreement', September 2018

Documents from Council of Delegates

- 2013 Council of Delegates Resolution Booklet, November 2013
- 2015 Resolution 1, SMCC, December 2015
- 2015 SMCC Progress Report to Council of Delegates, October 2015
- 2017 Resolution, SMCC, November 2017
- 2017 SMCC Progress Report to Council of Delegates, November 2017

SMCC documents

- Draft Operational Movement Coordination Tool, undated
- <http://smcctoolkit.org>
- Mini-Summit Guidance Note Checklist, Undated
- SMCC Plan of Action 2016-2017
- SMCC Plan of Action 2018-2019
- SMCC Report, Workstream 4 – Exploring new Movement-wide resource-mobilization approaches, June 2015

Other general documents

- Guidance note on Movement Contingency Plans (author & date unknown)
- ICRC – IFRC Africa Region Joint approach on Priority Areas 2018-2019 (June 2018)
- ICRC/IFRC Information Memorandum on Financial Interactions between the IFRC and ICRC (November 2015)

ICRC General

- Movement Contingency Planning Framework Template draft – July 2018
- ICRC Strategy 2019 – 2022 (September 2018)

IFRC General

- Shared Leadership Report Phase 2, December 2017

Bangladesh

- BDRCS/IFRC Bangladesh Population Movement (infographic), May 2018
- ICRC Operational Update, September 2018
- ICRC/ BDRCS 2018 Fact & Figures (infographic), October 2018
- ICRC/ BDRCS 2018 Fact Sheet (infographic), October 2018
- IFRC Shared Leadership Approach: Shared approach for the Cox Operation in Bangladesh, October 2018
- IFRC/BDRCS Federation-wide Internal Situation Report Update no 38, May 2018
- RCM Response to the Rakhine crisis in Myanmar and Bangladesh, September 2017

- Red Cross Red Crescent Response to Population Influx in Bangladesh: One Window Framework, February 2018

Democratic Republic of Congo

- ICRC Document Projet de réponse à l'épidémie d'Ebola dans la province de l'Equateur, June 2018
- Revised IFRC Appeal, June 2018
- Revised IFRC Emergency Plan of Action, June 2018
- Letter of Agreement for the OIA, July 2018
- L3 Security Framework and Annexes, October 2018
- Lessons learned document draft, Ebola operation, November 2018

Haiti

- Déclaration conjointe sur l'action mené par le Mouvement international de la Croix Rouge et du Croissant-Rouge suite au passage de l'ouragan Matthew en Haiti, October 2016
- PNS thematic leads in support of Haiti Red Cross, undated
- Revised Resource Mobilisation Strategy, undated
- Presentation of Movement Coordination Structures, undated
- Minutes of Mini-Summit, October 2016
- Hurricane Matthew Appeal donor targets, October 2016
- IFRC Emergency Plan of Action, October 2016
- Project Agreement for OIA, November 2016

Myanmar

- IFRC Myanmar Operational Plan 2018, December 2017
- MRCS Partnership Framework, October 2018
- Narrative to cash pledge, cash contribution to IFRC, June 2018
- RC/RC Movement Coordination Guide SOPs for Rakhine Response, October 2017
- RCM Infographic for Rakhine, March 2018
- RCM Infographics on Response to Rakhine Crisis, November 2017
- RCM Movement key messages, November 2017
- RCM Myanmar Crisis Response GIF, November 2017
- RCM Response to the Rakhine crisis in Myanmar and Bangladesh, September 2017
- Review of MRCS Partnership Framework, October 2018
- Various RCM Humanitarian Updates, November-December 2017
- Various RCM Situation Reports, September-November 2017

Nigeria

- Annex 1, Nigeria Preliminary Emergency Plan of Action for Cash Pledge ICRC-IFRC, May 2017
- Annex 2, Narrative on the Cash Pledge, May 2017
- Cash Pledge document for Nigeria, May 2017
- IFRC Nigeria Operational Final Report, May 2018
- IFRC Pledge based Financial Report for Nigeria Appeal (April-December 2017), March 2018
- Summary document on Benelux ERU deployment, undated

South Sudan

- Cash Pledge document for South Sudan, June 2018
- Joint Statement by the South Sudan Red Cross, the ICRC, and the IFRC on the Movement's response following the upsurge in conflict in South Sudan (July 2016)
- Movement Coordination Agreement for South Sudan (2016)

Ukraine

- Cash pledge documents, July 2017 and September 2018
- IFRC 2018 Operational Plan
- Movement Coordination Agreement, April 2018
- Narrative to the cash pledge, September 2018
- SMCC in Ukraine – ICRC/IFRC Joint Letter to the President of the URCS, October 2016

- SMCC Movement Country Plan, November 2017

Yemen

- IFRC Quarterly Operational Report, Jan-June 2016, July 2016
- Narrative and Final Narrative to the cash pledge, undated
- Yemen Cholera Response Budget and Expenditure, undated
- ICRC Yemen Budget Extension Appeal, May 2017
- IFRC Emergency Plan of Action, June 2017
- Cash pledge documents, August 2017 and April 2018

Annex 2 - Informants

	Institution	Informant interviewed	Position
GENEVA			
1.	ICRC Geneva	Rabih Al Fakhri	Head of Sector Africa Movement Cooperation & former Cooperation Coordinator in South Sudan
2.		Katy Attfield	Dep. Head of Movement Cooperation Division(Operations & Partnership)
3.		Simon Brunschwig	Legal Counsel
4.		Nicola Busino	Head of Finance Division
5.		Fabrizio Carboni	NAME Regional Director and former Head of Delegation, Myanmar
6.		Sebastien Carliez	Deputy Director Communication and Information Management
7.		Julien Chalier	Head of Sector NAME Movement Cooperation
8.		Patrizia Danzi	Regional Director Africa
9.		Jean-Arnaud Etchanchu	Head of Sector Asia Pacific, Movement Cooperation
10.		Sophie Goyet	Head of Sector Eurasia Movement Cooperation
11.		Branka Jovovic	Head of Sector Eurasia, Field Financial Support,
12.		Antoine Grand	Deputy Director of Operations
13.		Christophe Hambye	Director of Logistics
14.		Othmar Kobler	Head Corporate Finance Controlling
15.		Nicolas Luyet	Head of Project Strengthening Movement Coordination & Cooperation
16.		Bruce Mokaya	Deputy Regional Director Africa
17.		Elyse Mosquini	Deputy Head External Resources Division
18.		Adib Nahas	Head External Resources Division (REM)
19.		Sophie Orr	Regional Director Americas & former Head of Unit Movement Operations
20.		Mara Ponta	Head of Income Data Care, REM Division
21.		Michael David Rudiak	Deputy Head of Unit Movement Operations
22.		Megan Rock	Strategic Advisor to the Director of Operations
23.		Baptiste Rolle	Former Head of Sector Africa Movement Cooperation
24.		Angela Sapina Gussing	Regional Director Americas a.i.
25.		Balthasar Staehelin	Deputy Director General
26.		Dominik Stillhart	Director of Operations
27.		Philippe Marc Stoll	Head of Unit Communication Policy
28.		Rudina Turhani	Former Movement Mobilization Adviser
29.		Elisabeth Verluyten	Head of Sector Americas Movement Cooperation
30.		Patrick Vial	Regional Director Eurasia
31.		Nicolas Vout	Head of Unit Field Financial Support
32.		Katrin Wiegmann	Head of Movement Cooperation Division
33.	IFRC Geneva	Thierry Balloy	Director Logistics
34.		Sune Bulow	Team leader Emergency operations
35.		Ruben Romero	Operational Support
36.		Nelson Castaño Henao	Manager Operations Coordination
37.		Jagan Chapagain	Under Secretary General Programmes and Operations
38.		Matthew Cochrane	Manager Media and Advocacy
39.		Angela Eaton	Senior Officer

	Institution	Informant interviewed	Position
40.		Giorgio Ferrario	Acting Manager NSD Coordination and Support
41.		Josse Gillijns	Team Leader PMER
42.		Suzana Harfield	Team Leader Operational Movement Coordination & Integration
43.		Lucie Laplante	General Counsel
44.		Dr Jemilah Mahmood	Under Secretary General Partnerships
45.		Pascal Meige	Director Disaster Crisis Preparedness Response and Recovery
46.		Benoit Matsha-Charpentier	Global Strategy & Network Lead Communications
47.		Ivana Mrdja	Acting Manager National Societies Governance and Partnerships
48.		Diana Ongiti	Senior Officer Emergency Appeals and Marketing
49.		Christopher Rassi	Senior Executive Officer Office of the Secretary General
50.		Andrew Rizk	Finance and Administration Director
51.		Christine South	Senior Officer PMER
52.		Anitta Underlin	USG Management
MIDDLE EAST			
53.	ICRC NAME Region	Bonny Foo	Movement Coordination Advisor, Beirut
54.		Johannes Bouwer	Head of Delegation, Yemen
55.	IFRC	Pitambar Aryal	Acting Head of DCPRR MENA Region
56.	PNS in MENA	Mohammed Jaufar	Danish Red Cross Country Representative, Yemen
57.	Yemen Red Crescent Society	Rously Al Humat	Executive Director
58.		Wasim Al Ajami	Health Director
AFRICA			
59.	ICRC Africa Region	Amadou Diop	Cooperation Delegate, South Sudan
60.		Juerg Eglin	Former Head of Delegation, South Sudan
61.		Eloi Fillion	Head of Delegation, Nigeria
62.		Delphine Garcin	Finance & Administration Coordinator, South Sudan
63.		Olivier Jenard	Interim Operations Coordinator for Ebola, North Kivu, DRC
64.		Nicolas Lambert	Deputy Head of Delegation, DRC
65.		Grégory Le Coq	Cooperation Coordinator, DRC
66.		Dominique Mathieu	Supraregional Cooperation Coordinator, Nairobi
67.		Alex Munai	Cooperation Coordinator, Nigeria
68.		François Stamm	Head of Delegation, South Sudan
69.		Thomas Stanley Russell	Cooperation Coordinator, South Sudan
70.	IFRC Africa Region	Elise Baudot	Senior Advisor, Partnerships, RD & NS Strengthening, Country Cluster Support Team, Nigeria
71.			
72.		Michael Charles	Country Representative, Nigeria and formerly CR South Sudan
73.		Momadou Lamin Faye	Country Representative DRC, former Head of Cluster, Abuja
74.		Robert Kaufman	Deputy Regional Director Africa Region
75.		Jamie LeSueur	Roving Emergency Operations Manager
76.		Paco Maldonado	Head of Operations DRC and Nigeria
77.		Amon Mutyasira	Logistics Delegate, South Sudan

	Institution	Informant interviewed	Position
78.		Dr. Fatoumata Nafo-Traoré	Regional Director, Africa
79.		Rishi Ramrakha	Head of Operational Logistics, Procurement and Supply Chain Unit, Africa Region
80.		Umadevi Selvarajah	Manager, Finance and Administration Africa Region
	Institution	Informant interviewed	Position
81.	Red Cross of the Democratic Republic of the Congo	Mamie Mitanta Makusu	Secretary General
82.		François Ngoy	Treasurer
83.		Gaston Nyimu	Vice President
84.	Nigerian Red Cross Society	Chief Bolaji Anani	National President
85.		Abubakar Kende	Secretary General
86.	South Sudan Red Cross	John Lobor	Secretary General
87.	Partner National Societies	Alex Carle	British Red Cross, Head of International Programmes
88.		Arvind Das	Netherland Red Cross, Country Representative, South Sudan (in writing)
89.		Jesper Frovin Jensen	Swedish Red Cross Country Representative, South Sudan
90.		Anne Marie Grabto	French Red Cross Head of Delegation, DRC
91.		Christelle Marguerite	Swedish Red Cross Country Representative, DRC
92.		Mladen Milicevic	Canadian Red Cross Country Representative, South Sudan
93.		Ana María Pérez Martínez	Spanish Red Cross Community Development Delegate, DRC
94.		Patrik Vinberg	Swedish Red Cross, Head of Partnerships
95.		Rebecca Visschedijk	Netherlands Red Cross Relief ERU (Nigeria)
96.			
ASIA PACIFIC			
97.	ICRC Asia Pacific	Agueda Aguilar García	Cooperation Delegate, Myanmar
98.		Ikhtiyar Aslanov	Head of Delegation, Bangladesh
99.		Sarah Avrillaud	Protection Coordinator, Myanmar
100.		Christina Byrn	Protection Coordinator, Bangladesh
101.		Alan Colja	Economic Security Coordinator, Myanmar
102.		Cristina De Leon	Health Coordinator, Myanmar
103.		Dena Fisher	Head of Sub-Delegation, Sittwe, Myanmar
104.		Gian Duri Gross	Finance & Administration Coordinator, Myanmar
105.		Walter Jeanty	Deputy Head of Delegation, Bangladesh
106.		David Kaelin	Wathab Coordinator, Myanmar
107.		Paul Keen	Supraregional Cooperation Coordinator, Kuala Lumpur
108.		Yun Kyeong Han	Cooperation Coordinator, Bangladesh
109.		Leslie Leach	Former Cooperation Coordinator, Myanmar
110.		Irina Paola Martínez García	Movement Cooperation Specialist, Sittwe, Myanmar
111.		Jürg Montani	Former Head of Delegation, Myanmar
112.		Enrique Ochoa Fernandez-Lomana	Deputy Head of Delegation, Myanmar
113.	Bruno Poppe	Deputy Head of Sub-Delegation Maungdaw, Myanmar	

	Institution	Informant interviewed	Position
114.		Stephan Pierre Sakalian	Head of Delegation, Myanmar
115.		Kira Suleimanyan	Former Cooperation Coordinator, Bangladesh
116.		Lorena Stephen Marquéz	Logistics Coordinator, Myanmar
117.		Bayaram Valiyev	Cooperation Delegate Cox's Bazar, Bangladesh
118.		Brian Veal	Cooperation Coordinator, Myanmar
119.	IFRC Asia Pacific	Sonja Bjorklund	Programme Coordinator, Myanmar
120.		Kate Bunbury	Head of Office, Sittwe, Myanmar
121.		Xavier Castellanos	Regional Director Asia Pacific
122.		Pierre Kremer	Regional Head of Partnerships & Resource Development, Asia Pacific
123.		Sanjeev Kumar Kafley	Head of Office, Cox's Bazar, Bangladesh
124.		Ritva Latvi	One Window Framework Consultant, Bangladesh
125.		Rosemarie North	Regional Communications Manager, Asia Pacific
126.		Kyaw Oo Khine	Senior Management Services Manager, Myanmar
127.		Joy Singhal	Head of Country Office, Myanmar
128.		Azmat Ulla	Head of Country Office, Bangladesh
129.	Bangladesh Red Crescent Society	Hafiz Ahmed Mazumder	Chairman
130.		BMM Mozharul Huq	Former Secretary General
131.		Md Rafiqul Islam	Deputy Secretary General
132.		Ekram Elahi Chowdhury	Project Director, Population Movement Operation, Cox's Bazar
133.	Myanmar Red Cross Society	Kim Bawi	Executive Committee member
134.		Professor Dr Nang Htawn Hla	<i>Vice President</i>
135.		U Khin Maung Hla	Secretary General
136.		Dr Amayau Maw Naung	Executive Committee Member
137.		Aye Aye Nyein	Deputy Director, Rakhine Operations Management Unit
138.		Daw Nang Seng Hom	International Relations Manager
139.		Nr Nyo Nyo Wint	Deputy Secretary General
140.	PNS in Asia Pacific	Nuria Beneitez Rodríguez	Danish Red Cross Country Representative, Myanmar
141.		Brigitte Gaillis	Canadian Red Cross, Country Representative, Bangladesh
142.		Anna Grauers Fischer	Swedish Red Cross Country Representative, Myanmar
143.		Joe Htoo Ler	Australian Red Cross Country Representative, Myanmar
144.		Gen de Jesus	British Red Cross, Country Representative Bangladesh
145.		Bassam Khaddam	Qatar Red Crescent, Head of Mission Bangladesh
146.		David Stephens	Australian Red Cross Asia Portfolio Manager
147.		Emilio Teijera	German Red Cross, Senior Representative Bangladesh
148.		Manish A Tewani	American Red Cross Country Representative, Myanmar
AMERICAS			
149.	ICRC Americas	Thomas Ess	Former Head of Mission Haiti
150.		Kathleen Graf	Former Head of Sector Americas, Movement Cooperation

	Institution	Informant interviewed	Position	
151.		Céline Leonet Shabatura	Cooperation Coordinator in Washington DC, including Haiti for Hurricane Matthew	
152.	IFRC Americas	Inigo Barrena	Head Disaster and Crisis, PRR Americas	
153.		Inés Brill	Head of Country Office Haiti	
154.		Walter Cotte	Regional Director Americas	
155.		Felipe del Cid	Operations Coordinator, ARO Americas	
156.		Pryiadarshni Rai	Community Resilience Delegate, Country Cluster Haiti, DR and Cuba	
157.		Daniel Ureña Cot	Head of Programmes and Operations, Country Cluster Haiti, DR and Cuba	
158.	Haitian Red Cross Society	Güetson Lamour	Deputy Executive Director	
159.	PNS in Haiti	Brigitte Gaillis	Former Country Representative, Canadian Red Cross	
160.		Chantal Sylvie Imbeault	Country Representative American Red Cross	
EURASIA				
161.	ICRC Eurasia	Jelica Bogdanovic	Cooperation Coordinator, Ukraine	
162.		Erik Daniel Bunnskog	Operations Coordinator, Russia and Ukraine	
163.	IFRC Europe	Gorkmaz Huseynov	Head of Country Office Ukraine	
164.	Ukraine Red Cross Society	Lilia Bilous	Director General	
PARTNER NATIONAL SOCIETIES - HEADQUARTERS				
165.		Carina Andersson	Swedish Red Cross, Head of Unit East and Southern Africa	
166.		Aiham Alsukhni	Qatar Red Crescent, Head of Disaster Management	
167.		Kim de Vos	Netherlands Red Cross, Disaster Response Coordinator	
168.		Guillermo García	American Red Cross, Executive Director, International Response and Programmes, International Services	
169.		Christof Johnen	German Red Cross, Head, International Cooperation	
170.		Jessica Letch	Australian Red Cross, International Response Manager	
171.		Melker Måbeck	Swedish Red Cross, International Director	
172.		Alexander Matheou	British Red Cross, International Director	
173.		Stephane Michaud	Canadian Red Cross, Director, Emergencies & Recovery Team,	
174.		Nobuaki Sato	Japanese Red Cross, Director of International Relief Division	
175.		Lesley Schaffer	American Red Cross, Senior Director, Response and Recovery Programs	
176.		Tørris Tillman Jaeger	Norwegian Red Cross, International Director	
177.		Liv Torild Naess	Norwegian Red Cross, Coordinator, Movement Cooperation	
178.			Jan Teeger	Netherlands Red Cross, Advisor, Water and Sanitation
179.			Emma van Rij	Swedish Red Cross, Disaster Management Desk Officer for Africa

DONORS			
180.		Catherine Andersen	Head of Section for Humanitarian Affairs, Norwegian Ministry of Foreign Affairs
181.		Helen Barrette	International Humanitarian Assistance (MHD), Global Affairs Canada, Government of Canada
182.		Diane Boulay	Humanitarian Affairs – Program Specialist, US Geneva Mission
183.		Adam Kahsai-Rudebeck	Programme Manager Specialist, Unit for Humanitarian Assistance, SIDA
184.		Anne de Riedmatten	First Secretary, Deputy Head of Section, Permanent Mission of Switzerland to the United Nations and other International Organizations in Geneva, Humanitarian Affairs Section
185.		Anna Sahlén Ramazzotti	Programme Manager Specialist, Unit for Humanitarian Assistance, SIDA
186.		Sam Thompson	DFID, Agency lead for ICRC, IFRC and the British Red Cross
187.		Dylan Winder	DFID, Humanitarian Counsellor and Team Leader, Humanitarian, Protracted Crises and Migration
OTHER			
188.	Independent	Amara Bains	SMCC consultant

Annex 3 - Key achievements and challenges

This annex presents the consolidation of the key achievements and challenges of the OIA experiences that have been reflected on in the main report.

OIA achievements

Achievements	Examples where applicable
OIAs have been positively received by some donors due to the perception of joint planning within the Movement.	Global
Having one appeal has avoided donors having to consider two international appeals from the Movement for the same emergency which they consider positive.	Global
<i>The mini summit</i> approach has been universally adopted at the start of operations (both OIA and non-OIA) and is roundly seen to be useful. They have sometimes developed into Movement strategy decision-making platforms.	Global
Both institutions and NS have shown a 'willingness' to try new modalities while managing large-scale crises. A number of informants reflected on the institutional mindset shift that had allowed this to be attempted and believed this should not be under-estimated (although others doubted whether these scenarios were the best occasions to pilot new approaches in a learning-by-doing way).	Global
There has been positive collaboration in pursuing OIAs at senior leadership and executive levels of the ICRC and IFRC.	Geneva
The work within the SMCC focusing on communications has resulted in most situations in a common communications strategy/mechanism being pursued and an external portrayal of a joined-up Movement approach, including examples of shared human resources, although communications staff recognize that more could be achieved.	Myanmar DRC South Sudan Haiti
For the IFRC, the OIAs have provided a source of funding in response to emergencies that they would possibly not otherwise have accessed. This has allowed the IFRC to commence working in a way which it is often unable to with its own single appeals. This has in turn benefitted NS in some locations.	Nigeria Yemen South Sudan
Adopting a unified approach between NS, ICRC and the IFRC has helped to project a coherent Movement approach which may have dissuaded some PNS from adopting a more bilateral approach and risked overwhelming the NS with different forms of support.	Myanmar South Sudan
There has been strengthened coordination on technical matters at delegation/country level (although not always translated to sub-delegation/field level).	Nigeria South Sudan
Conversely, there have been examples of strengthened coordination at the sub-delegation/field levels that has not always been translated to the delegation/country level.	Myanmar
The OIA has encouraged dialogue between Movement components that may otherwise not have taken place.	Nigeria
It has been possible to include the activities of all Movement components (at least in the narrative) of IFRC-led OIAs through the existence of a One Movement Plan behind the OIA that reflects all Movement partners' actions. PNS were positive about the experience of constructing the One Movement Plan in Haiti.	Haiti DRC
The ICRC has been able to integrate some specific services in conflict environments through the IFRC-led response in an area (Ebola response) which the ICRC does not have the expertise	DRC (North Kivu)
The most recent example of the OIA in DRC is providing a model of fundraising and implementation which includes PNS as Implementing Partners which represents a step forward from the Haiti model, although there is a room for developing this model further into a more strategic Movement alliance.	DRC

OIA challenges

Challenges	Examples where applicable
Working out the details of a OIA has taken up a great deal of time, energy and stress (often described as high transactional costs) at the field and regional levels, particularly in the absence of clear and concise guidance. Although some OIAs are ultimately seen to have had some positive outcomes, many informants question the time and energy that has been involved in creating and maintaining the OIA mechanism.	Global
The top-down political-level decision-making regarding the application of the OIA modality has created some tension between the field levels and Geneva (ICRC) / Regions and Geneva (IFRC) as the teams try to translate the top-level decision into a practical operational framework.	Global
Ensuring inclusiveness, agreement and consensus between ICRC, IFRC and the NS has been challenging and time-consuming. This has impacted upon the efficiency and in some cases the effectiveness of operations.	Global
There are numerous differences between the ICRC and IFRC (culturally, legally, operationally and in terms of the way that each institution has to demonstrate accountability to its donors). This has led to difficulties in finding a common understanding of the best approach for implementing and reporting on the OIA and finding common solutions to challenges. This has required significant effort from individuals and lengthy negotiations for each OIA, revealing the extent to which individuals in each organization have little understanding of how the other functions.	Global
The absence of clear guidance (in the form either of supportive documentation, access to information from other scenarios or HR support) and the need to negotiate each OIA separately has been time consuming and frustrating.	Global
The lack of clear guidance about how to exit from a OIA (in terms of transitioning out of a OIA; what it is followed by; how to deal with non-completion of planned OIA activities within the OIA timeline; and under- or over-spending of OIA funds) has further complicated the situation in several scenarios.	Global
Implementing a new approach while simultaneously developing and testing it has required significant investment of time and energy which many have found onerous at times.	Global
There have been a small number of instances where a donor has not easily been able to support an ICRC-led OIA, either because they have already provided an annual contribution to ICRC or because their requirements for earmarking or reporting could not be met.	Global
While the OIA initiative has come from senior levels in both the ICRC and the IFRC, it was felt that at times that the messages coming from leadership levels on how and why to implement the OIA for the benefit of the Movement and beneficiaries were not clear enough. The role of intermediary levels within the hierarchies (particularly the IFRC regional offices) were often highlighted as being unhelpful in the operationalization of the OIAs at field level.	Global
There is a lack of trained and experienced staff who can support with the roll out of the OIAs. In some cases (Haiti, Myanmar) there was an over-reliance on ICRC Cooperation delegates to support the process (with no counterpart from the IFRC) and in some contexts no additional support was provided.	Global
OIAs have focused on NS, ICRC and IFRC and have not included PNSs (even in cases such as Haiti where the initial planning has included the PNS). This has been disappointing for PNS (and seen in some scenarios such as Haiti as a missed opportunity to present a Movement-wide footprint).	Global
Host NSs have had little prior exposure to the OIA and therefore were unfamiliar with it. Some had expectations that they would be equal partners within the OIA	South Sudan Myanmar

Challenges	Examples where applicable
and were disappointed by what they felt was an unequal relationship. They did not always feel sufficiently involved in either the OIA strategic decision-making or the operationalization of the OIA, which may not have focused sufficiently on reinforcing the NS's capacity within the operation.	Nigeria DRC Haiti
Differences in opinion regarding whether and how the Funding Partner would monitor the Implementing Partner to assure its accountability for the funds of the OIA has created tensions. Some have felt that this role is not in line with the spirit of the SMCC as it promotes a donor/implementer type relationship (which in the case of Myanmar, damaged a previously positive relationship).	Haiti Nigeria South Sudan Myanmar
The existence of different reporting protocols for each institution has led to misunderstandings. Both ICRC and IFRC (when acting as Funding Partner) have been dissatisfied with the quality (and in some cases the timeliness) of the reports received from the Implementing Partner. These disagreements have led, in some cases, to delays in transferring funds, which had an operational impact. This challenge has been faced particularly with ICRC-led OIAs.	Haiti Nigeria South Sudan Myanmar
There has been inconsistency in adhering to agreements on issues such as who will communicate publicly and when during a OIA timeframe. In some circumstances the Funding Partner has found it difficult to reflect the joint approach to an operation through reporting and external communications and has tended to profile its own role in a way that goes against the original decision to take and reflect a unified approach. This has resulted in the role of other Movement components, including the NS, being minimized.	South Sudan Yemen Myanmar Nigeria
Perhaps linked to the constant learning-by-doing' approach and lack of predictability in relation to OIAs, there is a sense of mistrust between some individuals in the IFRC, ICRC and some NS.	Nigeria South Sudan Myanmar
There have been delays in putting together emergency PoAs upon which to base OIAs due to poor needs assessments and lack of clarity in terms of who is doing what.	DRC Nigeria South Sudan
Starting up new IFRC/NS operational activities in conflict-environments has been challenging due to lack of pre-existing structures; the ambition to start a broad range of activities; lack of familiarity with safety and security frameworks; inconsistency in terms of following security rules; and IFRC and NS capacity limitations, particularly in relation to HR recruitment. Ambitions have not always matched capacity and with the resulting slow scale-up, there have been questions around the added value of creating parallel systems. Questions regarding timeliness and effectiveness has in some cases fuelled frustrations in relation to the OIA in both organizations.	DRC Nigeria
High turnover of IFRC staff required to support activities agreed in OIAs has led to delays in implementation.	Nigeria South Sudan DRC
There have been expectations that all budgeted funds will be transferred by the Funding Partner to the Implementing Partner regardless of amounts previously used. This has at times been combined with an unwillingness to transfer funds until "acceptable" reporting has been provided on previous tranches, which has led to delays in implementing activities.	Nigeria South Sudan
Separating accountability for the OIA (IFRC) from overall accountability for the context of the operation (ICRC), as happened in the DRC (North Kivu and Ituri Provinces) created a measure of confusion, even though ICRC's operational lead role was clearly stated in the Security Management Support Agreement (the "L3 Agreement") signed by IFRC and ICRC. This confusion generated tensions on both sides, particularly given the sensitive security context of the operation.	DRC

Challenges	Examples where applicable
While the inclusion of PNSs in the operationalization of the DRC (Equateur) OIA is a welcome step forward. Notwithstanding this, PNSs described their role as sub-contractors rather than full strategic partners.	DRC
Lack of a shared understanding of what is an OIA and how long it lasts has led to ICRC's PFR budget for 2018 being described by IFRC/NS as the OIA (and ICRC spoke about OIA budget allocations). The NS and all other partners reported frustrations at what they saw as the lack of transparency over the use of these funds in 2018 (beyond the 1% allocated to IFRC/MRCS directly). This has eroded trust between the partners. There is also lack of clarity on whether SOPs developed to support a OIA should continue to be applied once the OIA time period has expired.	Myanmar
The annual nature of an ICRC-led OIA (expiring at the end of the calendar year) can be a significant barrier to meaningful IFRC inputs to NSD, particularly when an OIA is created in the second half of the year as it does not allow for planning for longer periods and requires annual renegotiation.	Myanmar
A particular point of tension in Myanmar was related to information-sharing between the ICRC and the IFRC (and PNSs), with IFRC/PNS informants expressing frustrations that little information was received from their ICRC counterparts. This was interpreted as a lack of trust.	Myanmar

Annex 4 - Key Findings

	Key Finding	Associated Recommendation
Maximization of, and reduced competition for, resources		
Key Finding 1	Implementing OIAs has required significant investment from the staff of both the ICRC and the IFRC. To date however, there is no clear evidence of increased resource generation for the Movement as a whole.	
Key Finding 2	Using an ICRC-led OIA in conflict-affected environments has facilitated IFRC access to financing in contexts where it was unlikely to have generated funding if it had launched its own single and separate appeal.	
Key Finding 3	In some conflict-affected locations where the IFRC has accessed funds through an OIA, this has increased the risk of potential duplication of both systems and structures. This has been seen where OIA funds have been used by the NS/IFRC for operational purposes focused on service delivery to affected communities (rather than National Society Development), particularly in locations where new IFRC structures, logistics pipelines and personnel have been put in place to support NS implementation of programmatic responses. Insufficient consideration of how to achieve efficiency gains between the organizations has led to questions regarding potential duplication, efficiency and value for money.	2, 3, 4, 8, 10, 11
Key Finding 4	In some contexts where an OIA has not been considered appropriate (e.g. due to the scale of the crisis), non-OIA contexts, alternatives to collaborative Movement approaches to use of resources have been found. Ukraine provides an example of the ICRC supporting the IFRC in its National Society Development work by including funding for this in its regular annual budget process.	4
Key Finding 5	The non-inclusion of the Participating National Societies in the OIA concept in 2016/2017 meant that opportunities for maximizing Movement-wide resource mobilization and reducing internal cross-Movement competition were lost. The DRC (Equateur) OIA demonstrated an ability to include PNS in a Movement-wide response, both in terms of fundraising and programme delivery, although there is room for improvement in the operationalization of this approach.	3, 4
Key Finding 6	Using a joint funding approach has not always enhanced coordination and cooperation as foreseen in the SMCC, and has not always resulted in drawing on the added value of each international component.	
Key Finding 7	When OIAs have been launched in the latter part of the year it has been extremely difficult for the IFRC to complete NSD activities within calendar-year timeframes. This has highlighted the incompatibility of activating OIAs which include the need to implement NSD within a short time span.	2, 4, 6, 11
Tools, systems and people		
Key Finding 8	There is currently no guidance on <i>when</i> a OIA should be launched or whether certain pre-conditions need to be in place prior to a launch. This has led to lack of clarity with regard to why a OIA has been launched in some circumstances and not in others.	1, 2, 6, 8
Key Finding 9	Having OIA-activation pre-conditions in place would have helped to facilitate decisions on whether a OIA was appropriate and whether the environment was conducive to using this mechanism. This would have avoided some of the pressure on field staff who were trying to find their way through the OIA process with little direction or understanding of the process.	1, 2, 3, 8

	Key Finding	Associated Recommendation
Key Finding 10	There are no finalized OIA standard operating procedures or clear guidance for implementation. Instead, country and regional teams have had to build on the limited existing guidance available. This has been positive in terms of facilitating contextual flexibility but extremely challenging and time-consuming in the height of large-scale emergency responses. The guidance and tools that do exist have not been well-shared across the Movement.	1, 3, 6
Key Finding 11	Trying to develop and implement OIAs while the guidance for it is “live” – the learning-by-doing approach - has caused significant frustration, lack of clarity and repetition of mistakes. Although this was a deliberate approach and in line with the thrust of the SMCC process, it has contributed to tense relationships between the ICRC, the IFRC, and sometimes with the NS and PNS, in a number of contexts.	1, 2, 3, 5, 6, 9
Key Finding 12	There are a number of differences between the normal budgeting, financial and reporting systems of the ICRC and IFRC. This lack of alignment has resulted in challenges at all levels during OIA implementation. This has been exacerbated by a lack of understanding by individuals of the approaches and expectations of the other organization.	5, 9
Key Finding 13	The lack of agreed and shared guidance on the process related to the level of accountability that the Funding Partner has in relation to the activities of the Implementing Partner has been problematic for both institutions, fueled by the different institutional <i>modus operandi</i> in this regard.	1, 2, 5
Key Finding 14	Tools and systems are only as good as the people who know and use them. The OIA approach was little known in 2016 and the early applications suffered due to this. In some locations ICRC Cooperation delegates (who had received some level of orientation on OIAs) were able to facilitate the process to a certain extent, but they did not have <i>dedicated</i> counterparts within IFRC (with cooperation generally being part of the Head of Office role). In the early days, staff from both institutions lacked a central point of expertise which they could access to receive technical support and guidance related to the OIA process.	6, 9
Contribution to the implementation of the SMCC		
Key Finding 15	In a number of contexts, the OIA has contributed to improving Movement coordination and cooperation. This is particularly apparent in those locations where there were already established cooperation structures. The absence of pre-existing coordination structures and norms has created a number of OIA implementation challenges.	3
Key Finding 16	The OIA has contributed to Movement discussions on operational coordination which in some contexts were already taking place but in others were absent. This is a positive outcome of the mechanism. The dialogue on operational coordination has however not been built on robust joint needs assessment or joint planning in most cases and the NS have often felt excluded from strategic level decision-making.	2, 3, 7, 10
Key Finding 17	Alignment of Movement approaches to safety and security is a key part of the SMCC. In some OIA contexts there has, however, been inconsistency in terms of following security procedures, highlighting the need to ensure that all staff deployed are appropriately trained in safety and security and sufficiently prepared for working in conflict environments	3, 6
Key Finding 18	The emphasis on the need for complementarity between the ICRC and the IFRC to underpin the OIA, as identified in the SMCC process, has been lost in a number of OIA contexts. This is due to different interpretations of the objectives	1, 2, 3, 4, 10, 11

	Key Finding	Associated Recommendation
	underlying the OIA mechanism and lack of clarity around the strengths, ambitions and added value of each component, sometimes exacerbated by leadership messaging being either ambiguous or on some occasions not followed.	
Key Finding 19	A key element of Movement complementarity is the establishment of reliable partnerships. There have been frustrations under a number of OIAs that Movement partners have not always managed to deliver on agreed outputs within agreed timeframes. This is in part linked to each component measuring the other by its own <i>modus operandi</i> and standards, at times due to a lack of cross-organizational understanding.	2, 3, 4, 5, 9, 10, 11
Key Finding 20	The decision to exclude PNS from the first iteration of the OIA, while understandable, has been seen by some as a retrograde step and a lost opportunity to build a truly Movement-wide approach building on organizational complementarity. The recent experience in DRC shows positive steps in including PNS in the delivery of activities within the OIA, although there is considerable room to further develop this approach so that it becomes one of strategic partnership rather than one that is sub-contractual in nature.	3,10
Perceptions and expectations of external stakeholders		
Key Finding 21	Donors have welcomed the pragmatic approach of the ICRC and the IFRC carrying out joint appeal launches. However, donor enthusiasm is less about having one appeal document and more focused on evidence that the joint narrative on how the Movement works together in emergencies is based on shared planning that capitalizes upon Movement complementarity for greater impact.	1, 10
Key Finding 22	Implementing the OIA in the face of large-scale emergencies has led to an external perception of coherent Movement coordination and complementarity that was not necessarily reflected within the operations themselves.	
Key Finding 23	PNS HQs emphasized that their expectations of the OIA focused on aligned and principled Movement responses that ensure that the comparative advantages of each Movement component are being utilized in emergencies and are built on joint planning in response to a shared assessment of needs, including PNS where relevant.	3, 10, 11
Additional findings		
Key Finding 24	There has been an institutional will to try new ways of working together during large-scale emergencies. This has required a significant change in institutional mindset and commitment from individuals involved at all levels.	
Key Finding 25	Implementing the OIAs has seen positive collaboration at the leadership level in Geneva. However, messages from the leadership have not always been sufficiently clear and consistent, resulting in lack of consistent approach and application at a country level.	1, 9

Annex 5 – Recommendations

Thematic Area/Issue	Recommendation		Associated Findings
<p>Future Movement appeals Despite some positive results, a significant number of challenges remain with the OIA. Bearing in mind the SMCC initiative, there is a need to develop resource mobilization approaches in large-scale emergencies which ensure sustainable and strengthened NS and guarantee that each Movement component uses mobilized resources to pursue complementary approaches by focusing on their unique roles, mandates and added value.</p>	1	<ul style="list-style-type: none"> • No further OIAs should be launched until the leadership of the ICRC and the IFRC have a clearly articulated and agreed strategic direction on the approach and objectives of a OIA (see Recommendation 2) in place supported by the appropriate people, guidance and tools (see Recommendations 4 and 7); • The model for a Movement Coordinated Emergency Appeal (with separate ICRC and IFRC budgets jointly presented with an overarching narrative) is developed, tested and fine-tuned⁷⁹; • The Coordinated Appeal and shared narrative must be based on a clear Movement Plan of Action that responds to a harmonized assessment and clearly describes the roles of each involved organization (NS, ICRC, IFRC and PNS); • The OIA re-launch should be accompanied by a name change, with the mechanism being clearly branded as a Red Cross Red Crescent Movement tool to allow more effective communication. 	8, 9, 10, 11, 13, 18, 21, 25)
<p>Strategic framing of the OIA While the objectives behind the OIA remain supported by most informants, they have become blurred. Leadership messaging has either been ambiguous, or on some occasions, not followed. This has resulted in some contexts in the absence of complementarity and missed opportunities for each Movement component to focus on its added value. NS have often felt excluded from strategic decision-making related to the OIA and believe they have not benefitted from capacity strengthening. PNS feel similarly excluded from the process.</p>	2	<p>There is a need for a strategic level framing of the OIA which clearly states:</p> <ul style="list-style-type: none"> • The purpose of the OIA; • When a OIA would be the best approach to most effectively meet the needs of those affected by disaster; • The pre-requisites that need to be in place; • The bottom-up nature of the planning of a OIA, linking it directly to clear, and where possible joint, needs assessments; • Which component of the Movement is responsible for what, ensuring that complementarity and the added value of each is explicitly described. This can go beyond operational issues and include issues such as access (to communities, local authorities, etc) and security management; • The performance indicators and how these will be monitored; • Who is accountable for what and how that accountability will be exercised; • How the implementation of activities covered by an OIA will be reported on; • The timeframe for the OIA, together with transition and exit arrangements; 	3, 7, 8, 9, 1, 13, 16, 18, 19, 20

⁷⁹ In line with Objective 7 of the SMCC PoA.

Thematic Area/Issue	Recommendation		Associated Findings
		<ul style="list-style-type: none"> How contributions from donors to the OIA will be represented. <p>This strategic framing needs to be documented, disseminated and requires consistent and unambiguous leadership messaging, particularly when the launch of a OIA is under consideration.</p>	
<p>The sequencing of the OIA within the SMCC The OIA is one action within the SMCC PoA, but has been tested before others having been completed. This resulted in delays in launching a Movement joint appeal at the immediate onset of large-scale emergencies and onward delays in implementation and therefore reaching those in need. The lack of clear agreement on which Movement component is best placed to do what (through SMCC-promoted approaches such as Movement contingency and operational plans which should have been previously agreed) has in turn impacted on the ability of the Movement to effectively and sustainably increase and project its operational footprint.</p>	3	<p>No further joint appeals are “tested” in locations where other critical elements of the SMCC process are not yet in place and well understood. This requires:</p> <ul style="list-style-type: none"> The completion of a Movement contingency plan with framework pre-agreements about how Movement actors will collaborate, built on distinction of mandates and the added value of each Movement partner (NS central role); The formulation of country and operational plans in a joined-up manner that include the NS and considers the role that PNS could play where relevant and appropriate; Having clear security management agreements in place and signed; Development of shared Movement communication statements and promotional documentation as standard; Agreement of Movement fundraising strategies based on leveraging institutional relationships with donors, building on a shared Movement narrative (which could/would include PNS); Evidence of a functioning Movement coordination and cooperation platform in place in which all Movement components participate, led by the NS and supported by IFRC and ICRC. 	3, 5, 9, 10, 11, 15, 16, 17, 18, 19, 20, 23
<p>Timeframes for OIA, transition and exit One of the aspects of the OIAs implemented to date that caused confusion and stress was the lack of clarity regarding how long an OIA could continue, particularly in those situations where the OIA is supporting NSD-related activities. The review confirms the original definition of the OIA as being applicable only for the emergency phase of any operation, with the need for the development of a clearly defined process for provision of longer-term support where required, for example to fund ongoing NSD objectives.</p>	4	<ul style="list-style-type: none"> Based on the acknowledgement that a OIA mechanism is appropriate to support a joint Movement approach only during the emergency phase of an operation and in the case of ICRC-led OIAs will have to fit within the current budget year, it is recommended that NSD activities contained within a OIA must be realistically planned to be achievable within that timeframe. This means that NSD activities should not be included in a OIA for which the ICRC is the Funding Partner if the appeal is launched within the last quarter of the year. Where longer-term NSD activities are required, these must be developed, discussed and agreed through the joint planning processes and cooperation mechanisms that support the operation, with clear identification and agreement around the accountability framework for this. In these situations, consideration needs to be given to how NSD activities can be supported by Movement partners and the IFRC membership, including the potential for including NSD activities delivered by IFRC and the NS in the ICRC’s Pfr for an agreed period of time. 	3, 4, 5, 7, 18, 19
<p>Accountability</p>	5	<p>The ICRC and IFRC should jointly develop a shared accountability framework that can be followed in all OIAs, regardless of which institution is the Funding Partner. This would include the</p>	11, 12, 13, 19

Thematic Area/Issue	Recommendation		Associated Findings
<p>A key issue⁸⁰ is the need for the OIA to recognize that the organization that is responsible for raising the funds has to be able to demonstrate its accountability for the use and impact of those funds, including funds passed on to an Implementing Partner. The absence of a shared accountability framework and different institutional accountability practises has been an area of friction. There may be scope to explore other structural solutions to accountability.</p>		<p>identification of indicators and appropriate monitoring⁸¹ and narrative and financial reporting procedures required in any given circumstance.⁸² The opportunity to pilot an approach where the Implementing Partner’s operational team is <i>embedded</i> within the Funding Partner’s management system for the duration of the delivery of specific activities should be investigated if the circumstances are appropriate.</p>	
<p>Guidance and tools The absence of clear and practical OIA tools and guidance has led to country and regional teams having to ‘learn-by-doing’ and test processes, often under pressure and in the height of an emergency response. This has hindered learning from the implementation of previous OIAs. The limited tools that did exist had not been tested by field staff, even in simulation exercises, and had not been widely shared.</p>	6	<ul style="list-style-type: none"> • There is a need⁸³ to build upon the existing OIA guidance in order that appropriate tools and SOPs are available for each stage of a OIA (starting with the decision whether to activate a OIA or not). Those working at field level must be closely involved in developing and testing these tools, initially through table top simulation exercises, will be important. • The Protocol document should be further developed so that it becomes a template SOP that can be quickly adjusted to the particular context. It should include guidance on: <ul style="list-style-type: none"> • The step-by-step process from pre-activation of, to exit from a OIA, including clear roles and responsibilities for each step; • The sequencing of IFRC and ICRC planning processes; • Approaches to NSD, operational coordination, visibility, communications; • Security roles and responsibilities; • What to do when activities are not being undertaken as agreed; • How to engage with PNS before and after the <i>Mini-Summit</i>; • The roles and responsibilities for Funding and Implementing Partners. • The SOPs need to include an online repository with OIA templates for agreements such as the security framework; security management agreement; project agreement; cash pledge; tripartite MoU and joint communication plan. • An important part of producing tools is to develop an associated dissemination plan, so that staff are familiar with them and have learned how to use them. 	7, 8, 10, 11, 14, 17

⁸⁰ Touched upon in recommendation 2.

⁸¹ Responsibilities for monitoring could be shared between Implementing and Funding Partners.

⁸² Building this sort of joint accountability approach could lead in the long term to developing a specific OIA budgeting and reporting system to support OIAs.

⁸³ As foreseen in the 2018-2019 SMCC PoA.

Thematic Area/Issue	Recommendation		Associated Findings
<p>Centrality of the NS Although the NS has been involved in the <i>Mini-Summit</i> prior to the OIA launch, their strategic role throughout the implementation of the OIA has been limited.</p>	7	Further discussion is required with NS that have been involved in an OIA to consolidate their suggestions on how their role could be enhanced in the future. This should then be included in the newly developed OIA SOPs and guidance.	16
<p>Appeal activation triggers and pre-conditions The lack of clarity as to when and on what basis it is appropriate to launch a OIA has led to confusion and tensions. While field level Mini-Summits have taken place, the final decision on activation has taken place at more senior levels. Having a clearly articulated set of triggers for the launch of a OIA would facilitate a smoother dialogue at country, region and Geneva levels.</p>	8	<ul style="list-style-type: none"> • ICRC and IFRC SMCC file-holders should facilitate a process (involving those who have participated in OIAs at field level) to identify OIA triggers. Pre-conditions would include: <ul style="list-style-type: none"> • A new and specific crisis; • Agreed added value of and complementarity between components - ideally already specified in an existing contingency plan; • Commitments of each Movement component documented and agreed in advance • Trust and goodwill at country level, Country Cluster Support Team or Regional level (as appropriate); • Commitment to have appropriate HR in place to support appeal objectives; • Pre-agreement on monitoring of and reporting on funds; • Signed Movement Security Framework in place (where these frameworks exist); • Agreed joint communications document signed. <p>Having a 'decision-tree' tool in place that can help protagonists quickly work their way through the process of deciding whether the situation meets the criteria for a OIA approach would be useful.</p>	3, 8, 9
<p>People Institutional commitments focused on working in a coherent and joined up manner within the Movement have not always been fully or coherently implemented by various individuals. This has been exacerbated by lack of: understanding of the OIA across all Movement components; non-inclusion of OIA-related commitments in individual job descriptions; and lack of staff development opportunities to help create, build and strengthen partnerships. Recognizing, understanding and addressing the differences in culture, behaviours and systems between the ICRC and the IFRC would be beneficial in order to enable the strategic intentions to work more effectively together.</p>	9	<ul style="list-style-type: none"> • Both institutions should invest in ensuring that staff from all services are included in OIA simulation exercises and training. The Movement Coordination Officer roster needs to be functional, training on the OIA needs to include all staff who work in the field in operational and management roles, helping to develop their partnership brokering skills and finding creative ways to help staff learn from the individual and personal experiences of others that they work with (e.g. using audio and video documentation, encouraging blogging/vlogging, etc). • Commitments made by each institution in relation to the OIA should be included in individual job descriptions and performance appraisals. Staff should be held to account against organizational commitments and consideration should be given to including these in 360-degree appraisals from counterparts in other Movement components. • The ICRC and IFRC should develop a strategy to encourage staff to better understand how the other organization works. This could include not only inception and training events, but also staff exchange or secondment, shadowing or professional pairing to encourage staff in 	11, 12, 14, 19, 25

Thematic Area/Issue	Recommendation		Associated Findings
		technical positions to get to know how their counterparts' function within their organizations.	
<p>Complementarity and added value Implementation of the OIA mechanism has seen a move away from Movement complementarity in some contexts. This has been particularly apparent in ICRC-led OIAs in conflict environments. There is a need to ensure that each Movement component is sufficiently financially supported to be able to focus on its strengths and unique expertise in large scale emergencies.</p>	10	<ul style="list-style-type: none"> With a focus on large scale crises, it is necessary for the ICRC, the IFRC and NS to ensure Movement complementarity to support those affected by crisis. This should include: <ul style="list-style-type: none"> Building the capacity of the NS to respond to crises, now and in the future; Identifying options through which the ICRC can provide multi-year support to IFRC NSD activities in a number of locations (perhaps starting with those countries already receiving support in the PfR process); (See Recommendations 4 and 11) Jointly identifying areas where capacity needs to be strengthened and forming country-level working groups, comprised of all Movement components.⁸⁴ 	3, 16, 18, 19, 20, 21, 23
<p>National Society Development While the IFRC should continue to be the lead in NSD, it is clear that the ICRC and PNS also have NSD capacities and can provide such support in some circumstances in a complementary way. Developing a shared common understanding and vision of how capacity building is achieved, particularly when related to helping NSs build technical capacity to implement programming (generally combining more theoretical learning with practical, on-the-job learning), with the role of IFRC including coaching, mentoring and accompaniment. This shared vision will ensure capacity building strategies are built on, even in sensitive conflict situations.</p>	11	<ul style="list-style-type: none"> Drawing on learning from the contexts considered in this review (and additional relevant contexts), the ICRC and the IFRC need to define a clear shared vision of how NSD can best be achieved in sensitive security environments – and particularly whether and how it could be achieved in certain conflict situations. This may vary from country to country and will need to include a sharing of responsibilities between the IFRC and ICRC in some security sensitive settings, respecting the Lead Agency of the ICRC while acknowledging and building on the lead role that the IFRC has for NSD. Respect for the security framework that is in place and the particular expertise that ICRC has developed to work effectively in these environments is a central element to this. As with other situations, consideration of the best-placed organization to achieve the stated outcome must be applied, defining how a particular objective can be achieved by working together. This should include a strengthened dialogue with and ensuring of commitments from PNS to support their Federation in carrying out its NSD role. 	3, 7, 18, 19, 23
<p>Learning from other organizations' appeal processes A number of informants suggested during interviews and discussions that the Movement could learn from recent developments within the UN family related to how the different agencies plan and budget together, request funds from their major institutional donors and works to consolidate various administrative functions.</p>	12	<p>Joint research should be conducted into optimal approaches to harmonized operational planning and funding and how other organizations approach this task, particularly those international organizations such as the UN and other large NGO networks. Learning how peers plan and appeal for funds and how the UN designed its funding structure with the participation of states to avoid multiple varying funding approaches could inform the development of Movement's funding process.</p>	

⁸⁴ In Somalia for example, there has been a move away from the historical project/programme-focused capacity strengthening support which was not sustainable. Instead, priority capacity strengthening areas have been jointly identified with different Movement components providing jointly agreed support to a specific priority area based on their own skills and capacities.

Thematic Area/Issue	Recommendation		Associated Findings
<p>Supporting 'learning-by-doing' processes</p> <p>While recommending pausing the OIA to internalize and capitalize upon the learning and experiences so far, it is also valuable to reflect on the 'learning-by-doing' process that has been followed, to help consider how the OIA can be supported going forward (and potentially how other action-learning processes could be supported). Increasing institutional support to the process, ensuring that lessons learned are quickly responded to and agreement on how emerging opportunities and risks are dealt with was not sufficiently anticipated. Better engagement with both NSs and PNSs in the next phase of developing Movement joint planning and fundraising will be important.</p>	13	<ul style="list-style-type: none"> • Should 'learning-by-doing' be used in future Movement pilots, it is important that the participating organizations consider how they will manage and respond not only to the successes of the pilots but also how mistakes and errors will be addressed. • The ICRC will need to amend its policy of only sharing finalized documents in order that in specific 'learning by doing' scenarios, delegations can benefit from the emerging learning from these processes with the dissemination of evolving (and therefore unfinalized) documents. • Consideration should be given to creating a broader oversight body in the next phase of piloting OIA and coordinated planning and appeal processes. This should include both staff who have recent direct experience of working in OIA operations, NSs and PNSs, who can oversee progress and offer an external view on progress, opportunities and challenges in terms of putting the OIA into practice. 	