

**EVALUATION  
REPORT**

**EVALUATION OF UNICEF  
LEARNING STRATEGY TO  
STRENGTHEN STAFF  
COMPETENCIES FOR  
HUMANITARIAN RESPONSE  
2000-2004**

**EVALUATION OFFICE  
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**Evaluation of UNICEF learning strategy to strengthen staff competencies for humanitarian response 2002-2004**

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New York, New York 10017  
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The independent evaluation of UNICEF learning strategy to strengthen staff competencies for humanitarian response 2002-2004 was commissioned by the Evaluation Office at UNICEF Headquarters in New York. Consultants from Le Groupe-conseil Baastel Itée including Raymond Gervais, Dana Peebles, Winifred Fitzgerald, Philippe Bâcle, and Franck Yelles conducted this evaluation with support from Simon Lawry-White, Senior Programme Officer in the Evaluation Office at UNICEF, New York.

The purpose of the report is to facilitate the exchange of knowledge among UNICEF personnel and its partners. The content of this report does not necessarily reflect UNICEF's official position.

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## Preface

The frequency of crises and emergencies and their protracted nature have tested UNICEF's capacity to respond. Discussions at a meeting of UNICEF representatives from emergency countries at Martigny, Switzerland in September 1998 resulted in recommendations for strengthening UNICEF's emergency response in the context of a mainstream country programme. In May 2000, UNICEF established a minimum set of 'Core Corporate Commitments' (CCCs) that the organization would abide by in its response to protection and care of children and women in unstable situations.

A significant outcome of the Martigny consultations was the 2000-2004 Programme of Cooperation between UNICEF and the United Kingdom's Department for International Development (DFID). The Programme of Cooperation was set up in two phases – Phase I from 2000-2002 and Phase II from 2002-2004. Phase I of the partnership sought to apply international resolutions on children in crisis situations to UNICEF emergency response. Phase II aimed to improve the capacity of UNICEF to respond effectively, reliably and in a timely manner to the needs of children and women in unstable situations. One of the goals of Phase II was "to improve staff competencies for advocacy, programmatic and operational support in emergencies, reflecting the human rights based approach to programming and the normative framework of UNICEF". This evaluation focuses specifically on this goal and examines UNICEF efforts to strengthen staff competencies for humanitarian response through learning.

The Evaluation Office commissioned the present evaluation in collaboration with the Office of Emergency Operations (EMOPS). An independent team of consultants from Le Groupe-conseil Baastel Itée were identified to undertake the evaluation. Raymond Gervais led the Baastel team, and was assisted by Dana Peebles, Winifred Fitzgerald, Philippe Bâcle, and Franck Yelles. Simon Lawry-White, Senior Programme Officer in the Evaluation Office at UNICEF, New York provided guidance and oversight of the evaluation process.

Special thanks are due to the evaluation team, to the UNICEF staff members in divisions and field offices across the organization, and to partners who generously contributed their time and gave valuable input. Their views and perspectives, the materials and documentation they provided, and their critical technical and logistical support were vital to the evaluation.

The learning strategies developed through the UNICEF-DFID Programme of Cooperation have focused as much on changing staff attitudes towards emergency as they have on developing specific skills. The evaluation provides both general as well as specific thematic recommendations in response to the diversity of the learning strategy within the DFID-UNICEF programme in terms of breadth, range of topics, and themes. The findings and recommendations from the assessment will provide evidence and analysis for strengthening UNICEF's future learning strategies in general, and in particular, its humanitarian response.

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## List of Acronyms

ARC	Action for Rights of Children
CAAC	Children Affected by Armed Conflict
CCCs	Core Commitments for Children in Emergencies
CDC	Centers for Disease Control (Atlanta)
CEE/CIS	Central and Eastern Europe/Commonwealth of Independent States and the Baltic Office (Regional Office)
CO	Country Office
CRC	Convention on the Rights of the Child
DDR	Disarmament, Demobilisation and Reintegration
DFID	Department for International Development (UK)
DHR	Division of Human Resources
DRC	Democratic Republic of Congo
DSA	Daily Subsistence Allowance
EAPRO	East Asia and Pacific Regional Office
ECHO	European Commission Humanitarian Office
EMOPS	Office of Emergency Programmes
EO	Evaluation Office
EFCT	Emergency Field Coordination Training
EPRP	Emergency Preparedness and Response Plan
EPRT	Emergency Preparedness and Response Training
ERCD	Emergency Response Capacity Development
ERT	Emergency Response Team
ESARO	Eastern and Southern Africa Regional Office
FEMAC	Field Epidemiology for Mine Action Course
GICHD	Geneva International Centre for Humanitarian Demining
H & N	Health and Nutrition
HQ	Headquarters
IASC	Inter-Agency Standing Committee
IATF	Inter-Agency Task Force
IDPs	Internally Displaced Persons
IT	Information Technology
M & E	Monitoring and Evaluation
MENARO	Middle East and North Africa Regional Office
MSF	Médecins Sans Frontières (Doctors Without Borders)
MTSP	Medium Term Strategic Plan
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
OJT	On-the-Job Training
OLDS	Organizational Learning and Development Section
OLF	Organizational Learning Framework
OPT	Occupied Palestinian Territories
OVC	Orphans and Vulnerable Children
PATH	A Principled Approach to Humanitarian Action
PER	Performance Evaluation Report
PPP	Programme Policy and Procedure
PSP/PSV	Peer Support Programme/Peer Support Volunteer (under Stress Management)
RMT	Regional Management Team
RO	Regional Office

ROSA	Regional Office for South Asia
SPO	Senior Programme Officer
SWOT Analyses	Strengths, Weaknesses, Opportunities & Threats Analyses
TACRO	The Americas and Caribbean Regional Office
ToR	Terms of Reference
ToT	Training of Trainers
UN	United Nations
UNDAC	United Nations Disaster Assessment and Coordination
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNHCR	United Nations High Commissioner for Refugees
UNSECOORD	United Nations Security Coordinator
UNSSC	United Nations System Staff College
WCARO	West and Central Africa Regional Office
WEM	Workshop on Emergency Management
WFP	World Food Programme

## Executive Summary

In 1998, UNICEF decided to enhance its preparedness for emergencies and was able to obtain funding from DFID to support this process. The first phase of the DFID-funded programme sought to apply international resolutions on children in crisis situations to UNICEF emergency response. Phase II had as an overall goal to improve the capacity of UNICEF to respond effectively, reliably and in a timely manner to the needs of children and women in unstable situations. Of the eight goals, Goal 4 addressed the learning needs of the organization by improving staff competencies for advocacy, programmatic and operational support in emergencies, reflecting the human rights based approach to programming and the normative framework of UNICEF. The objective of the evaluation implemented by the Baastel team was to provide an assessment of UNICEF efforts to strengthen staff competencies for humanitarian response through learning during this phase.

This evaluation has focused on three sets of assessment criteria. The first set of criteria relates to how the different learning strategies that UNICEF has used have contributed to the mainstreaming process. The second set of criteria assesses whether these learning strategies were in line with the best practices outlined by the United Nations System Staff College (UNSSC) to facilitate the development of a learning culture that leads to improved management capacity and organizational performance. The third set relates to the actual impact of the learning strategies used on UNICEF's performance and its capacity to plan for and respond to humanitarian crises.

The learning strategies identified include the following:

1. Direct learning (content workshops and ToT workshops, inter-agency training)
2. Web-based and distance learning (internet courses, intranet sites, and CD-Roms)
3. On-the-job training (staff exchanges and deployment, coaching and mentoring)
4. Lessons learned
5. Contingency planning process
6. Learning plans

The assessment criteria used in this report are based on an identification of the skills and knowledge staff need to learn to be able to mainstream emergency effectively. These include:

1. Knowledge of UNICEF policy mandates related to planning and response to humanitarian crises;
2. Ability to plan for and respond to humanitarian crises;
3. Awareness of individual and institutional responsibility for planning for and responding to humanitarian crises;
4. Leadership skills to provide a clear vision to plan for and respond to humanitarian crises.

The learning strategies developed through the UNICEF-DFID Programme of Cooperation have focused as much on changing staff attitudes towards emergency as they have on developing specific skills. The primary learning strategy used by UNICEF in this project has been direct training and a significant portion of the project's resources have been allocated to funding workshops on diverse emergency-related topics. The two main training programmes developed through the project were the Emergency Preparedness and Response Training (EPRT) and "A Principled Approach to Humanitarian Action" (PATH). These are the two sets of direct training that were offered to UNICEF on a fairly global basis.

UNICEF has offered direct training related to emergency in three different ways. The **first** has been to set up a Training of Trainers (ToT) or cascade system of training in which a group of UNICEF staff are trained in both the subject area and on facilitation skills. These trainees were then expected to go out and train others at the RO or CO level. This approach is relatively cost effective, can potentially generate a wider reach, and is better rooted in the local context. It does, however, require greater follow-up, may result in a dilution of information during the subsequent transfer, and add to the staff workload. UNICEF staff who become trainers are expected to carry out their regular tasks in addition to following through on their new training responsibilities.

The **second** was to bring in professional trainers or sector experts from headquarters, the region or from external organizations and to have them deliver training to participants at the regional and country levels. Regional training generally involved the RO asking each CO in the region to send one participant to take part in the training sessions – which were usually held once a year or sometimes once every other year. Those participants were then expected to share this knowledge with their colleagues upon their return, although in a more informal way than was the case for the ToT participants. The major constraint to this approach, however, remains its cost. UNICEF has been unable to maintain at least one of its sectoral emergency programmes to date (health and nutrition) in part because of this cost factor. For the external facilitator model to work then, UNICEF would need to significantly increase the percentage of funds it commits to training from its regular operating budget and to enhance its recourse to local institutions.

The bulk of the DFID funding has been devoted to direct training in the form of workshops. These workshops have covered a wide range of topics related to emergencies.

1. **EPRT:** In general, the EPRT appears to have succeeded in reaching the key objectives outlined in the training manual. It has also contributed significantly to staff's understanding of what their individual roles in emergency are and as such, has done much to further the emergency mainstreaming process within UNICEF. The change that struck the evaluation team most, however, was the increased understanding and communication between the operations and programming staff and their growing understanding of the fact that each and every one of them is now responsible for more than one aspect of emergency planning and response. A major contributing factor to this success has been the high quality, practicality and interactive nature of the training materials. Strong regional leadership with considerable support from OLDS has also been critical. The EPRT has been accessible, effective, a shared responsibility and has helped make learning a greater part of UNICEF's culture. When it has been delivered at the CO level it has also been strategic in that it was then fairly easy to link the training with the subsequent EPRP process. The training worked best when there was a strong and visible commitment to the issue being mainstreamed from senior management at the CO level.
2. **PATH:** Feedback indicates that PATH is a dynamic, constructive and useful learning experience for participants. A lot of effort and time were dedicated to developing the course; the high quality of the materials and the creativity in training techniques and methodologies reflect that investment. There is still the impression amongst some staff that the course is not relevant for emergency situations and that it is too theoretical, but field offices are attempting to adapt the course to make it more practical and relevant for their own situations.
3. **Health and Nutrition:** UNICEF with DFID support has invested considerable funds into developing a high-level technically-focused course in Health and Nutrition in Emergencies. The organization still does not have the internal capacity to develop or deliver this level of training in-house. However, it is an expensive form of training and as a result UNICEF has not continued to fund the training, despite the high quality of the training materials. There are also very mixed messages coming from Headquarters regarding the course and there is no clear vision as to what UNICEF wants to do with it in the future. If the cost of the training is too high to be sustainable, UNICEF should consider investing in building the capacity of local institutions in the different regions that have relevant skills and experience.
4. **Education:** UNICEF's approach to education in emergencies is to focus on teacher training so that teachers or paraprofessionals can help get children back into a normalized learning environment as soon as possible. To do this effectively, they use a TOT approach that requires support from a more systematized monitoring process. The development of this monitoring system would also help UNICEF monitor the short and medium term impact of their emergency education response and help provide feedback for UNICEF's Education Officers.
5. **HIV/AIDS:** UNICEF's approach to HIV/AIDS in emergencies is directly linked to the work of the Inter-Agency Task Force (IATF) and is partly the result of coordinated efforts at this level. Given the relatively recent onset of HIV/AIDS and the even more recent response by UNICEF to this pandemic, everything being done in this area is fairly new and has required considerable innovation. While this is positive in that it has meant that UNICEF has developed a coordinated

approach to learning strategies in this area, it has also meant that the organization was not in a position to implement any related capacity-building initiatives until quite recently. It also means it is too soon to be able to assess the actual impact of the capacity-building efforts on UNICEF staff. It is clear, however, that the progress made to date and UNICEF's active participation in the IATF would not have been possible without DFID support.

6. **Mine Action:** The EMOPS Landmine Section's approach to capacity-building is one that could stand as a model for UNICEF as a whole. It started with a clear overall strategy and framework, has developed a range of learning strategies and options, and has built in a systematic M & E process as well as a means of ensuring that their capacity-building initiatives will be sustainable in the future. This has been possible in part because of the vision of the staff leading this section, and in part because this area of emergency mainstreaming has been well funded from the very beginning of the programme. Their learning approach has been set up to be strategic and as a shared responsibility. Of all of the courses the evaluation team reviewed, it is also the one that made a point of ensuring that learning was more than training. Feedback from the field to date also indicates that it is effective and, due to the guidelines and standards established and disseminated, it is also sustainable.
7. **Child Protection:** UNICEF has not provided meaningful capacity-building support for its field staff in the child protection area through the DFID project. Most of the funding set aside for child protection was allocated to cover one full-time staff member and a consultant. These human resources, with the best will in the world, were insufficient to be able to do much more than deal with crises that arose in the child protection area over the past three years. As a result, field staff, particularly at the RO level, have had to develop training and other learning materials on their own in order to support UNICEF staff and partners at the CO level. Because child protection is both a relatively new area of work within UNICEF as well as a highly sensitive one, this represents a huge gap in UNICEF's approach to capacity-building in humanitarian response.
8. **Monitoring and Evaluation:** UNICEF faces two main challenges regarding capacity building in the area of monitoring and evaluation in emergencies. The first is that the organization as a whole has a fairly weak M & E system with regards to learning strategies. The second is that they do not have the staff resources to do the kind of systematic follow-up required to ensure that the training is effective and that the trainees apply what they have learned at the country level. Consequently, this is an area that needs fairly immediate attention. In particular, there is a need to establish a consistent M & E system for learning strategies. At the country level there also remains a need to integrate M & E more consistently into overall emergency planning and response plans and follow-up actions. This topic is covered in the M & E training provided, but has not yet led to consistent results.
9. **Communications:** UNICEF appears to have developed an effective direct training course in communications. This now needs to be taken and applied at a global level as currently this learning is not very accessible outside of the WCARO region. Headquarters and the Regional Communications Officers also need to consider finding alternative learning strategies for their communications staff and to tap the successful experiences of COs that have developed tools and materials in communications and emergency on their own. This could include newsletters, a website on communications issues in emergencies, the development and circulation of case studies and lessons learned from other countries, and regular opportunities for meetings and exchanges where these issues could be discussed and shared. They should also make sure that staff are aware of the resources that do exist, especially those already on the intranet.
10. **Stress Management:** Stress management is an important part of any kind of emergency preparedness and response programme. UNICEF, with DFID support, has set in motion the initial stages of a stress management programme that is dependent upon training for its establishment on a global scale. Although the training and programme models selected appear to be effective and have a proven track record within the UN system, UNICEF has not allocated sufficient human or financial resources to institute either the training or the required follow-up process effectively on this global basis. The learning strategy being used to support the establishment of the PSV has been solely focused on training to date. Given that it does equip the trainees with the basic skills needed

to initiate elementary stress reduction measures in their offices, it also promotes learning as a shared responsibility. Feedback to date also indicates that the learning is effective.

In general, UNICEF appears to be developing a more coordinated response to emergency preparedness and response and an important part of this has been developing closer relationships with other agencies. Staff indicated that given the growing need for them to coordinate emergency activities, they would like to see a component on coordination skills included in the EPRT and other emergency-related training. UNICEF needs to consider developing a global policy that would support increased inter-agency training. Currently most initiatives are done on an ad-hoc basis, as it is not part of UNICEF strategy yet, so much is dependent upon the individual relationships that specific officers or representatives have developed in the countries or regions in which they work.

Computer-based learning has also been allocated significant programme funds. In many cases it has been perceived as a viable option to direct learning strategies. Nevertheless, informants have mentioned circumstances that (1). Impede the adoption of one or the other technological innovations; or (2). Prevent them or colleagues from taking full advantage of the many digitalized services that the programme has offered them. In most cases the major view was that there was no time to either learn new computer-based tools or to go through a web-or-CD-based course. From an organizational perspective, the lack of monitoring tools (with the notable exception of the security CD-Rom) and the limitations of UNICEF's IT system to evaluate the comparative advantages of direct versus computer-based learning has been a challenge.

All staff interviewed indicated that they have found on-the-job training to be effective. The participants of the three control focus groups the evaluation team conducted for staff who had not undergone the EPR training all demonstrated that they had been able to find diverse ways of learning what they needed to know about emergencies on the job. However, they showed considerably less confidence with regard to knowing exactly what their specific roles should be and in their ability to handle emergencies if they arose. Focus group participants in general indicated that experience in an emergency was the best learning strategy. Senior management also repeatedly stated that having prior emergency experience was an important factor in staff's ability to handle emergencies effectively. For this reason, despite the many constraints that appear to exist, they were also quite supportive of increasing the different types of opportunities for on-the-job training related to emergency work for staff.

Although UNICEF staff are quite interested in taking part in staff exchanges or deployments to other offices and despite the fact that senior managers see the value in this type of experience, there are also constraints to the establishment of an institution-wide on-the-job training programme within UNICEF. These constraints include:

- Representatives are reluctant to provide release time to the staff person concerned since there is no one to replace them during their absence.
- It is an expensive form of staff training as it involves both travel expenses and the payment of a DSA while the staff member is living in the exchange or deployment country.
- Some staff members hesitate to participate as either colleagues have to pick up their work during their absence or else they will have an even heavier workload upon their return.

In general, staff exchanges and deployments are a fairly strategic learning opportunity in that they build staff capacity in key areas where it is anticipated there will be future needs, use a shared responsibility approach, foster the view that learning is a part of UNICEF's culture, and offer a viable alternative to direct training.

UNICEF identified a clear need to support its staff in the development of emergency preparedness and response plans and through the DFID project made it possible for COs to have access to external facilitation of this process. The participatory and very country-specific nature of the planning process is both appreciated by staff and an effective way to introduce the key issues and processes to be considered. However, the follow-up in each country has been inconsistent and dependent to some extent

upon the interest and leadership of the Representatives. However, given the prevalence of this lack of follow-up, it is not possible to say that the problem does not lie with the process. The planning process is a dynamic one, but UNICEF clearly needs to build in a more effective follow-up process and accountability system to accompany the contingency planning process.

While UNICEF senior managers generally agree that it would be beneficial for them to establish mentoring and coaching programmes for some of their staff, they still need access to simple guidelines to assist them with this process. The one-on-one attention that more junior staff would receive from their managers in this type of relationship would certainly foster learning and skills and capacity development. It also may be that the provision of guidelines on mentoring and coaching with clear expectations, tips and lines of accountability would be sufficient to get a more systematic coaching and mentoring programme established within UNICEF. This process would support future capacity-building related to emergency mainstreaming if the guidelines also provided some insight and tips on key areas in which staff need to be coached related to working within the context of a humanitarian crisis.

In general, “lessons learned” activities – such as evaluations, field reviews and exercises – foster the view that learning is a part of UNICEF’s culture, represent a strategic learning opportunity in that they tap the actual experiences of individuals and country programmes within UNICEF, use a shared responsibility approach (when they are participatory), and offer a viable alternative to direct training. UNICEF would need to do more in terms of improving the quality of lessons learned activities, enhance its dissemination strategies and strengthen its ownership on this data.

UNICEF has made progress in the institutionalization of learning within the organization in that at least half of its COs now submit annual learning plans. OLDS has also recently elaborated a “Learning Road Map” which should be helpful for career-oriented and motivated staff who are interested in advancing within UNICEF to know what skills and competencies are required for positions at different levels of the organization. Nonetheless, there still needs to be greater pressure from the top levels of the organization to ensure that the remaining COs start to take the learning plan process seriously. The learning plan system also still puts too much onus on individual initiative. Given that staff feedback to the evaluation team indicates that they often feel guilty if they take “time off work” for training or other forms of learning, it is clear that the view that learning is an essential part of their work has not yet permeated the organization.

A fully institutionalized learning plan system could be highly strategic as it would help significantly in the allocation of resources for different types of learning throughout UNICEF. It also makes learning a shared responsibility as it is up to the COs to come up with a plan that meets their particular learning needs facilitating the ability of ROs and headquarters to respond to these needs. This process is also an important measure to help establish learning as a part of UNICEF’s culture.

The evaluation team and their UNICEF counterparts discovered significant challenges in the DFID-UNICEF Programme’s M & E system:

- The most basic information from the programme’s workshops (i.e. the list of participants) was not given a standardized format where important variables, consensually designated, would have been identified, inserted by organizing stakeholders, controlled by a responsible party and placed in a central database, with the potential to be then shared throughout the organization.
- The inhibited fluidity of information circulation presented some surprising situations: key informants would ask the evaluation team for data on workshops in their sectors. Causal factors were often attributed to decentralization practices (most key informants used this as a leitmotiv) and to a relative lack of accountability tradition. All of these factors could have been addressed through a consensual, light, form-sheet based monitoring system conveyed by a flexible communication protocol.
- With the noted exception of the EPR and PATH workshops, the beneficiary information was not processed or analyzed. To the team’s knowledge, the only analysis produced by OLDS for its

own purposes was targeted to the building of a network of suitable trainers in the core sectors. Not only does this limitation weaken the accountability process, both internally and externally, but it shrinks the foundation of all decision-making processes dramatically.

In terms of this evaluation, the most important result of the weak M & E system has been that it was not possible to obtain a complete picture of both the total number of workshops and the total number of participants.

A number of tools were designed to meet the information needs of the evaluation team. In the core survey, an internet-based data collection strategy was implemented and informants could fill in the questionnaires directly. A total of close to 1500 individuals were invited to participate. For sectoral surveys, the questionnaires were sent directly to the selected sample in a Word file and processed by UNICEF's EO. There was a high level of satisfaction expressed by informants concerning all types of workshops and the material offered. A majority felt they had achieved their learning goals. The online survey of core sectors indicated that the ToT workshops had yielded notable returns in terms of "graduates" participating in the training of others. Qualitative information produced in the online and the emailed questionnaires confirm a very significant number of opinions expressed by key informants in topics such as follow-up training, the advantages of staff exchange, and the urgent need to review Performance Evaluation Reports (PERs) in order to factor in participation in emergency learning opportunities.

## Recommendations

The learning strategy within the DFID-UNICEF programme has been so diverse in terms of breadth, range of topics, and themes that the evaluation team has had to formulate specific recommendations to cover both the general approach taken as well as the specific theme areas.

### General Recommendations Re Learning Strategies

#### Direct Training

Direct training is still the most effective way to train most UNICEF staff and it is appropriate for UNICEF and DFID to continue to allocate the majority of their capacity-building funds to this learning strategy. To make direct training more effective, UNICEF needs to:

1. Allocate sufficient resources to key areas of training required so that the regional offices can organize the number and types of workshops actually needed in any given year to develop and maintain core competencies in humanitarian assistance at the CO level.
2. Establish a core group of regional staff and external trainers with relevant experience for the EPRT course and for PATH. For the staff trainers, this work should be a fundamental part of their job description as opposed to an add-on for which they would need to seek release time. National staff should also be considered as candidates to become regional staff trainers depending upon their expertise and experience, with preference being given to national staff who are fairly senior and who have a training background and strong emergency knowledge.
3. Recognize the critical role of the Regional Emergency Officers in the success of the training process by including selection criteria related to their training experience and ability, and include accountability of REOs (and other regional officers) for capacity building related to humanitarian response.
4. In the long term, establish a small training support unit in each of the regional offices that would provide both training support and leadership in key areas as well as take on the monitoring and evaluation of regional learning strategies related to humanitarian response.
5. Invest in building the capacity of external regional trainers who can supplement the work and expertise of the staff trainers. The role of OLDS in this process would be to work with the ROs to help them identify, select and develop the core group of external regional trainers and to integrate the external and staff training teams.
6. Focus future training initiatives at the CO level to increase the numbers of staff who can access the training, with a particular emphasis on making different kinds of humanitarian response training accessible to national staff.
7. Call upon regional specialists in the ROs to serve as resource people only for selected trainings and do not rely on them to play the role of lead facilitator in multiple training sessions in any given year.
8. Provide additional resources to the HQ-based Programme Learning Group to help strengthen their capacity to coordinate UNICEF's various programme and emergency learning initiatives and to systematize UNICEF's approach to learning.

#### Training of Trainers (ToT)/Cascade Model of Training

9. Instead of developing a ToT system in which selected international staff are trained to serve as co-facilitators alongside the regional specialists, establish a core group of regional staff and external trainers as outlined in the Direct Training recommendations above. This would require UNICEF's making a commitment to establish a core team of external trainers and developing a longer-term institutional or contractual relationship with them as well as strengthening their understanding of

how UNICEF systems and programmes operate. It would also mean developing and working with a core group of UNICEF staff trainers who have access to senior management and part of whose role would be to become advocates of the training programme. Ideally, in any given training programme, there would be an internal UNICEF staff trainer and an external trainer with advanced training experience serving jointly as co-facilitators.

The rationale for this recommendation is that despite its great success in the ESARO region, the ToT model of training is not a particularly workable model for most of the other UNICEF regions. The evaluation process identified the following challenges with the ToT model:

- There is considerable wastage with only between 50 to 70 % of the ToT trainees going on to provide training to their colleagues for a variety of reasons.
- Staff trainers often have difficulty getting release time to lead training sessions outside of their CO and accommodations are not made so that this responsibility does not add to their workload.
- It takes a long time and a lot of coaching before staff trainers can function effectively as lead facilitators on their own.
- There are concerns about the dilution of the training materials by staff trainers who are not sector experts.
- Staff trainers often do not have the same degree of credibility and stature as a Regional or external specialist.
- UNICEF does not have an effective monitoring and evaluation system in place to follow-up on the ToTs.
- Staff trainers do not necessarily get career recognition for their additional training role.
- A ToT system requires a major commitment on the part of the regional specialists to serve as the lead facilitator and to provide the necessary follow-up support required for the staff trainers. While this contributes greatly to staff capacity-building in the region, it also means that the regional specialist has considerable less time to address other priority areas and can lead to regional staff burnout.

### **On-the-job Training**

**On-the-job** and other types of personnel field training such as **staff exchanges, mentoring and coaching** suffer from the very variable positions taken by country representatives. Therefore, there is a need for UNICEF to:

10. Address the diverse constraints that exist to these types of staff training by encouraging Representatives to both ask for help and to lend their staff to other countries in emergency situations, as has been done in the TACRO region. This encouragement could include acknowledgement and recognition in the PERs of Representatives who foster and promote increased staff exchanges.
11. Increase the resources and staff available to nurture and support greater implementation of on-the-job training strategies.
12. Have the DHR develop and disseminate tip sheets and guidelines on coaching and mentoring from the perspective of both the managers doing the coaching and mentoring and of the staff being coached.
13. Ask each sector/unit to develop and disseminate rosters of specialist coaches in emergency-related work as the Evaluation Office has done with their M & E “coaches” in crisis and unstable situations roster.

### **Lessons Learned**

Recommendations concerning lessons learned activities from visits to the field and from a review of core documents include:

14. Develop an evaluation report format that is user-friendly and short to make them more accessible to field staff and establish standards/benchmarks to ensure quality control of evaluations to maximize their learning potential.
15. Have the HQ Evaluation Office and the ROs circulate these evaluation reports widely by email or in hard copy format in addition to the current practice of just posting them on the intranet.
16. Continue preparing the evaluation briefs called "Hot Off the Press: Lessons from Evaluation" and sponsor "lessons learned exercises" as in Istanbul in October 2003 to review UNICEF's emergency preparedness in Iraq.
17. Promote "communities of practice" amongst staff on topics related to emergencies so that they can exchange experiences, learn from one another, and share information amongst themselves on a regular, informal basis. This can be at the regional level or across regions on operational or sectoral issues such as financing procedures, water and sanitation, education, etc. and could be included as a part of the 5% of staff time that they are supposed to allocate to training and learning with the support of their Representatives.

### **Computer-based Training**

18. In order to make computer-based training more effective, make the most important cross-cutting issues in emergencies such as PATH, HIV/AIDS, and Child Protection mandatory for all with a set protocol for going through the training and receiving recognition/certification, and strengthen the PER process so as to motivate staff more.
19. Increase collaboration between IT and OLDS to support the roll-out of e-learning courses.

### **Learning Plan Systems**

UNICEF must achieve a greater level of institutionalization of its learning plan system. To do this, the organization needs to:

20. Ensure that there is a systematic review of each staff member's learning goals each year as part of their performance review and supervisory process. Develop and implement HR policy and practice that would support and recognize these efforts.
21. Ensure that emergency learning needs are considered and integrated into CO learning plans everywhere.
22. Ask OLDS to enforce the annual submission of CO learning plans by all countries and give them the authority to do so.

### **Inter-agency Training**

23. Develop a global policy that would support increased inter-agency training on EPRT, PATH, child protection, HIV/AIDS and M & E within emergency contexts.

### **Leadership**

24. Foster increased leadership and vision in capacity building related to humanitarian response by UNICEF senior management at the field level by establishing clear institutional rewards and incentives through HR policies and practices and through senior management at the HQ and ROs levels, making it clear that this is an institutional priority and commitment.
25. Make the institution and senior management, in particular, more accountable for building staff capacity in emergencies by establishing a system that holds Heads of Offices accountable for training (and HQ/ROs in their support of this endeavour).

## Specific Training Themes

### EPRT

UNICEF staff interviewed have offered insights on how to improve **EPRT** and recommended:

26. Focus more of the future EPRT workshops at the CO level so that entire offices can participate and in order to increase the accessibility of the training for national staff. Ensure that the Country Representatives and Senior Programme Officers (SPOs) participate in the training.
27. Increase the funds/resources available for the EPRT sessions so that more of them can include full simulations as this methodology has proven to be quite effective in getting staff to understand the different requirements, attitudes and skills needed in an emergency situation.
28. Make the EPRT workshops accessible to UNICEF partners (government and NGO) at the CO level.
29. Invest in on-going training for new training staff in EPRT (refer to recommendation 2 under Direct Training).
30. Allocate the primary responsibility for the EPRT workshops to a core group of regional staff and external trainers as opposed to this remaining primarily the responsibility of the Regional Emergency Officers.
31. Integrate core elements of the EPRT into the PPP training.
32. Include codes of conduct related to child protection for UNICEF staff in the existing EPRT child protection modules.
33. Develop a management focused version of EPRT for Representatives and SPOs and make this a mandatory part of their training.

### PATH

Recommendations from the field and from the Baastel Evaluation Team on PATH include the following:

34. Assign a designated central liaison person/coordinator for PATH in the field at the regional level to head the regional training team. The role of this coordinator would also be to push the learning forward, to communicate with the training team and get their feedback, to share learning and new materials, and to promote cross-learning and exchanges about their training experiences.
35. Capture lessons from regional and country initiatives by writing up case studies and lessons learned reports. This role could be taken on by the regional training teams and the materials produced exchanged among the regions with assistance from OLDS.
36. Ask OLDS to follow progress on ESARO's plans to incorporate elements of PATH into the EPR course as well as the Nepal CO's efforts to offer topics gradually to their colleagues in sub-offices and to assess if these are effective adaptations of the course that should be shared with other ROs.
37. Ask OLDS to capture concrete examples of where and how PATH training has been helpful for UNICEF staff, such as in Nepal, to both provide valuable and creative lessons for other regions and country offices and to help dispel the notion that PATH is too theoretical or unrelated to UNICEF's programmes.
38. Consider making a summarized version of the PATH training compulsory for all staff in a similar format to that offered by the Security CD-Rom.
39. For countries that experience frequent emergencies, offer the full course at the CO level.

40. Set up an on-line training programme for PATH similar to the UNHCR web-based training in child protection in countries where emergencies are less frequent. In this model, staff who elect to follow the self-directed course agree to complete it by a certain date and then participate in either a regional or country level meeting to reflect on important issues, discuss the relevance for their context, and consider the implications for their work.
41. Continue to introduce PATH topics at other fora such as Senior Leaders workshops and Regional Management Team meetings so as to continue the dissemination and mainstreaming process and to get senior staff “buy-in” and support.
42. Have senior management at the HQ and Regional levels advocate to the CO management about the need for field staff to be trained about international legal and ethical standards and the relevance of this to the human rights based approach to programming that UNICEF is supposed to be following.

### **Health and Nutrition**

43. Allocate sufficient funds and human resources to run at least one session of the Health and Nutrition course per region per year.
44. Work with OLDS and the ROs to determine if it is feasible to transfer the external training function for the H & N course to regional institutions and if so, develop a plan to transfer this responsibility and role to these external organizations.
45. Have the Regional Health and Nutrition Officers work with the external training teams to provide internal expertise and to serve as co-facilitators since the course will not be offered several times in the course of a year.

The **H&N** workshops have been built on the mobilization of very high level expertise in the field and it appears that the training is effective and a shared responsibility. The challenges that remain are to find ways to make the Health and Nutrition in Emergencies training more accessible and strategic. However, the programme needs a new champion at the Headquarters level to help develop a realistic delivery strategy and to help make its implementation more cost effective, systematic, and consistent.

### **Education**

In the education in emergencies sector, it is recommended that UNICEF:

46. Provide a series of learning options to build education staff capacity, including direct training, on-line training, increased access to staff exchanges and lessons learned materials.
47. Ask ROs to give priority to working with CO level Education Officers near or during the crisis to provide on- the-job training.
48. Foster increased opportunities at the RO level to exchange experiences and lessons learned at the CO level.
49. Use both the EPRT, and sector-specific training to increase staff understanding that re-establishing children’s education is an essential part of humanitarian response.
50. Make the education in emergencies training as hands-on as possible to help develop the Education Officers’ confidence so that they no longer see emergency as a difficult thing, but rather as something that they can handle.
51. Integrate a gender perspective into education staff training to help support UNICEF’s organizational priorities of increasing girls’ access to education and to help them address issues such as female teachers’ not being able to attend the teacher training because of their family responsibilities.

52. Integrate modules on how to coordinate the roles of the Child Protection and Education Officers in an emergency situation in education and child protection training related to humanitarian response. One way to do this might be to hold concurrent training sessions in which at least one day of the training session is targeted towards a mixed group of Education and Child Protection Officers.

### **HIV/AIDS**

53. Ask the **HIV/AIDS** section to take stock and look at the experience of the other direct training initiatives conducted through the auspices of this project since they are about to initiate training workshops at the regional level.
54. Increase the access of CO and national staff, in particular, to HIV/AIDS in emergencies training. Given that the HIV/AIDS workshops are only one day long, this workshop could be delivered fairly readily to the entire CO staff or, at the very least, a significant number of personnel at this level.
55. Build a critical mass of UNICEF staff who understand the key issues involved in HIV/AIDS in emergencies to contribute to the mainstreaming of this issue within UNICEF and to help staff understand that HIV/AIDS in and of itself constitutes a humanitarian crisis.

### **Mine Action**

56. Develop one-day training sessions on mine action that could be delivered at the CO level to significantly increase the number of UNICEF personnel who understand the key issues related to mine action.
57. Provide the more in-depth training at the CO level in countries where landmines are a significant issue.

### **Child Protection**

For future capacity-building initiatives, child protection staff and the Evaluation Team recommend the following:

58. Give a strong priority in UNICEF's future training budget allocations to the development of a training package for Child Protection in Conflicts. This package should be set up with modules that could be tailored for different country situations and include core issues that should be covered in every workshop, such as legal instruments, protective environments, core principles and policies, and child psychology. More specific modules could be included or dropped depending on the specific circumstances of the country on the themes of child soldiers, sexual exploitation, child protection in situations of demobilization, disarmament and rehabilitation (DDR), child labor, the mapping of child protection networks and the establishment of systems to monitor and evaluate child rights violations, etc.
59. Ensure that there is a linkage between emergency and non-emergency conditions in training and learning materials.
60. Institute a mentoring program to support the development of effective Child Protection Officers.
61. Ask the Child Protection section to take leadership in the development of child protection training and resource materials that have a cross-cutting approach that their partners could use and which emphasize the use of inter-agency models.

## **Monitoring and Evaluation**

The most significant challenge that UNICEF needs to meet in the near future is to build an accountability culture, just as it has tried and, in many sectors succeeded, in building a learning culture. The Capacity-Building programme in Humanitarian Response currently has a very weak **M&E** system which is not able to sustain a decision-making process during its life-cycle nor is it able to measure and ascertain the real extent of the programme's reach. Therefore UNICEF needs to:

### *Monitoring and Evaluation Systems*

62. Establish a systematic and effective monitoring and evaluation process to document the progress and effectiveness of learning programmes at both the HQ and RO levels.
63. Establish emergency indicators for the CCCs and develop an M & E focused rapid assessment process.

### *Direct Training*

64. Strengthen UNICEF's approach to **M & E in Crisis and Unstable Contexts** learning by providing ROs with sufficient facilitation resources so that they can offer this training at least once a year per region.
65. Build the capacity of local organizations by working with private firms, NGOs, research institutes or universities to deliver the M & E in Emergencies training as one way to increase coverage of the training as well as to get them to do the follow-up and to provide the facilitative oversight.
66. Update M & E in Crisis and Unstable Contexts training every two years by having headquarters ask everyone who has used the training materials to send in their adaptations and case studies for a consultant to compile. This will provide everyone with good regional examples as well as provide a diversity of effective training approaches that have already been tested.
67. Integrate UNICEF's new institutional focus on Results-Based Management (RBM) into the M & E in Crisis and Unstable Contexts training package.

### *Alternative Learning Strategies*

68. Set up more team visits of Regional Emergency and M & E Officers to COs so that they can work together with the CO staff and encourage the COs to reflect on different aspects of emergency (in effect, modeling effective teamwork between Emergency and M & E staff) and to strengthen the synergy between M & E and Emergency Officers.
69. Foster ad hoc learning from trip reports by asking CO level Emergency and M & E Officers to send copies of their reports to their respective ROs. The compilation of the lessons learned and background information could be done by the additional trainers allocated to provide the M & E training and distributed to all relevant COs.

## **Communications**

70. Hold an increased number of communications in emergencies workshops at the regional level (at least one per region per year) to build capacity of CO level communications officers.
71. Develop new tools, such as newsletters, a website on communications issues in emergencies, case studies and lessons learned from other countries to distribute at the CO level.
72. Provide regular opportunities for meetings and exchanges where communications in emergencies issues could be discussed and shared.

## **Stress Management**

73. Make the stress management PSP/PSV programme more sustainable by expanding the peer networks in the regional and country offices.

74. Make it possible for HQ and the ROs to monitor the rise of stress-producing situations that could affect UNICEF staff more closely through the second phase of the PSV programme by making additional resources available.
75. Explore alternative learning strategies and tools that could be developed to support this programme, the PSVs and the staff members who take advantage of this service.
76. Give priority to providing additional support for the follow-up and counseling services provided from headquarters.

### **Contingency Planning**

77. Establish a more consistent follow-up and accountability system for the development and implementation of effective contingency plans at the CO level from the RO and HQ levels.
78. Foster increased interest and leadership on the part of Representatives in establishing effective contingency planning processes by a proactive agency policy to expand these topics in the senior management training curriculum and establish evaluation criteria for performance reviews on EPRP activities of Representatives.

## Résumé analytique

En 1998, l'UNICEF a décidé d'améliorer son état de préparation aux situations d'urgence et a pu obtenir des fonds du DFID pour financer ce processus. La première phase du programme financé par le DFID cherchait à appliquer aux mesures d'urgence de l'UNICEF les résolutions internationales adoptées à l'encontre des enfants dans les situations de crise. La phase II avait pour objectif général d'améliorer la capacité de l'UNICEF à réagir avec efficacité, fiabilité et à point nommé aux besoins des enfants et des femmes en situation d'urgence. Des huit objectifs identifiés, l'objectif numéro 4 traitait des besoins d'apprentissage de l'organisation en améliorant les compétences du personnel pour le plaidoyer et le soutien programmatique et opérationnel dans les urgences, et en reflétant l'approche de la programmation fondée sur les droits humains et le cadre normatif qui sont ceux de l'UNICEF. L'objectif de l'évaluation mise en œuvre par l'équipe de Baastel était de faire le bilan des efforts déployés par l'UNICEF pour renforcer les compétences du personnel en matière de réaction humanitaire en mettant en œuvre un processus d'apprentissage au cours de cette phase.

Cette évaluation s'est fondée sur trois ensembles de critères de jugement. Le premier traite de la manière dont les différentes stratégies d'apprentissage ont contribué au processus d'intégration. Le second ensemble de critères évalue si ces stratégies d'apprentissage sont conformes aux bonnes pratiques identifiées par l'Ecole des cadres du système des Nations Unies (UNSC) pour faciliter le développement d'une culture de l'apprentissage qui conduise à l'amélioration des capacités de gestion et des performances de l'organisation. Le troisième concerne l'impact réel des stratégies d'apprentissage utilisées sur les performances de l'UNICEF et sa capacité de préparation et de réaction aux crises humanitaires.

Les stratégies d'apprentissage identifiées sont les suivantes :

1. Apprentissage direct (ateliers sur le contenu et ateliers de formation de formateurs, apprentissage interorganismes)
2. Apprentissage Internet et apprentissage à distance (cours par Internet, sites Intranet et CD-Roms)
3. Formation sur le tas (échanges et déploiement de personnel, encadrement et supervision)
4. Enseignements tirés
5. Processus de planification des impondérables
6. Plans d'apprentissage

Les critères d'évaluation utilisés dans ce rapport se fondent sur une identification des compétences et des connaissances que le personnel doit acquérir pour être en mesure d'intégrer les urgences avec efficacité. Il s'agit en particulier :

1. de connaître les mandats d'orientation de l'UNICEF en relation avec la préparation et la réaction aux crises humanitaires ;
2. d'être en mesure de se préparer aux crises humanitaires et d'y réagir ;
3. d'être au fait des responsabilités individuelles et institutionnelles dans la préparation et la réaction aux crises humanitaires ;
4. d'avoir les qualités de leadership nécessaires pour fournir une vision claire dans la préparation et la réaction aux crises humanitaires.

Les stratégies d'apprentissage élaborées par le biais du programme de coopération entre l'UNICEF et le DFID ont autant porté sur le changement d'attitude du personnel envers les urgences que sur le développement de compétences spécifiques. La stratégie d'apprentissage principale utilisée par l'UNICEF dans ce projet a été la formation directe, et une portion non négligeable des ressources du projet a été affectée au financement d'ateliers portant sur divers sujets ayant trait aux urgences. Les deux programmes de formation élaborés par le biais du projet ont été la formation sur l'état de préparation et de réaction aux situations d'urgence (EPR) et « une démarche à principes pour l'action humanitaire »

(« PATH »). Voilà les deux formations directes qui étaient offertes à l'UNICEF sur une base quasiment mondiale.

L'UNICEF a offert des formations directes sur les urgences de trois façons différentes. La **première** a été de mettre en place des formations de formateurs (ou système en cascade) dans lesquelles un groupe d'employés de l'UNICEF est formé à la fois au sujet traité et aux techniques d'animation, puis doit aller en former d'autres aux niveaux du bureau national ou du bureau régional. Cette approche est relativement rentable, peut éventuellement avoir un impact plus vaste, et a des racines plus profondes dans le contexte local. Il est vrai qu'elle nécessite un suivi plus important, qu'elle peut se solder par une dilution de l'information au cours du transfert des connaissances, et qu'elle représente une charge de travail supplémentaire pour le personnel. Les employés de l'UNICEF qui deviennent formateurs sont censés continuer à accomplir leurs tâches habituelles en plus de celles qui leur échoient de par leurs nouvelles responsabilités de formateurs.

La **deuxième** était de faire venir des formateurs ou des experts sectoriels du Siège, de la région ou d'organisations extérieures et de leur faire assurer des formations à des participants provenant des niveaux régional et national. Une formation régionale entraînait généralement que le bureau régional demandait à chaque bureau national de la région d'envoyer un participant prendre part aux séances de formation, qui se tenaient habituellement une fois par an, et quelquefois une fois tous les deux ans. Ces participants étaient alors censés répercuter leurs connaissances sur leur collègues à leur retour, quoique d'une façon plus informelle que pour la formation de formateurs. Toutefois, la contrainte la plus importante qui affecte cette approche demeure son coût. A ce jour, l'UNICEF n'a pas été en mesure de maintenir en place un seul de ses programmes sectoriels d'urgence (santé et nutrition), en partie à cause de cette question de coût. Pour que le modèle d'animation extérieure fonctionne, l'UNICEF devrait donc accroître de façon significative le pourcentage de son budget normal de fonctionnement qu'il affecte à la formation, et recourir davantage aux institutions locales.

Le gros du financement du DFID a été consacré à la formation directe sous forme d'ateliers, qui ont couvert un vaste éventail de sujets liés aux urgences.

- 1. Formation EPR :** Dans ce secteur, il apparaîtrait que les objectifs clés soulignés dans le manuel de formation ont été atteints. La formation EPR a aussi contribué de façon significative à la compréhension par les employés de ce qu'est leur rôle individuel dans les urgences et, à ce titre, elle a beaucoup fait pour faciliter le processus d'intégration des urgences au sein de l'UNICEF. Ceci étant, le changement qui a le plus frappé l'équipe d'évaluation a été l'amélioration de la compréhension et de la communication entre le personnel des opérations et celui de la programmation, et leur compréhension croissante que chacun est à présent responsable de plus d'un aspect de la préparation et la réaction aux urgences. Un facteur très important de ce succès a été l'excellente qualité, la valeur concrète et la nature interactive du matériel de formation. Un leadership régional fort avec un soutien appuyé de la Section de l'apprentissage et du développement organisationnels (« OLDS ») a également été un facteur déterminant. La formation EPR a été accessible, efficace, la responsabilité en a été partagée, et elle a contribué à donner à l'apprentissage une place plus grande dans la culture de l'UNICEF. Une fois menée à terme au niveau des bureaux nationaux, elle a également eu une valeur stratégique dans la mesure où il a été relativement aisé d'établir le lien entre la formation et le processus EPR qui suivait. Là où la formation a le mieux marché, c'est lorsqu'il y a eu un engagement fort et visible de l'administration au niveau du bureau national sur la question que l'on était en train d'intégrer.
- 2. Démarche PATH :** Les réactions indiquent que la démarche PATH est une expérience d'apprentissage dynamique, constructive et utile pour les participants. Beaucoup de temps et d'efforts ont été consacrés à l'élaboration du cours ; l'excellente qualité du matériel et la créativité des techniques de formation attestent de cet investissement. L'impression subsiste parmi certains membres du personnel que ce cours ne s'applique pas aux situations d'urgence et qu'il est par trop théorique, mais les bureaux extérieurs s'efforcent de l'adapter pour le rendre plus concret et applicable à leur situation propre.

- 3. Santé et nutrition** : Avec le soutien du DFID, l'UNICEF a investi des montants considérables dans l'élaboration d'un cours à base technique de haut niveau sur la santé et la nutrition dans les situations d'urgence. L'organisation n'a toujours pas à elle seule la capacité nécessaire pour élaborer ou pour dispenser ce niveau de formation de façon interne. C'est toutefois un type de formation onéreux et l'UNICEF n'a donc pas continué à le financer, et ce en dépit de l'excellente qualité du matériel utilisé. Les messages qui émanent du Siège sur ce cours sont ambigus, et il n'y a pas une vision claire de ce que l'UNICEF veut en faire dans l'avenir. Si le coût de cette formation est trop élevé dans le long terme, l'UNICEF devrait envisager d'investir dans le développement des capacités des institutions locales qui, dans les différentes régions, ont les compétences et l'expérience qui conviennent.
- 4. Education** : L'approche de l'UNICEF dans le secteur de l'éducation en situation d'urgence consiste à se concentrer sur la formation des professeurs, de manière à ce que ces derniers ou des auxiliaires du corps enseignant puissent aider les enfants à en revenir à un environnement d'apprentissage normalisé aussitôt que possible. Pour le faire avec efficacité, l'organisation a recours à une approche « formation de formateurs » qui nécessite le soutien d'un processus de suivi plus systématisé. L'élaboration de ce système de suivi aiderait aussi l'UNICEF à assurer le suivi de l'impact à court et à moyen terme de sa réaction d'urgence dans le secteur de l'éducation, et à communiquer les réactions observées aux responsables de l'éducation à l'UNICEF.
- 5. VIH/SIDA** : L'approche de l'UNICEF sur la question du VIH/SIDA dans les urgences est directement liée au travail de l'équipe spéciale inter-organisations, et partiellement le fruit de la coordination des efforts à ce niveau. Compte tenu de l'apparition relativement récente du VIH/SIDA et de la réaction encore plus récente de l'UNICEF à cette pandémie, tout ce qui se fait dans ce secteur est assez nouveau et demande des facultés d'innovation considérables. Bien que cela soit positif dans la mesure où cela signifie que l'UNICEF a mis au point une approche coordonnée des stratégies d'apprentissage dans ce secteur, cela signifie aussi que l'organisation, jusqu'à une période assez récente, n'a pas été en mesure de mettre en œuvre des initiatives pertinentes de développement des capacités. Enfin, cela veut dire qu'il est trop tôt pour qu'on puisse évaluer l'impact réel sur le personnel de l'UNICEF des efforts fournis pour développer les capacités. Il est toutefois clair que les progrès réalisés à ce jour et la participation active de l'UNICEF à l'équipe spéciale inter-organisations n'auraient pas été possibles sans le soutien du DFID.
- 6. Action antimines** : L'approche adoptée par la section antimines du Bureau des programmes d'urgence vis-à-vis du développement des capacités est d'un type qui pourrait servir de modèle à l'UNICEF tout entier. Elle a débuté par une stratégie et un cadre généraux, a élaboré toute une gamme de stratégies et d'options d'apprentissage et y a intégré un processus de S-E systématique et les moyens de s'assurer que ses initiatives de développement des capacités seront durables dans l'avenir. Cela a été possible en partie à cause de la vision du personnel dirigeant cette section, et en partie aussi parce que ce secteur de l'intégration des urgences a été bien financé depuis le tout début du programme. La méthode d'apprentissage utilisée a été mise en place dans une optique stratégique et comme une responsabilité partagée. De tous les cours que l'équipe d'évaluation a passés en revue, c'est aussi celui qui s'est mis en devoir de prouver qu'un apprentissage était davantage qu'une formation. Les réactions enregistrées à ce jour sur le terrain indiquent également qu'il est efficace et que, en raison des consignes et normes qu'il a établies et diffusées, il est aussi durable.
- 7. Protection de l'enfance** : L'UNICEF n'a pas fourni de soutien important au développement des capacités de son personnel sur le terrain dans le domaine de la protection de l'enfance avec le projet du DFID. La plus grande partie du financement mis de côté pour la protection de l'enfance a été débloquée pour couvrir les coûts d'un membre du personnel à plein temps et d'un consultant. Ces ressources humaines, avec la meilleure volonté du monde, ont été impuissantes à faire beaucoup plus que gérer les crises qui ont éclaté dans la protection de l'enfance ces trois dernières années. Le résultat a été que le personnel sur le terrain, surtout au niveau des bureaux régionaux, a dû mettre au point lui-même son matériel de formation et d'apprentissage afin de soutenir le personnel et les partenaires de l'UNICEF au niveau des bureaux nationaux. Parce que la protection de l'enfance est à la fois un secteur relativement nouveau et extrêmement sensible au sein de

l'UNICEF, ceci représente une énorme lacune dans l'approche de l'UNICEF vis-à-vis du développement des capacités dans la réaction humanitaire.

8. **Suivi et évaluation** : L'UNICEF doit faire face à deux défis majeurs dans le secteur du suivi et de l'évaluation dans les urgences. Le premier est que l'organisation dans son ensemble dispose d'un système de S-E assez faible pour ce qui est des stratégies d'apprentissage. Le second est qu'elle ne dispose pas des ressources en personnel nécessaires pour effectuer le type de suivi systématique qui est requis pour s'assurer que la formation est efficace et que les stagiaires appliquent au niveau du pays ce qu'ils ont appris. C'est par conséquent un secteur qui a besoin qu'on se penche assez rapidement sur lui. Il est en particulier important que soit établi un système de S-E cohérent pour les stratégies d'apprentissage. Au niveau des pays, le besoin subsiste également d'intégrer le S-E de façon plus cohérente dans la préparation générale de l'état d'urgence, les projets de réactions et les actions de suivi. Ce sujet est couvert par la formation au S-E qui est dispensée, mais n'a pas encore conduit à des résultats durables.
9. **Communications** : Il apparaît que l'UNICEF a mis au point un cours de formation directe dans les communications qui fonctionne bien. Il convient à présent de le transposer au niveau mondial car cette formation est actuellement très peu accessible en dehors de la région d'Afrique de l'Ouest et du Centre. Les agents chargés des communications au Siège et dans les régions doivent également envisager de trouver des stratégies d'apprentissage alternatives pour leur personnel et puiser dans les expériences réussies des bureaux nationaux qui ont mis au point tout seuls des outils et du matériel de communications et d'urgence. Cela pourrait consister en bulletins, en un site Internet sur les problèmes qui affectent les communications dans les urgences, l'élaboration et la diffusion d'études de cas et d'enseignements tirés d'autres pays, et des occasions régulières de réunions et d'échanges pour discuter de ces questions et s'en faire part mutuellement. Les agents chargés des communications devraient également s'assurer que le personnel est au fait des ressources qui existent, et spécialement de celles qui sont déjà sur l'Intranet.
10. **Contrôle du stress** : Le contrôle du stress est une partie importante de tout programme de préparation et de réaction aux urgences. L'UNICEF, avec le soutien du DFID, a mis en route les stades initiaux d'un programme de gestion du stress dont la généralisation à l'échelle mondiale repose sur une formation. Bien que les modèles de formation et de programme choisis paraissent efficaces et bénéficient d'un palmarès éprouvé dans le système des Nations Unies, l'UNICEF n'a pas affecté des ressources financières et humaines suffisantes pour instituer de manière efficace soit la formation, soit le processus de suivi requis sur cette base mondiale. La stratégie d'apprentissage utilisée pour renforcer l'établissement d'un système d'entraide basé sur des formateurs bénévoles a porté exclusivement sur la formation à ce jour. Compte tenu du fait qu'elle équipe bel et bien les stagiaires des compétences de base requises pour initier des mesures élémentaires de réduction du stress dans leur bureau, elle appuie également l'idée que l'apprentissage est une responsabilité partagée. A ce jour, les réactions observées indiquent aussi que cet apprentissage est efficace.

En général, l'UNICEF semble élaborer des mesures plus coordonnées sur l'état de préparation et de réaction aux urgences, qui consistent en grande partie à développer des relations plus étroites avec d'autres organismes. Le personnel a indiqué que, compte tenu du besoin croissant qui est le sien de coordonner les activités des urgences, il voudrait bien voir inclure une composante sur les compétences de coordination dans la formation à l'état de préparation et de réaction aux situations d'urgence et autres formations connexes. L'UNICEF doit songer à élaborer une politique globale qui soutienne davantage de formations interorganismes. Actuellement, la plupart des initiatives sont prises sur une base ponctuelle car cela ne fait pas encore partie de la stratégie de l'UNICEF, et tant de choses dépendent encore des relations individuelles qu'ont développées des fonctionnaires ou des représentants particuliers dans les pays ou les régions où ils travaillent.

L'apprentissage par ordinateur s'est lui aussi vu attribuer des fonds de programmation importants. Dans bien des cas, il a été considéré comme une option viable par rapport aux stratégies d'apprentissage direct. Les personnes interrogées ont toutefois mentionné des circonstances : (1) qui entravent l'adoption

d'une innovation technologique ou d'une autre ; (2) qui les empêchent ou empêchent leurs collègues de tirer pleinement parti des nombreux services numérisés que le programme leur offrait. Dans la plupart des cas, l'opinion prédominante était qu'on n'avait pas le temps d'apprendre à utiliser de nouveaux outils informatiques ou de suivre un cours sur l'Internet ou par CD-Rom. D'un point de vue organisationnel, le manque d'outils de suivi (avec l'exception notable du CD-Rom sur la sécurité) et les limitations du système de technologies de l'information de l'UNICEF dans l'évaluation des avantages comparés de l'apprentissage direct et de l'apprentissage par ordinateur ont posé problème.

Tous les employés interrogés ont indiqué qu'ils avaient trouvé efficace la formation sur le lieu du travail. Les participants des trois groupes de discussion témoins constitués par l'équipe d'évaluation pour le personnel qui n'avait pas suivi de formation sur la préparation et la réaction aux urgences ont tous démontré qu'ils avaient trouvé divers systèmes pour apprendre ce qu'ils devaient savoir sur les urgences au travail. Il ont toutefois montré beaucoup moins d'assurance quand il s'agissait de savoir exactement ce que devraient être leurs rôles spécifiques et de déterminer leur capacité à gérer une urgence si elle éclatait. Les participants des groupes de discussion en général ont indiqué que dans une urgence l'expérience était la meilleure stratégie d'apprentissage. Les cadres de direction ont aussi déclaré à maintes reprises qu'une expérience des urgences était un facteur important dans la capacité qu'a le personnel de les gérer avec efficacité. C'est pour cette raison qu'en dépit des nombreuses contraintes qui semblent exister, ils étaient assez d'accord pour multiplier les différents types d'occasions de former sur le tas le personnel aux activités ayant trait aux urgences.

Bien que les employés de l'UNICEF soient assez intéressés à prendre part aux échanges ou déploiements de personnel dans d'autres bureaux et en dépit du fait que les cadres de l'organisation voient bien l'intérêt de ce type d'expérience, il existe également des contraintes qui affectent l'établissement d'un programme de formation sur le lieu du travail à l'échelle de l'institution. Ces contraintes sont les suivantes :

- Les représentants sont réticents à libérer le personnel concerné car il n'y a personne pour le remplacer en son absence.
- C'est un type de formation onéreux car il met en jeu à la fois des frais de déplacement et le paiement d'une indemnité journalière de subsistance pendant que le personnel concerné vit dans le pays avec lequel l'échange ou le déploiement de personnel a été conclu.
- Certains membres du personnel hésitent à participer pour la raison suivante : soit leurs collègues doivent faire leur travail pendant leur absence, soit leur charge de travail sera encore plus lourde à leur retour.

En général, les échanges et déploiements de personnel sont une possibilité d'apprentissage assez stratégique dans la mesure où ils développent les capacités du personnel dans les secteurs clés où des besoins devraient se faire jour dans l'avenir, recourent à une approche de responsabilité partagée, développent la vision selon laquelle l'apprentissage fait partie de la culture de l'UNICEF et offrent une alternative viable à la formation directe.

L'UNICEF a clairement identifié le besoin de soutenir son personnel dans l'élaboration de plans de préparation et de réaction aux urgences et, par le biais du projet du DFID, a permis aux bureaux de pays d'avoir accès à une animation extérieure de ce processus. La nature participative et très spécifique à chaque pays du processus de planification est une façon à la fois appréciée par le personnel et efficace d'introduire les questions et processus fondamentaux à considérer. Toutefois, le suivi de chaque pays a été inégal et livré dans une certaine mesure à l'intérêt et au leadership du représentant, et compte tenu de la prévalence de ce manque de suivi, il n'est pas possible de dire que le problème n'incombe pas au processus même. La planification est un processus dynamique, mais l'UNICEF a clairement besoin d'édifier une procédure de suivi et un système de responsabilisation plus efficaces pour accompagner le processus de préparation aux impondérables.

Bien que les cadres de l'UNICEF s'accordent généralement à dire qu'il leur serait bénéfique de mettre en place des systèmes d'encadrement pour certains de leurs employés, ils doivent néanmoins avoir accès à des consignes pour les aider dans ce processus. L'attention personnelle que la plupart des employés de

premier échelon recevraient de leur chef de service dans ce type de relation favoriserait sans aucun doute l'apprentissage et le développement des compétences et des capacités. Il se peut aussi que fournir des consignes sur l'encadrement avec des attentes, tuyaux et échelles de responsabilités clairs soit suffisant pour faire mettre en place un programme d'encadrement plus systématique au sein de l'UNICEF. Ce processus favoriserait le développement ultérieur des capacités liées à l'intégration du thème des urgences si les consignes fournissaient également des renseignements et des tuyaux sur les secteurs fondamentaux dans lesquels le personnel doit être encadré pour ce qui est du travail qui doit être effectué dans le contexte d'une crise humanitaire.

En général, les activités ayant trait aux « enseignements tirés » (évaluations, examens et exercices sur le terrain) renforcent l'idée selon laquelle l'apprentissage fait partie de la culture de l'UNICEF, représentent l'occasion d'un apprentissage stratégique dans la mesure où elles puisent dans l'expérience réelle d'individus et de programmes de coopération de l'UNICEF, recourent à une approche de responsabilité partagée (lorsqu'elles sont participatives) et offrent une alternative viable à l'apprentissage direct. L'UNICEF devrait en faire davantage dans le secteur de l'amélioration des activités ayant trait aux enseignements tirés, développer ses stratégies de diffusion et renforcer son appropriation de ces données.

L'UNICEF a fait des progrès dans l'officialisation de l'apprentissage au sein de l'organisation, dans la mesure où au moins la moitié de ses bureaux nationaux soumettent actuellement des plans d'apprentissage annuels. La section « OLDS » a aussi élaboré récemment une « carte de l'apprentissage » qui devrait être utile au personnel motivé et soucieux de sa carrière qui souhaite avoir de l'avancement à l'UNICEF, en lui signalant les compétences et habiletés qui sont requises pour des postes aux différents niveaux de l'organisation. Néanmoins, une pression plus importante est encore requise aux échelons supérieurs pour s'assurer que les autres bureaux nationaux commencent à prendre le processus du plan d'apprentissage au sérieux. Le système du plan d'apprentissage place également un fardeau trop important sur l'initiative individuelle. Compte tenu du fait que les réactions du personnel à l'équipe d'évaluation indiquent qu'il se sent souvent coupable de « prendre congé » pour se former ou se livrer à d'autres formes d'apprentissage, il est clair que l'opinion selon laquelle l'apprentissage est une partie essentielle de leur travail ne s'est pas encore généralisée dans l'organisation.

Un système de plan d'apprentissage totalement officialisé pourrait revêtir un grand intérêt stratégique car il aiderait beaucoup pour l'affectation des ressources destinées aux différents types d'apprentissage dans tout l'UNICEF. Il fait également de l'apprentissage une responsabilité partagée car c'est aux bureaux nationaux d'élaborer un plan qui réponde à leur besoins d'apprentissage particuliers et facilite l'aptitude des bureaux régionaux et du Siège à y remédier. Ce processus est aussi une mesure importante qui contribue à instituer l'apprentissage comme partie intégrante de la culture de l'UNICEF.

L'équipe d'évaluation et ses homologues de l'UNICEF ont découvert des problèmes importants dans le système de S-E du programme DFID-UNICEF :

- Les informations les plus élémentaires sur les ateliers du programme (par ex. la liste des participants) ne se sont pas vu attribuer une présentation standardisée où les importantes variables désignées de façon consensuelle soient identifiées, classées par ordre de protagoniste organisateur, contrôlées par une partie responsable et placées dans une base de données centrale, avec la possibilité d'être alors consultées par toute l'organisation.
- L'inhibition de la circulation d'une information fluide a donné certaines situations surprenantes : certaines personnes clés qui ont été interrogées demandaient à l'équipe de l'évaluation des renseignements sur des ateliers organisés dans leur secteur. Des facteurs de causalité ont été souvent attribués aux pratiques décentralisatrices (c'est revenu comme un leitmotiv chez la plupart des gens) et à une relative absence de tradition de responsabilisation. Tous ces facteurs auraient pu être abordés par le biais d'un système de suivi consensuel léger présenté dans une fiche formulaire type et communiqué sous forme d'un protocole de communication souple.

- Avec l'exception dûment notée des ateliers de formation à l'EPR et à la démarche PATH, l'information bénéficiaire n'a pas fait l'objet de traitement ou d'analyse. D'après ce que sait l'équipe, la seule analyse produite par la section OLDS à ses propres fins avait pour cible l'élaboration d'un réseau de formateurs qualifiés dans les secteurs fondamentaux. Non seulement cette limitation affaiblit-elle le processus de responsabilisation en interne comme en externe, elle réduit aussi de façon spectaculaire les fondements de tous les processus de prise de décisions.

En termes d'évaluation, le résultat le plus important de la faiblesse du système de S-E a été l'impossibilité de se faire une idée complète du nombre total d'ateliers comme du nombre total de participants.

Un certain nombre d'outils ont été conçus pour répondre aux besoins de l'équipe d'évaluation. Dans l'enquête principale, une stratégie de collecte de données par Internet a été mise en œuvre, et les personnes interrogées ont pu remplir le questionnaire directement. Un total de près de 1 500 individus a été invité à participer. Pour les enquêtes sectorielles, les questionnaires ont été envoyés directement aux échantillons choisis dans un dossier Word, puis traités par le Bureau directeur. Les personnes interrogées ont exprimé un niveau de satisfaction élevé quant à tous les types d'ateliers et au matériel offert. Ils ont pour la plupart senti qu'ils avaient atteint leurs objectifs d'apprentissage. L'enquête en ligne sur les secteurs fondamentaux a indiqué que les ateliers de formation des formateurs avaient eu des effets bénéfiques notables avec des « diplômés » qui participaient à la formation des autres. Les informations qualitatives produites dans les questionnaires en ligne et envoyés par courriel confirment le nombre très important d'opinions exprimées par des personnes clés sur des thèmes comme la formation aux opérations de suivi, les avantages qu'il y avait à procéder à des échanges de personnel et le besoin urgent de réexaminer les rapports d'évaluation de ses performances afin d'y incorporer sa participation à des activités offertes dans le secteur de l'apprentissage des situations d'urgence.

## Recommandations

La stratégie d'apprentissage contenue dans le programme DFID-UNICEF a été si variée dans son envergure, dans la gamme de sujets qu'elle abordait et dans ses thèmes que l'équipe de l'évaluation a dû formuler des recommandations spécifiques pour couvrir à la fois l'approche générale adoptée et les thèmes particuliers traités.

### Recommandations générales sur les stratégies d'apprentissage

#### Apprentissage direct

L'apprentissage direct est toujours le moyen le plus efficace de former la plupart du personnel de l'UNICEF, et il convient que l'UNICEF et le DFID continuent à affecter la plus grande partie de leurs fonds de développement des capacités à cette stratégie d'apprentissage. Pour améliorer l'efficacité de la formation, l'UNICEF doit prendre les mesures suivantes :

1. Affecter des ressources suffisantes aux principaux secteurs de formation requis de manière à ce que les bureaux régionaux puissent organiser le nombre et les types d'ateliers vraiment nécessaires dans une année donnée pour développer et maintenir les capacités de base dans l'aide humanitaire au niveau des bureaux nationaux.
2. Instituer un noyau d'employés régionaux et de formateurs externes dotés de l'expérience nécessaire pour le cours de formation à l'EPR et à la démarche PATH. Pour les formateurs du personnel, ce travail devrait être une partie fondamentale de leur description de poste, par opposition à une obligation de plus pour laquelle il leur faudrait être libérés de leurs fonctions principales. La candidature du personnel national devrait elle aussi être considérée aux postes de formateurs du personnel régional selon ses spécialités et son expérience, en donnant la préférence au personnel national de rang assez élevé doté d'une expérience dans le secteur de la formation et de connaissances solides dans celui des urgences.
3. Reconnaître le rôle crucial des agents régionaux chargés des urgences dans le succès du processus de formation en choisissant des critères de sélection liés à leur expérience et leurs capacités de formateurs, et incorporer la responsabilité de ces agents (et d'autres responsables régionaux) pour le développement des capacités pour la réaction humanitaire.
4. A long terme, instituer dans chacun des bureaux régionaux une petite unité de soutien à la formation qui fournirait à la fois ce type de soutien et un leadership dans des secteurs cruciaux tout en se chargeant du suivi et de l'évaluation des stratégies régionales d'apprentissage liées à la réaction humanitaire.
5. Investir dans le développement des capacités de formateurs régionaux externes qui puissent compléter le travail et les connaissances spécialisées des formateurs du personnel. Le rôle de OLDS dans ce processus serait de travailler avec les bureaux régionaux pour les aider à identifier, choisir et développer le noyau de formateurs régionaux externes et pour procéder à une intégration mutuelle des équipes externes et internes de formation du personnel.
6. Axer les initiatives futures de formation du personnel au niveau des bureaux nationaux sur l'augmentation du nombre d'employés qui puissent y accéder, en insistant particulièrement sur le fait que le personnel national devra pouvoir accéder à diverses formations sur la réaction humanitaire.
7. Solliciter des spécialistes régionaux au bureau régional pour qu'ils servent de personnes ressources seulement pour certaines formations choisies, et ne pas s'appuyer sur eux pour jouer le rôle d'animateurs-chefs lors de séances de formation multiples au cours d'une année donnée.
8. Fournir des ressources supplémentaires au Groupe d'apprentissage des programmes au Siège pour renforcer sa capacité de coordination des divers programmes et initiatives d'apprentissage relatifs aux urgences, et systématiser l'approche d'apprentissage de l'UNICEF.

## Formation de formateurs/modèle de formation en cascade

9. Au lieu d'élaborer un système de formation de formateurs dans lequel un personnel international choisi est formé pour servir de co-animateur aux côtés de spécialistes régionaux, instituer un noyau d'employés régionaux et de formateurs externes ainsi que précisé dans les recommandations sur la formation directe ci-dessus. Ceci demanderait que l'UNICEF s'engage à instituer un noyau de formateurs externes avec lesquels il mette en place une relation institutionnelle ou contractuelle à plus long terme tout en renforçant la connaissance qui est la leur de la manière dont fonctionnent les systèmes et les programmes de l'UNICEF. Cela signifierait aussi développer un noyau de formateurs de l'UNICEF qui ont accès aux échelons supérieurs et travailler avec lui ; une partie de ce rôle consisterait à se faire les avocats du programme de formation. Dans l'idéal, il y aurait dans tout programme de formation donné un formateur interne appartenant au personnel de l'UNICEF et un formateur externe doté d'une expérience de formation avancée qui joueraient tous deux un rôle de co-animation.

L'explication logique de cette recommandation est qu'en dépit du grand succès qu'il a remporté dans la région de l'Afrique de l'Est et de l'Afrique australe, le modèle de formation de formateurs n'est pas particulièrement viable pour la plupart des autres régions de l'UNICEF. Le processus de l'évaluation a identifié les problèmes suivants pour ce modèle :

- Pour toutes sortes de raisons, il existe un gaspillage considérable, avec seulement entre 50 et 70% des stagiaires qui continuent à fournir des formations à leurs collègues.
- Les formateurs du personnel ont souvent beaucoup de difficulté à se faire libérer pour diriger des séances de formation à l'extérieur de leur bureau national, et aucun accommodement n'est pris pour que cette responsabilité supplémentaire ne s'ajoute pas à leur charge de travail.
- Il faut beaucoup de temps et beaucoup d'encadrement pour que les formateurs du personnel puissent fonctionner de façon efficace et autonome comme chefs animateurs.
- Des inquiétudes se sont fait jour sur la dilution du matériel de formation par les formateurs du personnel qui ne sont pas des experts sectoriels.
- Souvent, les formateurs du personnel n'ont pas le même degré de crédibilité et la même stature que les experts externes ou les spécialistes régionaux.
- L'UNICEF ne dispose pas d'un système efficace de suivi et d'évaluation pour assurer le suivi des formations de formateurs.
- Les formateurs du personnel ne reçoivent pas nécessairement de crédit professionnel pour le rôle de formation supplémentaire qu'ils assument.
- Un système de formation de formateurs demande un engagement majeur de la part des spécialistes régionaux pour assumer le rôle de chef animateur et fournir en soutien le suivi nécessaire aux formateurs du personnel. Bien que cela contribue grandement au développement des capacités du personnel dans la région, cela veut également dire que le spécialiste régional a considérablement moins de temps pour traiter d'autres secteurs prioritaires et que cela peut conduire à une situation d'épuisement professionnel du personnel régional.

## Formation sur le tas

La formation **sur le tas** et d'autres types de formations du personnel sur le terrain comme **les échanges et l'encadrement du personnel** souffrent des positions très variables adoptées par les représentants de l'UNICEF dans les divers pays. Le besoin se fait donc sentir pour l'UNICEF :

10. D'aborder les diverses contraintes qui affectent ces types de formations de personnel en encourageant les représentants à la fois à demander de l'aide et à prêter leur personnel aux autres pays dans les situations d'urgence, comme cela a été fait dans la région de l'Amérique latine et des Caraïbes. Cet encouragement pourrait se concrétiser entre autres par une reconnaissance et une expression de gratitude dans les rapports d'évaluation vis-à-vis des représentants qui favorisent les échanges de personnel et en font la promotion.
11. Accroître les ressources et le personnel disponibles pour soutenir et appuyer une mise en œuvre plus importante des stratégies de formation sur le tas..

12. Faire élaborer et diffuser par la DRH des fiches de tuyaux et des consignes sur l'encadrement, du point de vue à la fois des cadres qui assurent l'encadrement et du personnel encadré.
13. Demander à chaque secteur ou à chaque unité d'élaborer et de diffuser des listes de spécialistes de ce type d'encadrement comme l'a fait le Bureau de l'évaluation pour ses listes de « personnel d'encadrement » du S-E dans les crises et les situations instables.

### **Enseignements tirés**

Les recommandations sur les activités relatives aux enseignements tirés, à la suite de visites sur le terrain et d'un examen des documents de base, sont les suivantes :

14. Mettre sur pied une présentation standard des rapports d'évaluation qui soit à la fois conviviale et brève, afin de rendre ces derniers plus accessibles au personnel sur le terrain, et instituer des normes et mesures de référence pour assurer le contrôle de la qualité des évaluations et optimiser leur potentiel d'apprentissage.
15. Demander au Bureau de l'évaluation au Siège et aux bureaux régionaux de diffuser largement ces rapports d'évaluation par courriel ou sur papier en plus de la pratique actuelle de les afficher simplement sur l'Intranet.
16. Continuer à préparer les comptes rendus d'évaluation appelés « Hot Off the Press : Lessons from Evaluation » et à parrainer les « exercices sur les enseignements tirés » comme cela a été fait à Istanbul en octobre 2003 pour examiner l'état de préparation aux urgences de l'UNICEF en Iraq.
17. Promouvoir la « communauté de pratique » entre membres du personnel sur les sujets liés aux urgences de manière à ce qu'ils puissent échanger des expériences, apprendre les uns des autres et s'échanger des informations sur une base régulière et informelle. Cela peut se faire au niveau régional ou trans-régional sur des problèmes opérationnels ou sectoriels comme les procédures de financement, l'eau et l'assainissement, l'éducation, etc..., et pourrait figurer dans les 5% du temps que le personnel est censé affecter à la formation et à l'apprentissage, avec le soutien de ses représentants.

### **Formation par ordinateur**

18. Afin d'améliorer l'efficacité de la formation par ordinateur, rendre les questions transsectorielles les plus importantes dans les urgences (PATH, VIH/SIDA, protection de l'enfance) obligatoires pour tous, avec un protocole bien établi pour suivre cette formation et en recevoir le crédit ou une accréditation, et renforcer le processus du rapport d'évaluation de manière à davantage motiver le personnel.
19. Accroître la collaboration entre les sections TI et OLDS pour soutenir le déploiement des cours d'apprentissage électronique.

### **Systèmes de plans d'apprentissage**

L'UNICEF doit en arriver à un niveau plus élevé d'officialisation de son système de plan d'apprentissage. Pour ce faire, l'organisation doit :

20. S'assurer qu'il y a chaque année un réexamen systématique des objectifs d'apprentissage de chaque employé au titre des rapports d'évaluation et du processus de contrôle du personnel. Elaborer et mettre en œuvre la politique et la pratique des ressources humaines qui interviendraient en soutien et en reconnaissance de ces efforts..
21. S'assurer que les besoins d'apprentissage des situations d'urgence sont considérés et intégrés partout dans les plans d'apprentissage des bureaux nationaux.

22. Demander à OLDS de faire appliquer par tous les pays la soumission annuelle des plans d'apprentissage des bureaux nationaux et de leur donner toute autorité pour le faire.

### **Formation interorganismes**

23. Elaborer une politique mondiale qui soutienne une formation interorganismes plus importante sur l'EPR, PATH, la protection de l'enfance, le VIH/SIDA et le S-E dans les contextes d'urgence.

### **Leadership**

24. Favoriser le leadership et la vision dans le développement des capacités liées à la réaction humanitaire chez les dirigeants de l'UNICEF sur le terrain, en établissant un système de récompenses et de mesures incitatives par le biais des politiques et pratiques de l'UNICEF en matière de ressources humaines et par l'intermédiaire des dirigeants aux niveaux des bureaux nationaux et régionaux, en exprimant clairement qu'il s'agit d'une priorité et d'un engagement de l'institution.
25. Rendre l'institution, et en particulier sa direction, plus redevable du développement des capacités du personnel dans les urgences en établissant un système qui rende les chefs de bureaux responsables de la formation, avec le soutien du Siège et des bureaux régionaux.

### **Thèmes de formation spécifiques**

#### **EPR**

Le personnel de l'UNICEF interrogé a offert des suggestions sur la manière d'améliorer la formation à l'EPR et fait les recommandations suivantes :

26. Se concentrer davantage sur les ateliers EPR futurs au niveau des bureaux nationaux, de manière à ce que des bureaux entiers puissent y participer et pour accroître l'accessibilité de la formation par le personnel national. S'assurer que le représentant de l'UNICEF et les agents principaux des programmes y participent.
27. Accroître les fonds et ressources disponibles pour les séances de formation à l'EPR de manière à ce que davantage d'entre elles puissent comporter des simulations complètes, car cette méthodologie s'est avérée assez efficace pour faire comprendre au personnel les différentes conditions, attitudes et compétences requises dans une situation d'urgence.
28. Rendre les ateliers de formation à l'EPR accessibles aux partenaires de l'UNICEF (gouvernement et ONG) au niveau des bureaux nationaux.
29. Investir dans la formation continue du nouveau personnel de formation à l'EPR (se référer à la recommandation numéro 2 sous l'intitulé « formation directe »).
30. Attribuer la responsabilité première des ateliers de formation à l'EPR à un noyau d'employés régionaux et de formateurs externes, au lieu de la laisser principalement aux agents régionaux chargés des urgences.
31. Intégrer des éléments fondamentaux de l'EPR dans la formation aux politiques et procédures de programmation.
32. Introduire des codes de conduite liés à la protection de l'enfance pour le personnel de l'UNICEF dans les modules existants de la formation à l'EPR sur la protection de l'enfance.

33. Mettre sur pied une version de la formation à l'EPR orientée vers les échelons supérieurs à l'usage des représentants et des agents principaux des programmes et en faire une partie obligatoire de leur formation.

## Démarche PATH

Les recommandations sur la démarche PATH en provenance du terrain et celles de l'équipe d'évaluation de Baastel sont les suivantes :

34. Affecter un agent de liaison ou coordonnateur désigné à la démarche PATH sur le terrain au niveau régional pour diriger l'équipe de formation régionale. Le rôle de ce coordonnateur serait aussi de faire progresser l'apprentissage, de communiquer avec l'équipe de formation et d'enregistrer ses réactions, de mettre en commun l'apprentissage et le nouveau matériel et de promouvoir l'apprentissage intersectoriel et les échanges sur ses expériences de formation.
35. Fixer les enseignements tirés des initiatives régionales et nationales en rédigeant des études de cas et des rapports sur ces enseignements. Ce rôle pourrait être assumé par les équipes de formation régionales et le matériel produit pourrait être échangé entre les régions, avec le soutien de OLDS.
36. Demander à OLDS de suivre les progrès réalisés par le Bureau régional pour l'Afrique de l'Est et l'Afrique australe sur ses projets d'incorporation d'éléments de la démarche PATH dans le cours de formation à l'EPR, ainsi que les efforts fournis par le bureau national du Népal pour offrir petit à petit des sujets aux collègues des bureaux satellites et évaluer si ce sont des adaptations efficaces du cours qui devraient être portées à la connaissance d'autres bureaux régionaux.
37. Demander à OLDS de consigner des exemples concrets d'endroits et de manières dont la formation à la démarche PATH a aidé le personnel de l'UNICEF, comme au Népal, à fournir des leçons précieuses et créatives à d'autres régions et bureaux de pays tout en aidant à réfuter la notion que la démarche PATH est trop théorique ou sans rapport avec les programmes de l'UNICEF.
38. Envisager de rendre une version résumée de la formation à la démarche PATH obligatoire pour tout le personnel, avec une présentation semblable à celle qui est offerte par le CD-Rom sur la sécurité.
39. Pour les pays qui sont fréquemment soumis à des urgences, offrir le cours intégral au niveau du bureau national.
40. Mettre en place pour la démarche PATH un programme de formation en ligne sur la protection de l'enfance semblable à la formation Internet du HCR, dans les pays où les urgences ne sont pas aussi fréquentes. Dans ce modèle, le personnel qui choisit de suivre le cours en auto-apprentissage accepte de l'achever d'ici une date donnée, puis de participer au niveau régional ou national à une réunion de réflexion sur les questions importantes, discuter de leur pertinence pour leur contexte, et considérer quelles en sont les implications pour leur travail.
41. Continuer à introduire des sujets ayant trait à la démarche PATH dans d'autres forums comme les ateliers pour le personnel de direction et les réunions de l'équipe de gestion régionale, de manière à poursuivre le processus de diffusion et d'intégration et d'obtenir l'adhésion et le soutien des échelons supérieurs.
42. Demander aux dirigeants du Siège et des bureaux régionaux de se faire auprès de la direction du bureau national les avocats du besoin de former le personnel sur le terrain aux normes juridiques et éthiques internationales et à leur pertinence vis-à-vis de l'approche de la programmation fondée sur les droits humains que l'UNICEF est censé suivre.

## Santé et nutrition

43. Affecter suffisamment de fonds et de ressources humaines pour organiser au moins une session par région et par an du cours sur la santé et la nutrition.
44. Travailler avec OLDS et les bureaux régionaux pour déterminer s'il est réaliste de transférer la fonction de formation externe du cours sur la santé et la nutrition aux institutions régionales et, dans l'affirmative, élaborer un plan pour transférer cette responsabilité et ce rôle à ces organisations externes.
45. Faire travailler les agents régionaux chargés de la santé et de la nutrition avec les équipes de formation externes pour créer des compétences d'experts au sein de l'organisation et servir de co-animateurs puisque le cours ne sera pas offert plusieurs fois en une même année.

Les ateliers sur la **santé et la nutrition** se sont appuyés sur la mobilisation de toutes les compétences de spécialisation de haut niveau sur le terrain, et il apparaît que cette formation est efficace et qu'elle relève d'une responsabilité partagée. Les difficultés qui demeurent sont de trouver les moyens de rendre la formation sur la santé et la nutrition dans les urgences plus accessible et plus stratégique. Toutefois, le programme a besoin d'un nouveau champion au niveau du Siège pour aider à mettre au point une stratégie de mise en place réaliste et à rendre sa mise en œuvre plus économique, systématique et cohérente.

## Education

Dans le secteur de l'éducation dans les urgences, il est recommandé que l'UNICEF :

46. Fournisse une série d'options d'apprentissage pour développer les capacités du personnel dans le secteur de l'éducation, dont par exemple la formation directe, la formation en ligne, une meilleure accessibilité aux échanges de personnel et au matériel des enseignements tirés d'expériences passées.
47. Demande aux bureaux régionaux de donner la priorité au travail avec les agents de l'éducation au niveau des bureaux nationaux, ou à la formation sur le tas pendant la crise.
48. Favorise auprès du bureau régional la création de meilleures occasions de procéder à l'échange des expériences acquises et des enseignements tirés au niveau du bureau national.
49. Utilise à la fois la formation EPR et la formation sectorielle pour faire en sorte que le personnel comprenne mieux que le rétablissement de l'éducation des enfants est une partie essentielle de la réaction humanitaire.
50. Rende la formation dans les urgences aussi pratique que possible pour aider à développer la confiance des agents de l'éducation de manière à ce qu'ils ne voient plus l'urgence comme quelque chose de difficile, mais plutôt comme quelque chose qu'ils peuvent gérer.
51. Intègre une perspective sexospécifique dans la formation du personnel de l'éducation pour aider à soutenir les priorités institutionnelles de l'UNICEF : améliorer l'accès des filles à l'éducation et les aider à traiter de problèmes tels que l'incapacité des enseignantes à assister aux formations de professeurs en raison de leurs responsabilités familiales.
52. Intègre des modules sur la manière de coordonner dans une situation d'urgence les rôles des agents chargés de la protection de l'enfance et de l'éducation avec leur formation sur la réaction humanitaire. Une manière d'y arriver serait d'organiser des séances de formation parallèles au cours desquelles au moins une journée ciblerait un groupe mixte de responsables de l'éducation et de la protection de l'enfance.

## **VIH/SIDA**

53. Demander à la section qui s'occupe du **VIH/SIDA** de procéder à un état des lieux et d'examiner l'expérience d'autres initiatives de formation organisées sous les auspices de ce projet, puisqu'elle est sur le point d'initier des ateliers de formation au niveau régional.
54. Améliorer l'accès du bureau national, et du personnel local en particulier, à la formation sur le VIH/SIDA dans les situations d'urgence. Compte tenu du fait que les ateliers sur le VIH/SIDA ne durent qu'une journée, cet atelier pourrait se dérouler assez facilement au profit du personnel du bureau national dans son ensemble, ou du moins d'un nombre important d'employés à ce niveau.
55. Développer une masse critique de membres du personnel de l'UNICEF qui comprennent les problèmes fondamentaux posés par le VIH/SIDA dans les urgences pour contribuer à l'intégration de cette question au sein de l'UNICEF et pour aider le personnel à comprendre que le VIH/SIDA constitue à lui seul et en lui-même une crise humanitaire.

## **Action antimines**

56. Mettre au point des séances de formation d'une journée sur l'action antimines qui pourraient être organisées au niveau du bureau national pour accroître de façon significative le nombre d'employés de l'UNICEF qui comprennent les problèmes de fond liés à l'action antimines.
57. Fournir la formation la plus approfondie au niveau du bureau national dans les pays où les mines terrestres représentent un problème important.

## **Protection de l'enfance**

Pour les initiatives futures de développement des capacités, le personnel de la protection de l'enfance et l'équipe d'évaluation font les recommandations suivantes :

58. Accorder dans les affectations futures du budget de formation de l'UNICEF une forte priorité à l'élaboration d'une trousse de formation pour la protection de l'enfance dans les conflits. Cette trousse devrait être mise sur pied avec des modules qui pourraient être adaptés aux situations spécifiques de chaque pays tout en comprenant des points fondamentaux que tous les ateliers devraient aborder : instruments juridiques, environnements protecteurs, principes et politiques de base, et psychologie de l'enfant. Des modules plus spécifiques pourraient y être ajoutés ou être abandonnés selon les circonstances particulières qui affectent le pays concerné, sur des thèmes comme les enfants soldats, l'exploitation sexuelle, la protection de l'enfance dans des situations de démobilisation, de désarmement et de reconstruction, le travail forcé des enfants, la carte des réseaux de protection de l'enfance et l'établissement de systèmes destinés à surveiller et à évaluer les violations des droits des enfants, etc.
59. S'assurer qu'il existe dans le matériel de formation et d'apprentissage un lien entre les conditions d'urgence et les conditions normales.
60. Instituer un programme d'encadrement qui soutienne le développement d'un corps efficace d'agents de la protection de l'enfance.
61. Demander à la section de la protection de l'enfance d'assumer un rôle pilote dans l'élaboration d'un matériel de formation et de ressources sur la protection de l'enfance qui adopte une approche intersectorielle utilisable par ses partenaires et axée sur le recours à des modèles interorganismes..

## Suivi et évaluation

Le défi le plus important que l'UNICEF doit relever dans l'immédiat est de mettre en place une culture de la responsabilisation, tout comme il a essayé de mettre en place une culture de l'apprentissage et y a réussi dans de nombreux secteurs. Le programme de développement des capacités dans la réaction humanitaire dispose actuellement d'un système de **S-E** faible qui est incapable de durer le temps d'un cycle entier de prise de décision ou de mesurer et de déterminer la véritable portée d'un programme. L'UNICEF doit donc :

### *Systèmes de suivi et d'évaluation*

62. Mettre en place un processus efficace de suivi et d'évaluation pour documenter les progrès et l'efficacité des programmes d'apprentissage aux niveaux du Siège aussi bien que des bureaux régionaux.
63. Mettre en place des indicateurs d'urgences pour les EIE et élaborer un processus de bilan rapide axé sur le S-E.

### *Formation directe*

64. renforcer l'approche de l'apprentissage du **S-E dans la crise et les contextes instables** en fournissant aux bureaux régionaux suffisamment de ressources d'animation pour qu'ils puissent offrir cette formation au moins une fois par an et par région.
65. Renforcer les capacités des organisations locales en travaillant avec des sociétés privées, des ONG, des instituts de recherche ou des universités afin de mettre en place la formation sur le S-E dans les urgences comme une façon de développer l'impact de cette formation et d'inciter ces organismes à en assurer le suivi et à fournir les animateurs qui l'encadrent.
66. Mettre à jour la formation sur le S-E dans la crise et les contextes instables tous les deux ans en sollicitant le Siège pour qu'il demande à tous ceux qui ont utilisé le matériel de formation de lui envoyer ses adaptations et études de cas pour qu'un consultant procède à leur compilation. Ceci fournira à tous de bons exemples régionaux ainsi que tout un ensemble de méthodes de formation efficaces qui ont déjà été mises à l'épreuve.
67. Intégrer le nouveau centrage de l'UNICEF sur la gestion axée sur les résultats à la trousse de formation sur le S-E dans la crise et les contextes instables.

### *Stratégies d'apprentissage alternatives*

68. Mettre sur pied davantage de visites en équipe aux bureaux nationaux des responsables régionaux pour les urgences et le S-E de manière à ce qu'ils puissent travailler avec le personnel des bureaux nationaux et les engager à réfléchir sur différents aspects des urgences (et de fait, créer le modèle d'un travail efficace entre le personnel des urgences et celui du S-E) et de façon à renforcer la synergie entre les responsables de ces deux secteurs..
69. Favoriser un apprentissage ponctuel résultant des rapports effectués sur les déplacements en demandant aux responsables des urgences et du S-E au niveau des bureaux nationaux d'envoyer copie de leurs rapports à leurs bureaux régionaux respectifs. La compilation des enseignements tirés et des informations générales pourraient être effectuée par les formateurs supplémentaires affectés pour assurer la formation du S-E, et distribuée à tous les bureaux nationaux concernés.

## **Communications**

70. Organiser un nombre plus élevé d'ateliers sur les communications en situation d'urgence au niveau régional (au moins un par région et par an) pour développer les capacités des responsables des communications au niveau national.
71. Mettre au point de nouveaux outils, comme des bulletins, un site Internet sur les problèmes des communications dans les urgences, des études de cas et enseignements tirés d'autres pays pour les distribuer au niveau des bureaux nationaux.
72. Créer régulièrement des occasions de rencontres et d'échanges où les problèmes des communications dans les situations d'urgence puissent être discutés en commun.

## **Contrôle du stress**

73. Rendre le programme d'entraide bénévole pour le contrôle du stress plus durable en développant les réseaux de collègues bénévoles dans les bureaux régionaux et nationaux.
74. Rendre possible pour le Siège et les bureaux régionaux de surveiller le développement de situations génératrices de stress qui pourraient affecter le personnel de l'UNICEF plus étroitement au cours de la seconde phase du programme d'entraide bénévole en mettant en circulation des ressources supplémentaires.
75. Explorer les stratégies d'apprentissage et les outils alternatifs qui puissent être mis au point en soutien de ce programme, des programmes d'entraide bénévole et des membres du personnel qui tirent parti de ce service..
76. Donner la priorité à l'octroi d'un soutien supplémentaire pour le suivi et les services-conseils en provenance du Siège.

## **Planification des impondérables**

77. Mettre en place un système plus cohérent de suivi et de responsabilisation pour l'élaboration et la mise en œuvre de plans d'urgence efficaces initiés par les bureaux régionaux et le Siège au niveau des bureaux nationaux.
78. Favoriser un intérêt et un leadership plus importants chez les représentants de l'UNICEF pour la mise en place de processus efficaces de planification des impondérables au moyen d'une politique proactive de l'institution visant à élargir ces sujets au programme de formation des échelons supérieurs, et établir des critères d'évaluation pour examiner les performances des activités des représentants dans le secteur de la planification de l'état de préparation et de réaction aux situations d'urgence

## Resumen Ejecutivo

En 1998, UNICEF decidió mejorar sus mecanismos de preparación para situaciones de emergencia y obtuvo fondos del Departamento para el Desarrollo Internacional (DFID) para auspiciar este proceso. La primera fase del programa financiado por DFID tuvo como propósito, aplicar las resoluciones internacionales en favor de la infancia en situaciones de crisis como respuesta de UNICEF a contextos de emergencia. En la Fase II, el objetivo general fue mejorar la capacidad de UNICEF para responder de manera eficaz, fiable y oportuna a las necesidades de los niños y las mujeres en situaciones inestables. El Objetivo 4, de un total de ocho, abordaba las necesidades de aprendizaje de la organización mediante la mejora de las competencias del personal en materia de apoyo para la incidencia, la programación y las operaciones en situaciones de emergencia, reflejando el enfoque de la programación basada en los derechos humanos y dentro del marco normativo de UNICEF. El objetivo de la evaluación llevada a cabo por el equipo de Baastel fue analizar los esfuerzos de UNICEF para reforzar la capacidad de respuesta humanitaria del personal mediante el aprendizaje obtenido durante esta fase.

Esta evaluación se centró en tres series de criterios. La primera serie de criterios se relaciona con la forma en que las diferentes estrategias de aprendizaje utilizadas por UNICEF contribuyeron al proceso de transversalizar la respuesta humanitaria. La segunda serie de criterios evaluación buscó analizar si estas estrategias de aprendizaje estaban alineadas con las mejores prácticas descritas por la Escuela Superior del Personal del Sistema de las Naciones Unidas para facilitar el desarrollo de una cultura de aprendizaje que conduzca a una mejora en la capacidad de gestión y desempeño organizacional. La tercera serie se relaciona con los impactos reales de estas estrategias de aprendizaje sobre el desempeño de UNICEF y su capacidad para planificar durante las crisis humanitarias y responder a ellas.

Entre las estrategias de aprendizaje identificadas se incluyen las siguientes:

1. Aprendizaje directo (talleres temáticos y capacitación a capacitadores, capacitación interinstitucional)
2. Aprendizaje basado en la red y educación a distancia (cursos en Internet, sitios Intranet, y discos compactos).
3. Capacitación en el lugar de trabajo (intercambios y despliegue de personal, orientación profesional y asesoramiento individual).
4. Lecciones aprendidas.
5. Procesos de planificación para situaciones no predecibles
6. Planes de aprendizaje.

Los criterios de evaluación utilizados en este informe están basados en las destrezas y los conocimientos que el personal necesita aprender para transversalizar la emergencia, de manera efectiva. Entre ellos se encuentran:

1. Conocimiento de los mandatos de política de UNICEF relacionados con la planificación y la respuesta ante las crisis humanitarias;
2. Capacidad de planificar y responder ante crisis humanitarias;
3. Conciencia de la responsabilidad individual e institucional de planificar y responder frente a situaciones de crisis humanitarias;
4. Capacidad liderazgo para ofrecer una visión clara cuando se trata de planificar y responder en crisis humanitarias.

Las estrategias de aprendizaje elaboradas por medio del Programa de Cooperación UNICEF-DFID se centraron tanto en cambiar las actitudes del personal con respecto a situaciones de emergencia como en desarrollar habilidades específicas. La estrategia primaria de aprendizaje utilizada por UNICEF en este proyecto ha sido la capacitación directa, y una parte considerable de los recursos del proyecto se asignaron a la financiación de talleres sobre diversas cuestiones relacionadas con situaciones de

emergencia. Los dos principales programas de capacitación creados por medio del proyecto fueron “Capacitación para la preparación y respuesta en situaciones de emergencia (Emergency Preparedness and Response Training - EPRT)” y “Un enfoque basado en principios para la acción humanitaria (A Principled Approach to Humanitarian Action - PATH)”. Estos son los dos programas de capacitación que ofrece UNICEF a un nivel que se puede considerar mundial.

UNICEF ha ofrecido capacitación directa relacionada con situaciones de emergencia de tres maneras diferentes. La **primera** consistió en establecer un sistema de capacitación a capacitadores o “sistema de capacitación en cascada”. A través de esta estrategia, un grupo de empleados de UNICEF recibe capacitación tanto sobre el contenido del programa como sobre cómo desarrollar habilidades para la facilitación. La idea era que los capacitados replicaran el programa en las oficinas regionales y de país. Este enfoque es relativamente eficaz en relación a sus costos, puede abarcar a un mayor número de personas y está más enraizado en el contexto local. Sin embargo, exige un mayor seguimiento, puede conducir a que la información se atenúe durante las transferencias subsiguientes, y aumenta la carga de trabajo del personal. Los empleados de UNICEF que se convierten en capacitadores tienen que desempeñar sus tareas habituales además de asumir sus nuevas responsabilidades de capacitación.

La **segunda** implicó traer instructores profesionales o expertos sectoriales desde la sede, la región u organizaciones externas, a fin de que capacitaran a los participantes a nivel regional y de país. La capacitación regional conllevaba, generalmente, que la oficina regional correspondiente, solicitara a cada oficina de país que enviara a un participante para que asistiera a las sesiones de capacitación, que por lo general se celebraban una vez al año u ocasionalmente una vez cada dos años. La idea era que estos participantes compartieran sus conocimientos con otros colegas a su regreso, aunque de una manera menos formal que en el caso de los participantes en el sistema de capacitación a capacitadores. El mayor obstáculo en relación con este enfoque, sin embargo, sigue siendo su costo. Hasta la fecha, UNICEF no ha conseguido mantener al menos uno de sus programas sectoriales de emergencia (salud y nutrición), en parte debido al factor costo. Para que el modelo de facilitador externo funcione, UNICEF tendría que aumentar de manera considerable el porcentaje de fondos del presupuesto ordinario para operaciones que dedica a la capacitación y reforzar su capacidad para recurrir a las instituciones locales.

La mayor parte de los fondos de DFID se dedicaron a la capacitación directa en forma de talleres.. Estos abarcaron una amplia gama de temas relacionados con situaciones de emergencia.

1. **EPRT:** En general, el curso EPRT parece haber tenido éxito al haber alcanzado los objetivos fundamentales señalados en el manual de capacitación. También ha contribuido de manera considerable a que los empleados comprendan mejor cuáles son sus funciones individuales en una situación de emergencia y, como tal, ha logrado avanzar en la transversalización de los procesos relativos a situaciones de emergencia dentro de UNICEF. El cambio que más sorprendió al equipo de evaluación, sin embargo, fue la mejora en los niveles de entendimiento y comunicación entre el personal de operaciones y de programas, y su mayor comprensión del hecho de que cada uno de ellos es ahora responsable de más de un aspecto de la planificación y la respuesta en situaciones de emergencia. Un elemento importante que contribuyó al éxito descrito fueron los materiales de capacitación, debido a su elevada calidad, su carácter práctico y su naturaleza interactiva. También ha resultado fundamental la firme capacidad de liderazgo regional y el apoyo considerable prestado por OLDS. El curso EPRT ha sido accesible, efectivo, asumido como responsabilidad compartida y contribuyó a lograr que el aprendizaje tenga una mayor presencia en la cultura de UNICEF. Cuando el EPRT fue impartido a nivel de las oficinas de país, resultó ser estratégico debido a que permitió vincular, de manera relativamente sencilla, la capacitación con el posterior proceso de preparación y respuesta a situaciones de emergencia. La capacitación dio mejores resultados cuando los directivos superiores a nivel de oficina de país prestaron un compromiso firme y visible para la transversalización de este tema.
2. **PATH:** La retroalimentación obtenida indica que PATH es una experiencia dinámica, constructiva y útil para los participantes. Una considerable cantidad de esfuerzo y tiempo fueron dedicados a la concepción de este curso; esta inversión se vio reflejada sin duda, en la alta calidad de los materiales y en la creatividad de las técnicas y metodologías de aprendizaje.. Entre algunos

miembros del personal existe todavía la percepción de que el curso no sería relevante para situaciones de emergencia además de ser demasiado teórico. Sin embargo, las oficinas de campo están intentando adaptar el curso, con el fin de darle un carácter más práctico de tal forma que sea más correspondiente con sus propias situaciones.

3. **Salud y nutrición:** UNICEF, con apoyo del DFID, ha invertido una cantidad considerable de fondos en la preparación de un curso técnico de alto nivel sobre Salud y Nutrición en Situaciones de Emergencia. UNICEF no dispone todavía de la capacidad interna para preparar u ofrecer este nivel de capacitación en la propia organización. Sin embargo, es una forma de capacitación con un costo elevado y, como resultado, UNICEF ha discontinuado la financiación de los cursos a pesar de la gran calidad de los materiales de capacitación. Además, la sede ha mostrado una actitud ambivalente con respecto al curso y no existe una visión clara sobre lo que UNICEF quiere hacer al respecto en el futuro. Si el costo de la capacitación es demasiado elevado como para ser sostenible, UNICEF debería considerar la posibilidad de invertir en el desarrollo de capacidades de aquellas instituciones locales en las diferentes regiones, que tengan aptitudes y la experiencia pertinentes en este terreno.
4. **Educación:** El enfoque de UNICEF hacia la educación en situaciones de emergencia es centrarse en la capacitación de maestros para que estos o los para-profesionales pueden ayudar a los niños a regresar lo más pronto posible a un entorno de aprendizaje estabilizado. Para hacerlo de una manera efectiva, utilizan un enfoque de capacitación a capacitadores el cual requiere basarse en un proceso de seguimiento más sistematizado. La creación de este sistema de seguimiento podría ayudar a UNICEF a dar seguimiento al impacto en el corto y mediano plazo, de su respuesta a la educación en situaciones de emergencia y proporcionar información a los Oficiales de Educación de UNICEF.
5. **VIH/SIDA:** El enfoque de UNICEF sobre el VIH/SIDA en situaciones de emergencia está directamente relacionado con las labores del Grupo de Trabajo Inter-agencial y es, en parte, el resultado de las actividades coordinadas a este nivel. Dada la relativamente reciente aparición del VIH/SIDA y la aún más reciente respuesta de UNICEF a esta pandemia, todo lo que se realiza en esta esfera es bastante nuevo y ha exigido un considerable nivel de innovación. Aunque esto resulta positivo, debido a que ha llevado a UNICEF a establecer un enfoque coordinado frente a las estrategias de aprendizaje en esta esfera, también ha revelado que la organización no se encontraba, hasta hace muy poco, en capacidad para llevar a cabo iniciativas de desarrollo de capacidades en este tema. También significa que es demasiado pronto para evaluar el impacto real de las iniciativas de desarrollo de capacidades sobre el personal del UNICEF. Está claro, sin embargo, que los progresos alcanzados hasta la fecha y la participación activa de UNICEF en el Grupo de Trabajo Interagencial no hubiera sido posible sin el apoyo del DFID.
6. **Acción sobre las minas:** El enfoque de desarrollo de capacidades de la Sección de Minas Terrestres de EMOPS podría servir de modelo para UNICEF en su conjunto. Comenzó con una estrategia general y un marco claros, ha evolucionado hasta convertirse en un espectro de estrategias y opciones de aprendizaje, y ha incorporado un proceso sistemático de seguimiento y evaluación, así como los medios para asegurar que sus iniciativas de desarrollo de capacidades sean sostenibles en el futuro. Esto ha sido posible en parte gracias a la visión del personal que dirige esta sección, y en parte debido a que esta esfera de integración de las situaciones de emergencia ha recibido fondos adecuados desde el inicio mismo del programa. El enfoque de aprendizaje ha sido configurado para ser estratégico y abordado como responsabilidad compartida. De todos los cursos que el equipo de evaluación evaluó, éste fue el que consideró importante también, asegurar que el aprendizaje trascendiera la capacitación. La retroalimentación obtenida del nivel de campo indica también que hasta la fecha el curso ha demostrado ser efectivo y sostenible; esto último, debido fundamentalmente a las directrices y las normas establecidas y difundidas.
7. **Protección de la infancia:** En el marco del proyecto del DFID, UNICEF no ha proporcionado un apoyo significativo al desarrollo de capacidades de su personal de campo en la esfera de la protección de la infancia. La mayor parte de los fondos para la protección de la infancia fueron asignados a los honorarios de un funcionario a tiempo completo y de un consultor. Estos recursos humanos, que mostraron la mejor voluntad del mundo, resultaron insuficientes para ir más allá de simplemente hacer frente a las crisis que surgieron en la esfera de la protección de la infancia

durante los últimos tres años. Como resultado, el personal de campo, especialmente aquellos a nivel de las oficinas regionales, tuvo que preparar materiales de capacitación y de aprendizaje por su cuenta. Esto con la finalidad de prestar apoyo al personal de UNICEF y a los socios de las oficinas de país. Debido a que la protección de la infancia es una esfera relativamente nueva de trabajo en el seno de UNICEF, y además posee un carácter bastante controversial, este hallazgo representa un enorme déficit en el enfoque de UNICEF en materia de desarrollo de capacidades para la respuesta humanitaria.

- 8. Seguimiento y evaluación:** UNICEF enfrenta dos desafíos principales con respecto al desarrollo de capacidades en materia de seguimiento y la evaluación en situaciones de emergencia. El primero es que la organización, en su conjunto, dispone de un sistema de seguimiento y evaluación bastante inadecuado en términos de su relación con las estrategias de aprendizaje. El segundo es que no dispone de recursos suficientes en materia de personal, que le permita realizar el tipo de seguimiento sistemático necesario para asegurar que la capacitación sea efectiva y que los participantes aplicarán lo aprendido, a nivel de país. Por consiguiente, ésta es una esfera que necesita bastante atención. En especial, existe la necesidad de establecer un sistema de seguimiento y evaluación que sea consistente con las estrategias de aprendizaje. A nivel de país también persiste la necesidad de integrar el seguimiento y la evaluación, de manera más consistente, en la planificación y respuesta ante situaciones de emergencia, y en las actividades de seguimiento ex post. Aún cuando este tema está incluido dentro de los contenidos de la capacitación que se ofrece sobre seguimiento y evaluación, no ha generado aún resultados consistentes.
- 9. Comunicaciones:** UNICEF ha desarrollado un curso efectivo, de capacitación directa, en materia de comunicaciones. Lo que se requiere ahora es que esta iniciativa sea aplicada a nivel mundial, ya que en la actualidad sólo es accesible para la región de África occidental y central. La sede y los oficiales regionales de comunicación tendrían que considerar también la importancia de buscar estrategias de aprendizaje alternativas para su personal de comunicaciones y aprovechar las experiencias positivas de las oficinas de país que hayan creado, por su cuenta, instrumentos y materiales sobre comunicación. Esto podría incluir boletines, una página Web sobre temas de comunicación en situaciones de emergencia, la preparación y distribución de estudios de caso, de lecciones aprendidas de otros países, y la organización de reuniones e intercambios sistemáticos para debatir y compartir estas cuestiones. También deberían asegurarse de que su personal conozca la existencia de los recursos, especialmente aquellos que se encuentran en la Intranet.
- 10. Manejo del estrés:** El manejo del estrés forma parte importante de cualquier programa de preparación y respuesta ante situaciones de emergencia. UNICEF, con apoyo del DFID, ha puesto en práctica las etapas iniciales de un programa de manejo del estrés, basado en la capacitación, para su incorporación a escala mundial. Los modelos de capacitación y de programas seleccionados revelan ser efectivos y tener una demostrada trayectoria dentro del sistema de las Naciones Unidas; sin embargo, UNICEF no ha asignado los suficientes recursos humanos o financieros para institucionalizar, de manera efectiva y sobre esta base global, tanto la capacitación como el proceso de seguimiento necesarios. La estrategia de aprendizaje que se utiliza hasta la fecha para apoyar el establecimiento del PSV se ha centrado, únicamente, en la capacitación. Dado que proporciona a los participantes las aptitudes básicas necesarias para iniciar medidas elementales de reducción de estrés en sus oficinas, también promueve el aprendizaje como una responsabilidad compartida. La retroalimentación obtenida a la fecha indica que el aprendizaje es efectivo.

En general, UNICEF revela haber desarrollado una acción más coordinada en materia de preparación y respuesta en casos de emergencia, y en gran parte esto ha implicado el establecimiento de relaciones más estrechas con otras agencias. El personal indicó que, dada la creciente necesidad de coordinar las actividades en situaciones de emergencia, les gustaría que se incluyera un componente sobre aptitudes de coordinación en el curso EPRT y en otros programas de capacitación relacionados con las emergencias. UNICEF requiere considerar la necesidad de formular una política global orientada a apoyar las necesidades incrementales de capacitación a nivel interagencial. En la actualidad, la mayoría de las iniciativas se hacen caso por caso, y no forman parte aún de la estrategia de UNICEF; estas iniciativas dependen, en gran medida, de las relaciones individuales que los oficiales o representantes específicos hayan establecido en los países o en las regiones donde trabajan.

La capacitación basada en computadoras ha recibido también una asignación importante de fondos del programa. En muchos casos se considera una opción viable para las estrategias de aprendizaje directo. Sin embargo, algunos informantes han mencionado circunstancias que (1). Impiden la adopción de una u otra innovación tecnológica; o (2). Les impiden a ellos o a sus colegas de aprovechar plenamente los numerosos servicios digitalizados que el programa les ha ofrecido. En la mayoría de los casos, el punto de vista mayoritario fue que no había tiempo para aprender nuevos instrumentos informáticos o navegar a través de un curso basado en la red o en un disco compacto. Desde las perspectivas de la organización, la falta de instrumentos de seguimiento (con la excepción significativa del Disco Compacto sobre seguridad) y las limitaciones del sistema de tecnología de la información de UNICEF para evaluar las ventajas comparativas del aprendizaje directo con respecto al aprendizaje basado en computadoras, han supuesto un considerable desafío.

Todo el personal entrevistado indicó que la capacitación en servicio, es un instrumento eficaz. Los participantes en los tres grupos focales de control que condujo el equipo de evaluación para el personal que no había recibido capacitación en EPR, demostraron haber sido capaces de encontrar en su lugar de trabajo diversos métodos para aprender lo que necesitaban saber sobre las situaciones de emergencia. Sin embargo, se mostraron menos seguros a la hora de identificar, exactamente, sus funciones específicas y su capacidad para confrontar una situación de emergencia. En general, los participantes en los grupos focales indicaron que la mejor estrategia de aprendizaje era la experiencia misma en una situación de emergencia. Los directivos superiores indicaron también, en forma recurrente, que haber participado en una emergencia previa era un factor importante en la capacidad del personal para gestionar emergencias de manera efectiva. Por esta razón, a pesar de de las numerosas dificultades que parecen existir, estos directivos apoyaron las iniciativas orientadas a incrementar las distintas oportunidades de capacitación, en servicio, relacionadas con las tareas de emergencia del personal.

Aunque el personal de UNICEF está bastante interesado en participar en los intercambios de personal o los despliegues de personal entre oficinas, y a pesar de que los directivos superiores consideran valioso este tipo de experiencia, también existen obstáculos para establecer un programa de capacitación en servicio, a nivel de toda la institución. Estos obstáculos son, entre otros:

- Los representantes se muestran reacios a ofrecer períodos de licencia al empleado interesado en capacitarse, debido a que no tienen cómo reemplazarlo durante su ausencia.
- Es una fórmula onerosa de capacitación del personal ya que implica gastos de viaje y de viáticos durante la permanencia del personal en el país de intercambio o despliegue.
- Algunos miembros del personal dudan sobre su participación debido a que otros colegas tendrían que ocuparse de su trabajo durante su ausencia o debido a que ellos mismos se enfrentarían a una mayor carga de trabajo a su retorno.

En general, los intercambios y despliegues de personal son una oportunidad de aprendizaje bastante estratégica debido a que fomentan la capacidad del personal en esferas clave donde se anticipa que habrá necesidades en el futuro, utilizan un enfoque de responsabilidad compartida, promocionan el punto de vista de que el aprendizaje forma parte de la cultura de UNICEF y ofrecen una alternativa viable a la capacitación directa.

UNICEF determinó la necesidad de prestar apoyo a su personal en la formulación de los planes de preparación y respuesta en situaciones de emergencia y por medio del proyecto del DFID posibilitó que las oficinas de país tuvieran acceso a la facilitación externa de este proceso. El carácter participativo y aplicado a cada país del proceso de planificación es algo que el personal valora positivamente y constituye además una manera eficaz de incorporar las cuestiones clave y los procesos que es preciso examinar. Sin embargo, el seguimiento ex post en cada país ha carecido de consistencia y ha dependido, en cierto modo, del interés y la capacidad de liderazgo de los Representantes. Sin embargo, dada la persistencia de esta falta de seguimiento, no es posible asegurar que el problema no radique en el proceso. El proceso de planificación es dinámico, pero UNICEF necesita claramente fomentar un proceso más eficaz de seguimiento y un sistema de rendición de cuentas que acompañe al proceso de planificación de contingencias..

Los directivos superiores de UNICEF están, en general, de acuerdo en que sería beneficioso para ellos establecer programas de orientación profesional y asesoramiento individual dirigidos a algunos de sus miembros del personal; sin embargo necesitarían contar con directrices sencillas que les sirvan de apoyo en este proceso. La atención individual que el personal más joven podría recibir de sus directivos en este tipo de relación fomentaría sin duda el aprendizaje y el desarrollo de aptitudes y capacidades. También podría ser que la provisión de directrices sobre orientación profesional y asesoramiento individual con expectativas, consejos y provisiones de rendición de cuentas claras sería suficiente para conseguir que se establezca en UNICEF un programa de orientación profesional y asesoramiento individual más sistemático. Este proceso serviría de ayuda para desarrollar capacidades en el futuro y para transversalizar la emergencia; esto en la medida en que las directrices proporcionen,asimismo, ideas y consejos sobre esferas clave, acerca de las cuales el personal necesita orientación relacionada con la labor a desplegar en el contexto de una crisis humanitaria.

En general, actividades generadoras de “lecciones aprendidas” –como las evaluaciones, los análisis sobre el terreno o los ejercicios– fomentan el punto de vista de que el aprendizaje forma parte de la cultura del UNICEF, representan una oportunidad estratégica de aprendizaje en el sentido de que permiten aprovechar las experiencias reales de individuos y programas nacionales dentro de UNICEF, emplean un enfoque de responsabilidad compartida (cuando son participativos), y ofrecen una alternativa viable a la capacitación directa. UNICEF necesitaría tomar medidas para mejorar la calidad de las actividades generadoras de lecciones aprendidas, mejorar sus estrategias de distribución de estas lecciones y fortalecer su sentido de propiedad sobre esta información.

UNICEF ha logrado avances en la institucionalización del aprendizaje dentro de la organización, ya que por lo menos la mitad de sus oficinas de país presentan planes anuales de aprendizaje. OLDS ha elaborado también un “Learning Road Map” (ruta crítica de aprendizaje) que debería resultar de utilidad al personal interesado en la promoción de su carrera dentro de UNICEF, para conocerlas aptitudes y las competencias que requieren determinados puestos a diferentes niveles de la organización. Sin embargo, todavía se necesita una mayor presión de los más altos niveles de la organización para asegurar que las restantes oficinas de país comiencen a tomarse en serio el proceso de planes de aprendizaje. El sistema de planes de aprendizaje hace todavía un excesivo hincapié en la iniciativa individual. La retroalimentación recibida del personal por el equipo de evaluación indica que los empleados se sienten a menudo culpables si realizan tareas de capacitación u otras formas de aprendizaje dentro de su horario laboral; esto demuestra que aún no ha calado en la organización la percepción de que el aprendizaje forma parte esencial del trabajo del personal.

Un sistema de planes de aprendizaje plenamente institucionalizado podría ser enormemente estratégico debido a que contribuiría de manera considerable a la asignación de recursos para diferentes tipos de aprendizaje dentro de UNICEF. También fomentaría que el aprendizaje sea asumido como una responsabilidad compartida, en tanto depende de las oficinas de país producir un plan que satisfaga sus necesidades particulares de aprendizaje, facilitando la capacidad de las oficinas regionales y de la sede para responder a estas necesidades. Este proceso es también una importante medida para ayudar a establecer el aprendizaje como parte de la cultura de UNICEF.

El equipo de evaluación y sus contrapartes de UNICEF descubrieron retos importantes en el sistema de seguimiento y evaluación del Programa DFID-UNICEF:

- No se aplicó un formato estandarizado a la información más básica de los cursos prácticos del programa (por ejemplo, la lista de participantes). Su aplicación hubiera permitido identificar variables importantes, designadas de una manera consensuada, incorporadas por los actores encargados de la organización, controladas por un actor responsable; e introducidas en una base central de datos, con el potencial de compartirlas en toda la organización.
- La falta de fluidez en la circulación de la información presentó algunas situaciones sorprendentes: informantes clave llegaron a pedir al equipo de evaluación datos sobre los talleres que son de responsabilidad de sus sectores. A menudo, los factores causales se atribuyeron a las prácticas de descentralización (la mayoría de los informantes clave utilizaron

esto como un tema recurrente) y a una falta relativa de tradición en la rendición de cuentas. Todos estos factores se podrían haber abordado por medio de un sistema de seguimiento consensuado y simple, basado en hojas de datos, presentado mediante un protocolo flexible de comunicación.

- Con la notable excepción de los cursos prácticos sobre EPR y PATH, no se procesó ni se analizó la información de los beneficiarios. Por lo que le consta al equipo de evaluación, el único análisis que produjo OLDS, para sus propios objetivos fue la creación de una red de capacitadores para los sectores básicos. Esta limitación no solamente debilita el proceso de rendición de cuentas, tanto a nivel interno como externo, sino que reduce gravemente los cimientos de cualquier proceso de toma de decisiones.

En lo que atañe a esta evaluación, el resultado más importante del débil sistema de seguimiento y evaluación ha sido la imposibilidad de obtener una figura completa sobre el número total de talleres y el número total de participantes.

Para abordar las necesidades de información del equipo de evaluación, una serie de instrumentos fueron diseñados. En la encuesta principal se implementó una estrategia de recopilación de datos basada en Internet mediante la cual los informantes podían rellenar directamente los cuestionarios. Se invitó a participar a cerca de 1.500 individuos. Para las encuestas sectoriales, los cuestionarios fueron enviados directamente a la muestra seleccionada en un archivo Word, y fueron procesados por EO de UNICEF. Los informantes expresaron un alto nivel de satisfacción con respecto a todos los tipos talleres y los materiales que se ofrecieron. Una mayoría expresó haber alcanzado los objetivos de aprendizaje. La encuesta de los sectores básicos en Internet indicó que los talleres de capacitación de capacitadores habían logrado un considerable rendimiento en lo que se refiere al número de “graduados” que participaron en la capacitación de otros. La información cualitativa recopilada en el cuestionario de Internet y el cuestionario enviado por correo electrónico confirma el número considerable de opiniones que los informantes clave expresaron acerca de temas como el seguimiento a la capacitación, las ventajas del intercambio entre el personal, y la necesidad urgente de revisar los Informes de evaluación de los resultados (PER) a fin de incorporar la participación en las oportunidades de aprendizaje sobre situaciones de emergencia.

## Recomendaciones

La estrategia de aprendizaje en el marco del programa de DFID-UNICEF ha sido tan diversa en lo que se refiere a su amplitud, gama de cuestiones y temas que el equipo de evaluación ha tenido que formular recomendaciones específicas para abarcar tanto el enfoque general como las esferas temáticas específicas.

### Recomendaciones generales con respecto a las estrategias de aprendizaje

#### Capacitación directa

La capacitación directa es todavía la manera más eficaz de entrenar a la mayoría de los miembros del personal de UNICEF; por ello resulta apropiado que UNICEF y el DFID sigan asignando a esta estrategia de aprendizaje la mayor parte de sus fondos destinados al desarrollo de capacidades. A fin de lograr que la capacitación directa sea más efectiva, UNICEF necesita:

1. Asignar la cantidad suficiente de recursos a esferas clave de capacitación, para que las oficinas regionales puedan organizar el número y los tipos de talleres que se necesiten en un año dado a fin de potenciar y mantener competencias básicas en materia de asistencia humanitaria a nivel de oficinas de país.
2. Establecer un grupo básico de empleados del nivel regional y de instructores externos con la experiencia necesaria para los cursos EPRT y PATH. Para los instructores que son miembros del personal, este trabajo debería formar una parte fundamental de su descripción del puesto, en lugar de ser un elemento añadido para el que necesitarían ser liberados de sus tareas habituales. Los empleados nacionales deberían también ser considerados como candidatos para convertirse en instructores regionales del personal, dependiendo de sus conocimientos técnicos y experiencias, siendo preferible designar a aquellos empleados nacionales que hayan alcanzado un rango considerablemente superior en la organización y que posean tanto antecedentes en capacitación como un conocimiento firme de las situaciones de emergencia.
3. Reconocer la función clave de los Oficiales Regionales de Emergencias en el éxito del proceso de capacitación mediante la inclusión de un criterio de selección relacionado con su experiencia y aptitudes para la capacitación, e incluyendo también la responsabilidad de los Oficiales Regionales de Emergencia (y otros oficiales regionales) en el desarrollo de capacidades en materia de respuesta humanitaria.
4. A largo plazo, establecer una unidad reducida de apoyo a la capacitación en cada una de las oficinas regionales, que ofrezca apoyo para la capacitación y liderazgo en esferas fundamentales, y que lleve a cabo también el seguimiento y la evaluación de las estrategias regionales de aprendizaje relacionadas con la respuesta humanitaria.
5. Invertir en el desarrollo de capacidades de instructores regionales externos que puedan complementar la labor y los conocimientos técnicos de los capacitadores que son miembros del personal. El papel de OLDS en este proceso sería trabajar con las oficinas regionales para ayudarles a identificar, seleccionar y establecer el grupo básico de instructores regionales externos, e integrar los equipos externos e internos de capacitación.
6. Centrar las futuras iniciativas de capacitación en el nivel de las oficinas de país para aumentar el número de miembros del personal que puedan beneficiarse de la capacitación, con un hincapié especial en facilitar el acceso del personal nacional a diferentes tipos de capacitación en materia de respuesta humanitaria.
7. Exhortar a los especialistas regionales de las oficinas regionales para que sirvan, exclusivamente, como recurso para sesiones de capacitación seleccionadas y no depender de ellos para que desempeñen el papel de facilitadores principales en sesiones múltiples de capacitación durante un año dado.

8. Proporcionar recursos adicionales al Grupo de Aprendizaje de Programa (Programme Learning Group) de la sede a fin de ayudarles a fortalecer su capacidad para coordinar los diversos programas e iniciativas sobre aprendizaje en situaciones de emergencia de UNICEF y sistematizar el enfoque de UNICEF en materia de aprendizaje.

### **Capacitación de capacitadores/Modelo cascada para la capacitación**

9. En lugar de establecer un sistema de capacitación de capacitadores mediante el cual miembros del personal internacional seleccionados reciban capacitación para actuar como co-facilitadores junto a los especialistas regionales, establecer un grupo básico de personal regional e instructores externos como se señaló en las recomendaciones sobre Capacitación directa descritas anteriormente. Esto exigiría que UNICEF asuma el compromiso de conformar un equipo básico de instructores externos y establecer una relación institucional o contractual con ellos, al mismo tiempo de informarles ampliamente sobre la forma en que operan los sistemas y los programas de UNICEF. También implicaría establecer y trabajar con un grupo básico de instructores miembros del personal de UNICEF que tengan acceso a los directivos superiores; parte de su labor sería convertirse en “abogados” del programa de capacitación. Lo ideal sería que en cualquier programa de capacitación haya un instructor miembro del personal de UNICEF y un instructor exterior con experiencia avanzada en capacitación, que actúen conjuntamente como co-facilitadores.

Esta recomendación se basa en que a pesar de del gran éxito que tuvo en la región de Asia oriental y meridional el modelo de capacitación de capacitadores, éste no es especialmente funcional en la mayoría de las otras regiones de UNICEF. El proceso de la evaluación determinó los siguientes desafíos con el modelo de capacitación de capacitadores:

- Existe un considerable desaprovechamiento, ya que solamente de un 50% a un 70% de los participantes en la capacitación de capacitadores, asume la función de capacitar a sus colegas, debido a diversos factores.
- Los instructores que son miembros del personal de UNICEF, tienen a menudo dificultades para obtener licencias temporales para dirigir sesiones de capacitación fuera de sus oficinas de país; asimismo, no se realizan los trámites necesarios para que esta responsabilidad no se añada a su carga laboral.
- Se requiere de un largo tiempo y de bastante capacitación antes de que los capacitadores que son miembros del personal puedan actuar como facilitadores principales de manera independiente y efectiva.
- Existen preocupaciones por parte de instructores que son miembros del personal que no son expertos en determinados sectores sobre las fortalezas de los materiales de capacitación.
- Los capacitadores que son miembros del personal, carecen a menudo el mismo grado de credibilidad y del nivel que posee un especialista regional o externo.
- UNICEF no dispone de un sistema efectivo de seguimiento y evaluación de la capacitación a capacitadores.
- Los instructores que son miembros del personal no reciben, necesariamente, reconocimientos en sus carreras por desempeñar esta función adicional de capacitación.
- Un sistema de capacitación de capacitadores exige un compromiso importante por parte de los especialistas regionales para actuar como facilitadores principales y para ofrecer el seguimiento que requieren los instructores que son miembros del personal. Aunque esto contribuye, de manera considerable al desarrollo de capacidad del personal en la región, también significa que el especialista regional tiene bastante menos tiempo para abordar otras esferas prioritarias y puede llevar a una sensación de agotamiento del personal regional.

### **Capacitación en servicio**

**La capacitación en servicio** y otros tipos de capacitación sobre el terreno como los **intercambios de personal, la orientación profesional y el asesoramiento individual** están a expensas de las distintas

posiciones que asuman los representantes de país. Por tanto, UNICEF necesita tomar las siguientes medidas:

10. Abordar los obstáculos diversos que dificultan la realización de estos tipos de capacitación del personal alentando a los Representantes a que pidan ayuda y a que cedan su personal a otros países en situaciones de emergencia, tal como se ha hecho en la región de América Latina y el Caribe (TACRO). Esto puede incluir un reconocimiento en los PER de aquellos Representantes que fomenten y promuevan mayores intercambios de personal.
11. Aumentar los recursos y el personal disponible para fomentar y apoyar una mayor implementación de las estrategias de capacitación en servicio,
12. Solicitar a la División de Recursos Humanos que produzca y distribuya hojas de orientación y normas sobre la orientación profesional y el asesoramiento individual desde la perspectiva tanto de los gestores que se ocupan de la orientación y el asesoramiento, y del personal como de los que reciben este tipo de capacitación.
13. Solicitar a cada sector/unidad que produzca y distribuya directorios de orientadores especialistas en trabajos relacionados con las situaciones de emergencia, del mismo modo en que la Oficina de Evaluación ha hecho con el directorio de "orientadores" en materia de seguimiento y evaluación para situaciones inestables y de crisis.

### **Lecciones aprendidas**

Las recomendaciones sobre las actividades relacionadas con las lecciones aprendidas, formuladas con base en las visitas de campo y en el análisis de documentos básicos incluyen:

14. Preparar un formato de informe de evaluación breve y fácil de manejar, a fin de que sea más accesible para el personal de campo, y establecer normas y puntos de referencia para asegurar un control de calidad de las evaluaciones a fin de aprovechar al máximo su potencial para el aprendizaje.
15. Procurar que la Oficina de Evaluación de la sede y las oficinas regionales circulen ampliamente estos informes de evaluación por correo electrónico o en papel, además de la práctica habitual de simplemente colocarlos en la Intranet.
16. Seguir preparando los informes sobre evaluación denominados "Hot Off the Press: Lessons from Evaluation" y patrocinar "ejercicios sobre lecciones aprendidas" como se hizo en Estambul en octubre de 2003 para evaluar la preparación de UNICEF ante las emergencias en Iraq.
17. Promover "comunidades de prácticas" entre los miembros del personal sobre temas relacionados con las situaciones de emergencia a fin de que puedan intercambiar experiencias, aprender mutuamente y compartir información entre ellos de una manera sistemática e informal. Esta iniciativa puede ser a nivel regional o interregional sobre cuestiones operativas o sectoriales como procedimientos de financiación, agua y saneamiento, educación, etc. y pueden ser incluidos como parte del 5% del tiempo que los miembros del personal deben asignar a la capacitación y el aprendizaje con el apoyo de sus Representantes.

### **Capacitación basada en las computadoras**

18. Hacer que los temas transversales más importantes en materia de emergencia, como PATH, VIH/SIDA y Protección de la infancia, sean obligatorios para todos, con la finalidad de lograr que la capacitación basada en las computadoras sea más efectiva. Este tipo de entrenamiento deberá contar con un protocolo establecido para completar la capacitación, asegurando que los participantes recibirán reconocimiento/certificación, y que se fortalecerá el proceso PER para motivar más al personal.

19. Aumentar la colaboración entre IT y OLDS para apoyar la creación de cursos de aprendizaje por medio del correo electrónico.

### **Sistemas de plan de aprendizaje**

UNICEF debe lograr un mayor nivel de institucionalización de su sistema de plan de aprendizaje. Para ello, la organización necesita:

20. Asegurar que todos los años se realice un análisis sistemático de los objetivos de aprendizaje de cada miembro del personal como parte de su informe sobre los resultados y el proceso de supervisión. Preparar y poner en práctica políticas y prácticas de recursos humanos que apoyen y reconozcan estos esfuerzos.
21. Asegurar que las necesidades de aprendizaje, en materia de emergencias, sean tomadas en consideración e integradas en los planes de aprendizaje de todas las oficinas de país.
22. Pedir a OLDS que exhorte todas las oficinas de país en el mundo a presentar anualmente y de manera obligatoria sus planes de aprendizaje, y otorgar a OLDS la autoridad para ello.

### **Capacitación inter agencial**

23. Formular una política mundial que apoye un aumento en la capacitación interinstitucional sobre EPRT, PATH, protección de la infancia, VIH/SIDA y seguimiento y evaluación en el marco de los contextos de emergencia.,

### **Capacidad de liderazgo**

24. Promover que los directivos superiores de UNICEF asuman, a nivel del terreno, un mayor liderazgo y visión en materia de fomento de la capacidad relacionada con la respuesta humanitaria. Esto mediante el establecimiento de recompensas e incentivos institucionales a través de las políticas y prácticas de recursos humanos, así como por medio de los directivos superiores de la sede y las oficinas regionales, dejando claro que se trata de una prioridad y un compromiso institucionales.
25. Procurar que la institución y, en especial, los directivos superiores tengan que rendir cuentas por el desarrollo de capacidades del personal en situaciones de emergencia mediante la creación de un sistema que haga recaer la responsabilidad de la capacitación en los Jefes de Oficina (y de la sede y las oficinas regionales en su apoyo a este proceso).

### **Temas específicos de capacitación**

#### **EPRT**

Los miembros del personal de UNICEF entrevistados han ofrecido información sobre cómo mejorar EPRT y recomendaron:

26. Concentrarse más en los talleres sobre EPRT en el futuro, a nivel de oficinas de país, para que las oficinas puedan participar en su totalidad y para aumentar el acceso a la capacitación del personal nacional. Asegurar que los Representantes de País y los Oficiales Superiores de Programa participen en la capacitación.
27. Aumentar los fondos y recursos disponibles para las sesiones de EPRT. Esto con la finalidad de que sea posible incluir simulaciones completas en una mayor cantidad de sesiones, ya que esta metodología ha demostrado su eficacia para que el personal comprenda los diferentes requisitos, actitudes y aptitudes necesarios en una situación de emergencia.

28. Procurar que los cursos prácticos de EPRT, a nivel de oficina de país, sean accesibles a los socios de UNICEF (gobiernos y ONG)..
29. Invertir en capacitación sobre la marcha para los nuevos instructores en EPRT miembros del personal (consultar la recomendación 2 bajo Capacitación Directa).
30. Asignar la responsabilidad primaria de los talleres de EPRT a un grupo básico compuesto tanto por instructores que son parte del personal de las oficinas regionales como por instructores externos. Esto en lugar de que estos talleres sigan siendo la responsabilidad principal de los Oficiales Regionales de Emergencia.
31. Integrar elementos básicos de EPRT en la capacitación PPP.
32. Incluir códigos de conducta para el personal de UNICEF, relacionados con la protección de la infancia en los módulos de EPRT correspondientes.
33. Formular una versión de EPRT para Representantes y Oficiales Superiores de Programa orientada hacia los directivos, y hacer que sea una parte obligatoria de su capacitación.

## **PATH**

Las recomendaciones que emanan del terreno y del Equipo de Evaluación de Baastel sobre PATH incluyen lo siguiente:

34. Asignar una persona/coordinador central de enlace para PATH, a nivel regional, para que dirija el equipo de capacitación regional en el terreno. La función de este coordinador sería también hacer avanzar el aprendizaje, comunicarse con el equipo de capacitación y obtener sus opiniones, compartir información y nuevos materiales, y promover el aprendizaje intersectorial e intercambiar experiencias en materia de capacitación.
35. Extraer lecciones de las iniciativas regionales y de país mediante la elaboración de informes con estudios de caso y lecciones aprendidas. Los equipos regionales de capacitación pueden asumir esta función y los materiales producidos se pueden intercambiar entre las regiones con la asistencia de OLDS.
36. Pedir a OLDS que realice un seguimiento de los planes de ESARO para incorporar elementos de PATH en el curso de EPR, así como de las actividades de la oficina en Nepal para ofrecer temas gradualmente a sus colegas de las suboficinas y examinar si son adaptaciones eficaces del curso, que por tanto se deberían compartir con otras oficinas regionales.
37. Pedir a OLDS que obtenga ejemplos concretos sobre los lugares y la forma en que la capacitación PATH ha resultado útil al personal de UNICEF, incluyendo entre ellos a Nepal. Esto con la finalidad de proporcionar lecciones valiosas y creativas para otras regiones y oficinas de país y para ayudar a disipar la noción de que PATH es demasiado teórico o carece de relación con los programas de UNICEF.
38. Considerar la posibilidad de preparar una versión resumida de la capacitación PATH que sea obligatoria para todo el personal en un formato similar al que se ofrece en el Disco Compacto sobre seguridad.
39. Ofrecer el curso completo a nivel de oficina de país para aquellos países que sufren emergencias de manera frecuente.
40. Establecer un programa de capacitación en línea para PATH en aquellos países donde las situaciones de emergencia sean menos frecuentes, siguiendo el modelo de los cursos de capacitación basada en la red que sobre protección de la infancia ofrece ACNUR. Mediante este modelo, el personal que escoja seguir este curso autodirigido se comprometerá a terminarlo en un plazo concreto y a participar luego en una reunión regional o de país para reflexionar sobre cuestiones importantes, analizar la pertinencia de los contenidos en relación con su contexto y considerar las implicaciones para su trabajo.

41. Seguir presentando temas de PATH en otros foros como los seminarios para dirigentes superiores o las reuniones del Equipo de Gestión Regional, a fin de continuar la difusión y el proceso de transversalización y de obtener el apoyo del personal superior.
42. Procurar que los directivos superiores a nivel de la sede y la región promuevan ante los directivos de los países la necesidad de que el personal sobre el terreno reciba capacitación sobre normas jurídicas y éticas y la pertinencia de todo ello para el enfoque de la programación basado en los derechos humanos que UNICEF debe seguir.

## Salud y nutrición

43. Asignar la cantidad suficiente de fondos y recursos humanos como para llevar a cabo por lo menos una sesión al año del curso sobre salud y nutrición por región.
44. Trabajar con OLDS y las oficinas regionales para establecer la viabilidad de transferir la función de capacitación externa del curso sobre salud y nutrición a instituciones regionales y, si es posible, preparar un plan para transferir esta responsabilidad y función a estas organizaciones externas.
45. Procurar que los Oficiales Regionales de Salud y Nutrición trabajen con los equipos exteriores de capacitación para proporcionarles conocimientos técnicos a nivel interno y para servir como co-facilitadores, ya que el curso no se impartirá varias veces a lo largo de un año.

Los talleres sobre **salud y nutrición** se han basado en la movilización de expertos de alto nivel sobre el terreno y parece que la capacitación es eficaz y asumida como una responsabilidad compartida. Los desafíos que restan son lograr que la capacitación sobre salud y nutrición en situaciones de emergencia sea más accesible y estratégica. Sin embargo, el programa necesita un nuevo paladín a nivel de la sede para contribuir a preparar una estrategia realista de puesta en vigor y ayudar a que su implementación sea más eficaz con respecto a sus costos, sistemática y uniforme.

## Educación

En el sector de la educación en situaciones de emergencia se recomienda a UNICEF:

46. Ofrecer una serie de posibilidades de aprendizaje para desarrollar la capacidad del personal en materia de educación, incluidas la capacitación directa, la capacitación en línea, un mayor acceso a los intercambios de personal y a materiales sobre lecciones aprendidas.
47. Solicitar a las oficinas regionales que consideren prioritario trabajar con los Oficiales de Educación a nivel de oficina de país poco antes o durante la crisis, para proporcionarles capacitación en servicio.
48. Fomentar un aumento de las oportunidades a nivel de las oficinas regionales para intercambiar experiencias y lecciones aprendidas a nivel de las oficinas de país.
49. Utilizar la capacitación sobre EPRT y la capacitación sobre un sector específico para aumentar la concienciación del personal sobre el hecho de que restablecer la educación forma parte de una respuesta humanitaria esencial.
50. Procurar que la capacitación sobre la educación en situaciones de emergencia sea lo más práctica posible a fin de ayudar a fomentar la confianza de los Oficiales de Educación para que consideren la emergencia no como una circunstancia difícil, sino como una situación manejable..
51. Integrar una perspectiva de género en la capacitación sobre educación del personal para contribuir a apoyar las prioridades organizativas de UNICEF relativas al aumento en el acceso de las niñas a la educación; asimismo para ayudarles a la abordar cuestiones como la imposibilidad de las maestras de acudir a la capacitación para maestros debido a sus responsabilidades familiares.
52. Integrar en la capacitación sobre educación y protección de la infancia relacionada con la respuesta humanitaria, módulos sobre cómo coordinar las funciones de los Oficiales de Protección

de la Infancia y los Oficiales de Educación en una situación de emergencia. Una forma de conseguirlo es celebrar sesiones de capacitación simultáneas en las cuales por lo menos un día la sesión de capacitación está dirigida a un grupo combinado de Oficiales de Protección de la Infancia y Oficiales de Educación.

## **VIH/SIDA**

53. Pedir a la sección de **VIH/SIDA** que evalúe y examine la experiencia de las otras iniciativas de capacitación directa llevadas a cabo bajo los auspicios de este proyecto, debido a que están a punto de comenzar cursos prácticos de capacitación a nivel regional.
54. Aumentar el acceso de las oficinas de país, y en particular del personal nacional, a la capacitación sobre el VIH/SIDA en situaciones de emergencia. Dado que los cursos prácticos sobre el VIH/SIDA son solamente de un día de duración, este curso práctico puede dirigirse a todo el personal de la oficina de país o, por lo menos, a un número considerable de empleados a este nivel.
55. Conformar una masa crítica entre los miembros del personal del UNICEF que comprendan las cuestiones claves relacionadas con el VIH/SIDA en situaciones de emergencia para que contribuyan a transversalizar este tema dentro de UNICEF y a ayudar al personal a comprender que el VIH/SIDA constituye por sí solo una crisis humanitaria.

## **Acción sobre las minas**

56. Preparar sesiones de capacitación de un día de duración acerca de las acciones sobre las minas, que puedan llevarse a cabo a nivel de oficina de país, para aumentar de manera considerable el número de empleados de UNICEF que comprenden las cuestiones clave relacionadas con la acción sobre las minas.
57. Proporcionar una capacitación más amplia a nivel de oficina de país allí donde las minas terrestres sean una cuestión de importancia.

## **Protección de la infancia**

Para las iniciativas futuras sobre desarrollo de capacidades, el personal de protección de la infancia y el Equipo de Evaluación recomiendan lo siguiente:

58. Considerar altamente prioritaria, en las asignaciones del presupuesto de UNICEF destinado a la capacitación en el futuro, la creación de un paquete de capacitación en materia de Protección de la infancia durante situaciones de conflicto. Este paquete debe constar de módulos que puedan adaptarse a las diferentes situaciones del país e incluir temas básicos que deberían abordarse en todos los cursos prácticos, como instrumentos jurídicos, entornos protectores, principios y políticas básicos o psicología infantil. También se pueden incluir o eliminar módulos más específicos, dependiendo de las circunstancias concretas del país, sobre niños soldados, explotación sexual, protección de la infancia en situaciones de desmovilización, desarme y rehabilitación, trabajo infantil, levantamiento de mapas de redes de protección de la infancia y establecimiento de sistemas para seguir y evaluar las violaciones contra los derechos de la infancia, etc.
59. Asegurar que en los materiales de capacitación y aprendizaje se establezca un vínculo entre las condiciones de una situación de emergencia y de una situación normal.
60. Establecer un programa de asesoramiento profesional para apoyar la preparación de Oficiales de Protección de la Infancia eficaces.
61. Solicitar a la sección de Protección de la infancia que asuma un papel de liderazgo en la preparación de materiales de capacitación y recursos sobre protección de la infancia que tengan un enfoque transversal, que los socios puedan utilizar y que haga hincapié en el uso de modelos inter agenciales.

## Seguimiento y evaluación

El reto más importante que UNICEF tiene que abordar en el futuro más cercano es fomentar una cultura de rendición de cuentas, del mismo modo que ha tratado, y conseguido en muchos sectores, de fomentar una cultura del aprendizaje. El programa de desarrollo de capacidades en materia de respuesta humanitaria dispone en la actualidad de un sistema de seguimiento y evaluación bastante débil, que no puede sostener un proceso de toma de decisiones durante su ciclo de vida ni es capaz de medir ni valorar la repercusión real del programa. En este marco, UNICEF requiere:

### *Sistemas de seguimiento y evaluación*

62. Establecer un proceso sistemático y efectivo de seguimiento y evaluación para documentar los avances y la efectividad de los programas de aprendizaje a nivel de la sede y de las oficinas regionales.
63. Establecer indicadores de emergencia para los CCC y preparar un proceso de seguimiento y evaluación centrado en la evaluación rápida.

### *Capacitación directa*

64. Fortalecer el enfoque de UNICEF con respecto al aprendizaje en materia de **seguimiento y evaluación en contextos inestables y de crisis** proporcionando a las oficinas regionales los recursos suficientes para la facilitación, de tal modo que puedan ofrecer esta capacitación por lo menos una vez al año por región.
65. Desarrollar la capacidad de las organizaciones locales, mediante la colaboración con firmas privadas, ONG, institutos de investigación o universidades, para realizar una capacitación sobre seguimiento y evaluación en situaciones de emergencia a fin de aumentar la cobertura de la capacitación y tratar de que estas entidades realicen el seguimiento ex post la supervisión en materia de facilitación.
66. Actualizar cada dos años la capacitación sobre seguimiento y evaluación en contextos inestables y de crisis solicitando a la sede que pida a todos aquellos que hayan utilizado los materiales de capacitación que envíen sus adaptaciones y estudios de caso para que sean compilados por un consultor. Esto proporcionará a todos buenos ejemplos regionales y ofrecerá una diversidad de enfoques eficaces de capacitación que hayan sido ya puestos a prueba.
67. Integrar el nuevo enfoque institucional de UNICEF sobre Gestión basada en los resultados en el paquete de capacitación sobre seguimiento y evaluación en contextos inestables y de crisis.

### *Estrategias alternativas de aprendizaje*

68. Establecer más visitas en equipo de Oficiales Regionales de emergencias y de seguimiento y evaluación a las oficinas de país, para que puedan trabajar conjuntamente con el personal de la oficina y alentarles a que reflexionen sobre los diferentes aspectos de una situación de emergencia (modelando un trabajo en equipo eficaz entre el personal de emergencia y el de seguimiento y evaluación) y para fortalecer la sinergia que existe entre los oficiales de seguimiento y evaluación y de emergencia.
69. Fomentar el aprendizaje *ad hoc* obtenido de los informes sobre viajes pidiendo a los Oficiales de emergencia y de seguimiento y evaluación a nivel de oficina de país que envíen copias de sus informes a sus respectivas oficinas regionales. La recopilación de las lecciones aprendidas y de la información de antecedentes pueden llevarla a cabo los participantes adicionales asignados a la prestación de capacitación sobre seguimiento y evaluación, y distribuir estos informes a todas las oficinas de país pertinentes.

## **Comunicaciones**

70. Llevar a cabo un número cada vez mayor de talleres sobre comunicación en situaciones de emergencia a nivel regional (por lo menos uno al año por región) a fin de desarrollar la capacidad de los oficiales de comunicación a nivel de oficina de país.
71. Establecer nuevos instrumentos, como boletines, un sitio en la red sobre temas de comunicación en situaciones de emergencia, estudios de caso y lecciones aprendidas de otros países, para distribuirlos a nivel de oficina de país.
72. Posibilitar que haya ocasiones periódicas para organizar reuniones e intercambios donde puedan discutirse y compartirse temas relacionados con la comunicación en situaciones de emergencia.

## **Manejo del estrés**

73. Hacer que el programa PSP/PSV sobre la gestión del estrés sea más sostenible ampliando las redes de colegas en las oficinas regionales y de país.
74. Aumentar la disponibilidad de nuevos recursos, posibilitar que la sede y las oficinas regionales realicen un seguimiento más minucioso del aumento de situaciones que producen estrés y que pueden afectar al personal de UNICEF, por medio de la segunda fase del programa PSV.
75. Explorar estrategias e instrumentos de aprendizaje alternativos que puedan establecerse para prestar apoyo a este programa, los PSV y los miembros del personal que se beneficien de este servicio.
76. Otorgar una prioridad a la prestación de apoyo adicional para el seguimiento y los servicios de asesoramiento que proporciona la sede.

## **Planificación para situaciones imprevistas**

77. Establecer en la sede y las oficinas regionales un sistema más uniforme de seguimiento y rendición de cuentas para la preparación y puesta en práctica de planes eficaces para situaciones imprevistas a nivel de las oficinas de país.
78. Fomentar un mayor interés y capacidad de liderazgo de los Representantes a la hora de establecer un proceso de planificación eficaz para situaciones imprevistas mediante una política pro activa de la organización destinada a ampliar estos temas en los planes de capacitación de los directivos superiores y establecer criterios de evaluación en los informes sobre resultados relacionados con las actividades de los Representantes en materia de EPRP.

# 1. Short History of Emergency Preparedness in UNICEF<sup>1</sup>

The increased global awareness made possible by media coverage of emergencies, of all types, has convinced many national and international agencies not traditionally involved in these activities to enhance their capacities to deal with sudden natural and human tragedies. As part of this evolution, the 1998 Martigny (Switzerland) Global Consultation organized by UNICEF tried “to formulate a set of recommendations to improve UNICEF responsiveness to children in unstable situations, within the context of a mainstreamed programme approach.”<sup>2</sup> This was in fact a return to its sources for the organization whose acronym, United Nations EF (Emergency Fund), referred to its original mandate.

In this set of far-reaching recommendations, the central component was the Core Commitments for Children in Emergencies (CCCs)<sup>3</sup> that require the organization to be ready, at all times and on short-notice, to:

- conduct an immediate assessment of the situation of children and women in areas of crisis, and an objective assessment of the measures needed to ensure effective UNICEF country office management of the situation, and of the UNICEF response;
- assume a coordinating role for sectoral support and to initiate appropriate strategies for initial response in collaboration with United Nations and other partners;
- design and implement responses to the assessed situation of children and women, in cooperation with national counterparts and international partners; and
- ensure the organizational capacity, procedures and resources (funds, staff and supplies) to support a timely programmatic response.”<sup>4</sup>

The implementation of these CCCs’ objectives involved major institutional changes and the drawing up of a global training programme.

The first phase of DFID’s programme of cooperation with UNICEF in this sector<sup>5</sup> had specific objectives that addressed some of the concerns expressed at the Martigny meeting. Its three goals were to:

- eliminate the involvement of children in armed conflict;
- improve the timely and effective provision of humanitarian assistance for children in crisis situations and to strengthen UNICEF leadership in advocacy, policy, and humanitarian diplomacy for conflict affected children;
- reduce the number of mine injuries among children.

In its proposal, UNICEF recognized “the need to: (1) work across the sectoral divisions that have traditionally and historically defined its work and organizational structure; (2) retool and retrain staff to apply their skills to different populations and in different environments; (3) evaluate the effectiveness of interventions and draw conclusions about best practices.”<sup>6</sup> Points 2 and 3 involve both the training and information management requisites for the success of the programme.

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<sup>1</sup> This section is adapted from: UNICEF. Office of Emergency Programmes. 2001. Chronology of Events Relating to the Evolution of the Martigny Process. New York : UNICEF. EMOPS.

<sup>2</sup> UNICEF. Executive Board. 2000. UNICEF Core Commitments in Emergencies. New York : UNICEF. E/ICEF/2000/12. Para. 11. See also: UNICEF. Executive Board. 1996. Children and Women in Emergencies: Strategic Priorities and Operational Concerns for UNICEF. New York : UNICEF. E/ICEF/1997/7.

<sup>3</sup> The CCCs originally stood for the Core Corporate Commitments; this was subsequently changed to the Core Commitments for Children in Emergencies.

<sup>4</sup> UNICEF. Office of Emergency Programmes. 2001. Chronology of Events Relating to the Evolution of the Martigny Process. New York : UNICEF. EMOPS, p. 1-2.

<sup>5</sup> UNICEF. Office of Emergency Programmes. 1999. A Global Proposal to Strengthen UNICEF Programming as it Applies to Humanitarian Action and Response. New York : UNICEF.

<sup>6</sup> UNICEF. Office of Emergency Programmes. 1999. A Global Proposal to Strengthen UNICEF Programming as it Applies to Humanitarian Action and Response, p. 2.

In 2002, an internal review<sup>7</sup> of the program listed significant changes resulting from the DFID programme such as a shift in organizational culture and the establishment of organization-wide core training. Nevertheless, a few important issues required attention. Establishing a concerted line of oversight and accountability between levels of UNICEF administration, coordinating data collection, and consolidating Emergency Preparedness and Response Plans (EPRP) were among these issues. The report's recommendations were included in the Phase II proposal.

## **1.1 DFID-UNICEF Programme of Cooperation to Strengthen UNICEF Humanitarian Response Capacity, Phase II**

The goals set for the Phase II programme<sup>8</sup> expand capacity building for emergencies to all sectors in UNICEF and all links to the overall goal to improve the capacity of UNICEF to respond effectively, reliably and in a timely manner to the needs of children and women in unstable situations. The goals of Phase II were:

1. To enhance UNICEF capacities for preparedness planning and response to emergencies, as an integral part of the country programming process, and ensure that child rights are central to humanitarian efforts;
2. To improve UNICEF management of, and operational readiness in financial, supply, logistics, telecommunications, external communications and stress management/counselling elements of humanitarian response in emergencies;
3. To improve the availability of appropriate staff at the appropriate time for all emergencies;
4. To improve staff competencies for advocacy, programmatic and operational support in emergencies, reflecting the human rights based approach to programming and the normative framework of UNICEF.
5. To increase UNICEF capacity to protect staff and assets in emergencies;
6. To improve UNICEF's knowledge base on the situation of children affected by armed conflict with particular attention to the differential impact of armed conflict on girls and women;
7. To enhance UNICEF capacity to advocate for the promotion and protection of the rights of children affected by armed conflict;
8. To increase UNICEF capacity to develop co-ordinated policy and programme guidance to protect children affected by armed conflict with a consistent gender perspective in all policy and programming.

A closer examination of Goal 4 is pertinent for the purposes of this evaluation. The programme document emphasized the importance of UNICEF's staff and therefore the learning component as a tool for enhancing its knowledge and capabilities in emergency situations. Two objectives were set for this goal:

7. Systematically provide all UNICEF staff with access to a wide range of learning opportunities to enhance their knowledge and skills for emergency preparedness and response, including human rights, humanitarian policies and principles, other advocacy, programmatic and operational areas, negotiation and management of assessment, monitoring and evaluation.
8. Ensure regional implementation and oversight of strategies for systematic skills and knowledge development in emergency preparedness and response.

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<sup>7</sup> UNICEF. Evaluation Office. 2002. Capacity Building for UNICEF Humanitarian Response in Review. An Internal Review of the DFID-UNICEF Programme Cooperation to Strengthen UNICEF Programming as it Applies to Humanitarian Assistance, Phase I, 2000-April 2002. New York : UNICEF. See also : UNICEF. Evaluation Office. 2003. Martigny II - Where are we now? A Review of UNICEF Humanitarian Response Capacity. New York : UNICEF.

<sup>8</sup> UNICEF. 2001. A Global Proposal to Strengthen UNICEF Programming as it Applies to Humanitarian Response. Phase II. New York : UNICEF.

The planned outputs for each objective covered a wide range of sectors:

- 1.1 Training materials and learning tools, trainers, trained staff;
- 1.2 Assessment of links between lessons from case studies, evaluations and other lessons learned exercises (existing and planned) and learning priorities; identification of potential case-based learning materials;
- 1.3 Distance learning modules available on-line and/or CD on: EPR, humanitarian policies and principles, rapid assessment, monitoring and evaluation as well as programme and operational commitments;
- 1.4 Internal website dedicated to learning on emergency-related issues established and maintained accessible to all staff;
- 1.5 Staff sent on 2-4 week assignments in emergency duty-stations, prioritised based on staff identified as on Emergency Task Force, soon to be deployed to emergency duty-stations and unstable duty-stations, and whose self-assessment indicates such need;
- 1.6 Staff twinned with mentors/coaches with emergency experience;
- 1.7 Sample survey of staff KAP providing a baseline and measure of progress 2005;
- 1.8 Evaluation of learning materials and strategies undertaken.
- 2.1 Self-assessment tool to help staff identify own learning needs for emergency preparedness and response.

## **1.2 Terms of References<sup>9</sup> for the Evaluation of UNICEF Learning Strategy to Strengthen Staff Competencies for Humanitarian Response**

The objectives of the evaluation implemented by the Baastel team were to provide an assessment of UNICEF efforts to strengthen staff competencies for humanitarian response through learning, specifically focusing on the DFID Phase II Programme of Cooperation.

The evaluation addresses the following key questions:

- How relevant have learning strategies and activities, methods and content been to: the evolving external context including the nature of humanitarian emergencies and the evolving interagency context, UNICEF organizational context and gaps in staff competencies, and UNICEF and interagency policies in humanitarian response?
- How efficient has the overall effort been, including consideration of how different learning strategies were combined and how efforts were decentralized?
- How effective have learning interventions been? What results have been achieved as compared to stated objectives? Have staff competencies changed in the expected areas? What have been the constraints?
- What, if any, have been the outcomes of learning interventions for actual CO performance and for wider humanitarian response with UNICEF partners?
- How sustainable is the overall effort to strengthen staff competencies and what is the nature and level of investment that the organization will have to expect in the medium term?
- How well has the overall effort been coordinated across sectors and levels of the organization?
- How can UNICEF learning strategies for developing competencies in humanitarian response be improved?

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<sup>9</sup> UNICEF. Evaluation Office. Second Request for Tenders. Evaluation of UNICEF Learning Strategy to Strengthen Staff Competencies for Humanitarian Response 2000-2004. See Terms of Reference in Appendix 1.

- What broader lessons can be drawn on learning strategies in general?

There have been certain key limitations in the scope of the evaluation. With regard to assessing impact, gaps in baselines and weaknesses in the monitoring systems for training activities in particular have limited the measurement and assessment of results. Conclusions about the effects of learning strategies on UNICEF and wider humanitarian response were limited to conclusions about plausible association. The assessment of efficiency was limited in that data did not permit detailed cost analysis.

### 1.3 Composition of the Evaluation Team

Baastel's team consisted of three core members who brought experience and knowledge of programme monitoring and evaluation, learning strategies and humanitarian assistance. Two other team members from Baastel provided additional support and technical advice to the evaluation. Together, their complementary experience and skills covered the various aspects of the evaluation's mandate.

- Raymond Gervais, Team Leader and Monitoring and Evaluation Expert. The internal evaluation of Phase I of the DFID-UNICEF Programme of Cooperation had clearly set as a priority an enhanced monitoring and evaluation of not only training activities but of the learning process itself. This required the development of an M&E *system* that combined data collection processes from individual learning experiences (workshops, mentoring, follow-up refresher courses with or without the use of e-learning, and so on) with institutional result-based information production, analyses strategies, and performance assessment.
- Dana Peebles, Learning Strategies Expert. The Learning Strategies Expert also has a strong background in mainstreaming processes. Her role was to contribute to the development of a participatory evaluation framework to assess the relevance, efficiency, effectiveness, outcomes and sustainability of UNICEF's training modules, training of trainers programmes and learning strategies.
- Winifred Fitzgerald, Humanitarian Assistance Expert. The Humanitarian Assistance Expert, with her experience working on emergency programmes in the field and in leading training workshops and ToTs for agencies operating in conflict situations, would provide an overview of the particular characteristics of the "humanitarian sector" and identify key obstacles to learning, both real and perceived, for individuals and the organization. She would also identify and analyze strengths as well as shortfalls/gaps of staff members' learning experiences with regards to humanitarian response capacity.
- Philippe Bâcle, President of Baastel. As Senior Evaluator in charge of quality assurance, he would provide senior review and quality assurance and maintain relations with UNICEF's Evaluation Office.
- Franck Yelles, Information Technology Expert. The IT Expert would produce the design and programming of the evaluation on-line surveys planned in the ToRs.

### 1.4 The Evaluation Process

The evaluation has consisted of four main phases: (I) Preparation and Background, (II) Information Collection, (III) Information Analysis and (IV) Preparation of Evaluation Report. The table below summarizes the work carried out in each phase. The narrative description that follows provides additional detailed information and highlights important points about the team's work.

I. Preparation and Background	<ul style="list-style-type: none"> <li>• Documentation and file review</li> <li>• Start-up meeting and preliminary interviews in New York</li> <li>• Elaboration of final work plan</li> <li>• Elaboration of evaluation matrix</li> <li>• Preparation of questionnaires and interview guides/methods</li> <li>• Initial preparation of field missions</li> </ul>
II. Information Collection	<ul style="list-style-type: none"> <li>• Visit to UNICEF HQ in New York (review of progress-to-date, additional interviews and finalization of logistics for field trips)</li> <li>• Field trips to West, East and Central Africa, Asia and Middle East (interviews and focus groups with RO and CO staff)</li> <li>• Follow-up interviews by telephone</li> <li>• On-going documentation review</li> <li>• Field debriefings amongst evaluation team members</li> <li>• Administration of on-line survey and questionnaires</li> </ul>
III. Information Analysis	<ul style="list-style-type: none"> <li>• Development of data-base</li> <li>• Analysis and interpretation</li> <li>• Follow-up interviews and requests for clarification</li> </ul>
IV. Evaluation Report	<ul style="list-style-type: none"> <li>• Submission of draft evaluation report</li> <li>• Circulation of draft report to key UNICEF staff</li> <li>• Preparation of final report</li> </ul>

As indicated in the list of informants in Appendix 3, the evaluation team met with an important number of UNICEF staff at HQ, ROs and COs. These informants were met during different trips to New York and the field.

- A first trip to New York on December 13-14, 2004 helped the team to finalize the evaluation's scope-of-work and workplan, to conduct meetings with core informants at HQ (such as in EO, EMOPS, and OLDS), to identify additional informants and to determine supplementary sets of questions.<sup>10</sup>

A second trip to New York on January 19-20, 2005 served as a follow-up to the December trip and allowed team members to complete meetings with sectoral experts at HQ who had been recommended during the first trip. The M&E expert gathered additional data about training activities to supplement what he had collected in the previous trip. The January visit also coincided with a mission by the VALID International team which had been awarded the evaluation mandate for all other DFID-UNICEF programme goals.

- In February, team members began their fieldwork to meet with UNICEF staff in regional and country offices in Africa, the Middle East and Asia. Due to field offices' busy schedules and other constraints, the team was required to split up and to operate individually during most of this time period, as noted in the following table:

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<sup>10</sup> See Progress Report submitted by the Baastel Team in February 2005 entitled "Evaluation of UNICEF Learning Strategy to Strengthen Staff Competencies for Humanitarian Response 2000-2004."

Team member	Dates	Countries
Dana Peebles	February 3-8 February 8-11	Kenya (RO and CO); Somalia Support Centre Malawi (CO); Country EPRT
Winifred Fitzgerald	February 1-5, 10 February 6-9 February 28 March 31; April 8, 15-16	Kenya (RO and CO); Somalia Support Centre Democratic Republic of Congo (CO); Republic of Congo (CO) Madagascar (CO) Nepal (RO and CO)
Raymond Gervais	February 6-10 February 14-17 February 19-22	Democratic Republic of Congo (CO); Republic of Congo (CO) Republic of Senegal (RO and CO) Jordan (RO, CO, and ISCA)

Please note:

- D. Peebles and W. Fitzgerald were teamed up in Nairobi February 3-5; R. Gervais and W. Fitzgerald worked together from February 6 to 9 in Kinshasa and Brazzaville. During this phase of the fieldwork, focus groups meetings were held in Nairobi, Lilongwe, Brazzaville, Dakar, and Amman. These were in addition to the key informant interviews conducted in each location.
- W. Fitzgerald had the opportunity to conduct additional interviews with UNICEF staff in Madagascar and in Nepal, beyond the original field sites that had been identified by the EO and EMOPS.
- R. Gervais and D. Peebles completed the data gathering process by doing phone interviews with key informants based at HQ and in other cities.

## 1.5 Tools Developed by the Evaluation Team

In accordance with the ToRs and in preparation for the second New York trip, the team set out in January to develop the various data collection tools<sup>11</sup>. These tools consisted of the following:

- Training of Trainers (ToT) On-line Survey. The first version of this tool that the Baastel team proposed had both the trainers and trainees questionnaires together. It contained 4 sections and a total of 31 questions. After discussions in New York with the EO during the second trip, the two questionnaires were split and the on-line trainers' questionnaire was finalized with the same 4 sections and a total of 21 questions. Baastel's IT expert then designed an on-line version. The main objective in designing the questionnaire was to make it user-friendly (keeping in mind that most people do not have broadband internet access), so a compromise had to be struck between elegance and speed. The design was done with a combination XHTML/CSS. Two other languages had to be mobilized: programming was done with the PHP language, and the structure of the database was done using MySQL. Since some trainers use Lotus Notes as their email reader, this prevented the Baastel team from sending the cover letter through this email system. The solution therefore was to send the Internet link pointing to the appropriate questionnaire for them to be able to read it.

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<sup>11</sup> Many of the questionnaires are found in Appendix 4.

- Focus Groups Questionnaire. The team required a line of questioning, rather than a strict closed questionnaire, to use during the fieldtrip. If one includes the identification questions to be placed in the list of participants, there were a total of 16 questions. During the Nairobi segment of the field trip, the learning strategies and the humanitarian assistance experts decided to conduct a focus group with UNICEF staff that had participated in EPR training as well as a second focus group with staff who had not participated in an EPR workshop (7 questions). The second group was considered a “control group”.
- Key Informant Questionnaire. Instead of the “line of questioning” approach used for the focus groups, the team adopted a “pool” of 32 basic questions to be adapted according to each informant’s role and involvement in the DFID-UNICEF programme. Topics covered included participation in direct training related to different aspects of emergency preparedness, the effectiveness of the ToT/cascade system, alternative learning strategies, challenges that staff had found in applying emergency preparedness in their areas of responsibility, their perspectives on the impact of the different training modalities and their recommendations for future learning strategies in this area. Many of the interviews could not be submitted to a rigid protocol and became informal and theme-oriented.
- Trainees or Participants Questionnaire. This questionnaire first targeted UNICEF staff that had participated in DFID funded training of any type. In its first version, 21 questions were asked. In the first days of March, growing discussions in UNICEF questioned the design of this questionnaire, arguing that many issues had not been addressed and more questions, mainly qualitative in nature, should be added. It was therefore decided that EPR and PATH workshop participants (i.e. the bulk of the workshops’ population) would be invited to fill in an anonymous on-line questionnaire with 22 questions, many qualitative.
- Non-EPR-PATH questionnaires. Using the EPR and PATH questionnaires as a model, the evaluation team prepared a separate set of questionnaires for other training programmes that had been developed for preparing staff competencies in emergencies: Communications, PSV/PSP (stress management), Health and Nutrition, Monitoring and Evaluation, and Mine Action. Based on each workshop’s stated learning objectives, around 17 questions were devised per questionnaire.
- Phone interview questionnaires. The final data gathering activity was phone interviews. Phone interview questionnaires were set up along the lines of the key informant questionnaire with added pertinent questions depending on the individual interviewed and the specific topic.

Methodologies for focus groups were negotiated with emergency officers in the ROs and complied with standard practice: groups consisted of no more than 15 participants who had participated in DFID-UNICEF programme workshops (or had not participated in workshops for the control groups).

All surveys were based on random selection. The trainers’ sample was created through random selection of the total number of trainers (300 including doubles) that was brought down to 194 trainees after exclusion of doubles, HQ staff that had already been interviewed, and tsunami personnel<sup>12</sup>. Each name was given a randomly produced number and a series of random selection numbers then allowed the identification of 100 trainees (50 being the target and 50 the reserve random names). The EPR-PATH sample of 1000 similarly was chosen from the 1200 names found in lists of participants with a specific statistical weight given to each workshop (stratified sample). The same method was applied for other sectoral workshops and a total of 120 names were isolated. All of these samples were shared with the EO project manager.

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<sup>12</sup> The tsunami personnel were excluded from the survey sample, following a specific request by Ms. Afshan Khan during a January 20, 2005 follow-up meeting.

These on-line or direct surveys were greatly hampered by:

- The weak M&E system<sup>13</sup>. Not only were the lists of participants not exhaustive, but there was no easy way to verify if workshop participants were still working for UNICEF.
- No direct access to the total UNICEF list of e-mail addresses<sup>14</sup> in a database or usable form to produce the surveys' sample list and control its reliability. This produced a large number of sample "dropouts".
- The decision not to exclude partners from the trainees survey, partners for which no e-mail addresses were often given or that could not be traced.
- An indirect monitoring strategy of the survey administration process, through UNICEF's EO, which blurred the line between the process itself and the expected results. Many of the important stages of the survey processes had to transit through EO and the normal monitoring of response, or non-response, was not executed by Baastel.

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<sup>13</sup> See section on the programme's reach.

<sup>14</sup> UNICEF IT had deemed that a direct access would infringe UNICEF staff's privacy.

## 2. Overview of Evaluation Criteria

This evaluation has focused on three sets of assessment criteria. The first set of criteria relates to how the different learning strategies that UNICEF has used have contributed to the mainstreaming process. The second set of criteria assesses whether these learning strategies were in line with the best practices outlined by the United Nations System Staff College (UNSSC) to facilitate the development of a learning culture that leads to improved management capacity and organizational performance. The third set relates to the actual impact of the learning strategies used on UNICEF's performance and its capacity to plan for and respond to humanitarian crises.

The learning strategies identified include the following:

1. Direct learning (content workshops and TOT workshops, inter-agency training)
2. Web-based and distance learning (internet courses, intranet sites, and CD-ROMs)
3. On-the-job training (staff exchanges and deployment, coaching and mentoring)
4. Lessons learned
5. Contingency planning process
6. Learning plans

The following overview provides the evaluation team's understanding of the different assessment criteria. It is followed by a review of each type of learning strategy based on these criteria.

### 2.1 Mainstreaming Emergency Preparedness and Response

The term "mainstreaming" originates from the gender mainstreaming processes adopted by the UN system over the past two decades. It refers to the shifting of responsibility for a particular set of issues from specialist positions to all staff members within an organization. It means that each person has to have awareness of what his/her specific responsibility related to this issue is. Staff also need to have sufficient understanding of the technical requirements of this issue to implement related work effectively, and they need to be aware of what are the related procedures and processes they have to follow. Mainstreaming also means that staff is held accountable for being able to integrate this particular issue into their daily work. The issue concerned becomes a strategic and integral part of the organization's operations and affects the centre of the organization as opposed to remaining on the periphery. Any mainstreaming process has to have the following three components to be effective:

#### Normative Framework

- A general mandate or policy that has been approved by the organization regarding integration of the issue throughout the organization's programme delivery.
- Complementary regulations that elaborate on the general mandate, and which establish the related rights and obligations of staff at the different levels of the organization.

#### Organizational Development

- Integration of the issue throughout the organizational culture (in proposals, procedures, work-plans, management plans, etc.).
- A review of human resource policies related to recruitment, promotion, etc. so that having experience related to this theme is included as a decision factor.
- Specific budgetary allocations in each programme to support the mainstreaming process and related activities.
- Establishment of a report back process on how these funds have been spent and their impact on the programme in question.
- Awareness, content and procedural training related to the issue.
- A focus on the issue being mainstreamed in the organizational climate or the human and communications environment of the organization.

## Implementation of a Mainstreaming Process

To implement or operationalize an effective mainstreaming process an organization also needs to:

- Establish procedures and tools to integrate the issue in the organization's performance towards the exterior (conferences, diplomatic relations, etc.).
- Establish procedures and tools to elaborate, execute and evaluate policies and programmes from the perspective of the issue concerned.
- Train and build staff capacity so that they can acquire the necessary skills and knowledge they need related to the integration of this issue in their primary areas of work.

Goal 4 of the Strengthening UNICEF Programming as it Applies to Humanitarian Response project focuses on the implementation of this last point. The assessment criteria used in this report are based on an identification of the skills and knowledge staff need to learn to be able to mainstream emergency effectively. These include:

- Knowledge of UNICEF policy mandates related to planning and response to humanitarian crises;
- Ability to plan for and respond to humanitarian crises;
- Awareness of individual and institutional responsibility for planning for and responding to humanitarian crises;
- Leadership skills to provide a clear vision to plan for and respond to humanitarian crises.

## 2.2 Mainstreaming Classification Systems

The degree to which an organization has effectively mainstreamed an issue is another indicator of the success of mainstreaming initiatives and related capacity-building process. Classification categories for mainstreaming processes include:

**Zero mainstreaming**, implying that there has been either little or no mention of emergency.

**Pro Forma mainstreaming**, indicating that a superficial token sentence or paragraph is found in programme or policy design documents and that there is no evidence that it has affected the structure or activities of the organization's interventions.

**Integrated mainstreaming**, meaning that a systematic analysis was done of the humanitarian response requirements but that there is little or no evidence that it affected how the institution operates.

**Institutionalized mainstreaming**, signifying that the findings and results of the humanitarian response analysis were evident in some aspects of intervention design.

**Implemented mainstreaming**, referring to the fact that the intervention went ahead and implemented the changes suggested by the humanitarian response analysis.

**Monitored and evaluated mainstreaming**, meaning that systems for monitoring and evaluating the interventions gathered the necessary data and conducted the appropriate analysis to report on the results of the intervention.

There is still some confusion throughout UNICEF, during both Phase I and Phase II of the UNICEF-DFID Programme of Cooperation, about what *mainstreaming emergency* means. Carol Bellamy did not want UNICEF to have a "firehouse" mentality of dealing with emergencies since most of UNICEF's work is more development-focused. Ms. Bellamy, therefore, did not want UNICEF to be sending in emergency teams the way organizations such as Doctors Without Borders (MSF) do to deal with a crisis. She wanted everyone to be responsible and to support the agency's responses to emergency situations. This meant every Country Representative, every health advisor, every project officer, etc. needed competencies in

emergency response. This attitude, however, was never meant to be interpreted that UNICEF should not have an in-house expertise in emergencies. There is now a growing recognition and appreciation for the fact that special skills and expertise are required for some aspects of emergency work.

However, it cannot be said that UNICEF has completely mainstreamed emergency in its systems. In the current medium-term strategic plan (MTSP), only one line mentions “emergencies”. This is despite UNICEF’s heavy investment in emergency. Staff are increasingly aware that there is a need to make linkages between Human Resources, training activities and skills/competencies, but so far this is being done more on an informal basis and has not been systemized.

To date, with regards to its capacity for preparedness and response to humanitarian crises, UNICEF appears to be at the institutionalized and implemented mainstreaming stages. Some regions are further along in the building of their capacity in emergencies than others and are already implementing emergency preparedness and response plans and other humanitarian response planning and programmes. Other regions are still at the institutionalization stage, while the achievement of a fully monitored and evaluated mainstreaming process appears to lie in the future for the organization as a whole.

### **2.3 Other Assessment Criteria: Best Practices in Mainstreaming Processes**

Past experience has shown that the most effective mainstreaming programmes have all had similar characteristics. Therefore the evaluation has also included these in its overall assessment criteria for Goal 4. These best practices include the following:

1. Individuals working on the initiative were able to demonstrate how attention to the issue would contribute to the overall objectives of the initiative and were able to merge the specific objectives related to this issue into the organization’s overall development objectives.
2. There were turning points in a programme’s life that provided “windows of opportunity” for specific elements related to the issue (e.g., training, surge capacity deployments, alternative learning tools, incorporation of an EPRP in the annual workplan of a CO, etc.)
3. Personnel were open to feedback from the ongoing monitoring and evaluation of the policy’s progress and responded to it by adapting programme design when necessary.
4. The persistent efforts of individuals committed to the achievement of issue objectives from the start to the finish of related interventions made a significant difference in the success of the mainstreaming process.
5. The requirement to implement the institution’s mainstreaming policy provided an incentive for the initiation of initiatives or facilitated their implementation.
6. There was a significant proportion of staff with relevant experience involved in related programme design and delivery.
7. Successful issue-specific initiatives did not isolate the staff concerned, but served to integrate them more fully with other staff.<sup>15</sup>
8. There was a strong and visible commitment to the issue being mainstreamed from senior management.

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<sup>15</sup> Goss Gilroy, Inc., and Helen Trevor Thomas Consulting Ltd., 1996, WID/GE Performance Review: Best Practices Study Final Report, pp. 7 -14.

### **2.3.1 Best Practices in Learning Established by the UNSSC**

The UNSSC has established six principles related to best practices in learning strategies that the evaluation team has also used as assessment criteria. These six inter-related principles of the UN Organizational Learning Framework are:

1. Learning is strategic.

Learning enhances the Agency's ability to meet its strategic goals and objectives. Learning is seen as a strategic and essential investment in staff.

2. Learning is a shared responsibility.

Learning is the shared responsibility of the learner, the supervisor and the organization. Learning specialists provide support to enable and engage staff and managers in learning activities.

3. Learning is more than training.

Learning is both a process and an outcome. It includes formal and informal approaches to developing knowledge, skills and behaviours. Learning can be individual, team or project-based/oriented. Learning is not limited to classroom-based training.

4. Learning is a part of the culture.

Learning is anchored in the management culture and its support systems.

5. Learning is accessible.

All staff have the right to access appropriate learning and career development opportunities.

6. Learning is effective.

Learning needs are met in an effective way and learning has a positive impact on the quality of the work.

To this list of six, the evaluation team has also added a seventh: that "learning is sustainable". This is particularly important for the emergency mainstreaming learning initiatives.

### **2.4 Situation before the UNICEF-DFID Programme of Cooperation**

Prior to the UNICEF-DFID Programme of Cooperation, key informants noted that the attitude towards emergency within UNICEF was that any related work was the responsibility of emergency specialists who tended to have little interaction with the longer-term development programme personnel. They were perceived as experts who functioned effectively in emergencies and thrived in a high adrenaline type environment, and were referred to by some as "emergency cowboys". In general, there was not much of a mentality of emergency preparedness in UNICEF, with some staff observing that one could not even mention the word "emergency" before the Programme of Cooperation.

In general, there was a disconnect between programme personnel and administrative personnel, with there being little understanding of each other's areas of responsibility. There was also limited, if any, understanding of the different policies and procedures in place for programme delivery and administration in an emergency situation.

At the management level, Representatives were seen as being afraid to ask for help during an emergency in case this would lead to their being perceived as less competent and possibly hurting their

career development. Staff with significant emergency experience felt that they were relegated to work only in emergency situations and noted that senior managers who lacked significant emergency experience did not always fully understand the importance of emergency preparedness. There also did not appear to be a general understanding of the need to ensure that programme delivery in an emergency should have a close connection with programme delivery in a non-emergency situation.

Due to UNICEF's decentralized organizational structure, the key responsibility for emergency preparedness and response lies at the regional and country office levels. Headquarters is supposed to develop policies and supporting training materials and systems, but the onus is on the regional and country offices to take the lead in this area. For this reason, there were very diverse and uneven responses to humanitarian crises in the past.



### **3. Assessment of Different Learning Strategies**

#### **3.1 Direct Training**

Given this situation, the learning strategies developed through the UNICEF-DFID Programme of Cooperation have focused as much on changing staff attitudes towards emergency as they have on developing specific skills. The primary learning strategy used by UNICEF in this project has been direct training and a significant portion of the project's resources have been allocated to funding workshops on diverse emergency-related topics. The two main training programmes developed through the project were the Emergency Preparedness and Response Training (EPRT) and "A Principled Approach to Humanitarian Action" (PATH). These are the two sets of direct training that were offered to UNICEF on a fairly global basis.

In addition to these two training programmes, the key sectors in which UNICEF operates have also developed and offered different types of direct training related to emergencies. These include:

1. Health and Nutrition
2. Education
3. HIV/AIDS
4. Mine Action
5. Child Protection
6. Monitoring and Evaluation
7. Communications
8. Stress Management

UNICEF has offered direct training related to emergency in three different ways. The first has been to set up a Training of Trainers (ToT) or cascade system of training in which a group of UNICEF staff are trained in both the subject area and on facilitation skills. These trainees were then expected to go out and train others at the RO or CO level. The second method was to bring in professional trainers or sector experts from headquarters, the region or from external organizations and have these trainers deliver training to participants at the regional and country levels. Regional training generally involved the RO asking each CO in the region to send one participant to take part in the training sessions — which were usually held once a year or sometimes once every other year. Those participants were then expected to share this knowledge with their colleagues upon their return to their country offices, although in a more informal way than was the case for the ToT participants. The third model has been to have UNICEF staff offer emergency training to UNICEF partners at the country level.

##### **3.1.1 Training of Trainers Model**

The ToT model is one that is particularly favoured by UNICEF. This is in part because it is a way of making financial and human resources stretch further, and in part, because it can also build staff capacity and increase staff skills. ToTs have been a key strategy for UNICEF so as not to be dependent on outside consultants or headquarters-based trainers.

The ToT model is based on the premise that there is a need to have trainers who understand the UNICEF system of operating and the agency's organizational culture. It often means making trainers out of staff who have little or no training experience. It also requires that the trainees' supervisors give them release time to serve as trainers both inside their own offices and externally.

Different staff that were interviewed for this evaluation had mixed views on the effectiveness of the ToT approach.

A lead trainer for the EPRT course was fully confident that the ToT strategy for this course was effective within a UNICEF context. She noted that:

With UNICEF, the ToT system works. UNICEF has a culture of ToT that is well established. People are expected to pick it up and run with it. Many of the first EPR ToT groups have picked up the ball and run with the program... This is partly because they have a strong liaison person in Jenny Wolfsan. I have designed programs before for other UN agencies and have had the materials dropped afterwards. However, Jenny made sure that it was driven down in UNICEF. She was relentless with her emails — keeping people informed and pushing the training.

A senior Regional Emergency Officer, however, raised the following important questions about the use of the ToT model:

- To what extent can/should UNICEF use staff as a resource for training others, be it for EPR, PATH, Monitoring & Evaluation, etc.?
- Do these extra responsibilities divert staff from their core responsibilities?
- To what extent are the newly-trained trainers (those who have gone through ToTs for whatever topic) really trainers after a ToT?
- Can you really expect that they will be effective trainers?

He concluded that perhaps UNICEF needs to consider having a mix of professional trainers and in-house people capable of offering training.

### ***Need for Follow-up Support***

Follow-up support is one of the key factors determining the success of the ToT model and it became apparent from the key informant interviews that systematic follow-up was absolutely essential to ToT success. When this was in place, and there was a strong regional lead as well, the ToT model worked quite well, as was the case in the ESARO region. In that region, there is now a core group of UNICEF staff who can work effectively as trainers even without the support of the lead Regional Emergency Officer. Follow-up to ToTs include:

- Creating a network of trainers with not only horizontal (HQ to trainer) support, but peer support strategies as well;
- Establishing information hubs and encouraging the use of the intranet/internet and more traditional media in order to update trainers' sectoral expertise;
- Formalizing the pool of trainers by (1). Evaluating their training capacities and their efforts to update their knowledge and practice, (2). Requesting their services for workshops in the region or outside their regions, and (3). Disseminating UNICEF's training expertise outside the organization;
- Providing career incentives (or eliminating disincentives) to encourage this diversification and broadening of staff capabilities.

The evaluation team noted that when systematic follow-up is not in place or readily available, then the ToT model was considerably less effective.

A trainer from one of the sectoral areas (Health and Nutrition) observed that:

There have been numerous barriers to the ToT approach: facilitators have not been mobilized and there was often no follow-up, no recognition of the trainers, and no institutional support.

An informant based in New York also noted that she had difficulty getting access to the lists of staff who had participated in the Health and Nutrition in Emergencies training programmes. This meant that she was unable to provide the necessary follow-up at the regional level in a systematic way and that she had difficulty knowing which staff members she could tap for current or future emergencies, such as in Darfur. This situation greatly limited the effectiveness of the cascade approach in this sector.

To ensure that there is a systematic follow-up process in place for any emergency-related training using the cascade or ToT approach, UNICEF will need to start allocating funds from its regular operating budgets. A regional director observed that in the current situation in which member states do not want the UN to expand any of its budgets but to still deliver an improved and increased level of service, this will mean having to make some hard choices about organizational priorities. Several other informants indicated that they felt that the move to regular operating funds for emergency training initiatives was a key to its future success and sustainability. This is particularly important given that approximately 30-40% of programme expenditures for UNICEF are dedicated to situations of crises and emergencies. Funding to meet UNICEF's CCCs in emergencies, though, always seem to be an add-on in terms of budgets.

### ***Wastage***

Another trainer had concerns about the “wastage” involved in the ToT model — although overall she felt that it was well worth the investment UNICEF put into the process.

I have seen the ToT system work really well. Some people turned into great trainers if they were given the right skills, training and confidence. However, it was also clear that there were many people in the ToTs who were not going to go on to train others — for lots of reasons. You could pretty much identify who would go on to train and who wouldn't. However, if out of 20 at least half go on to train others, UNICEF has received its money's worth. Even the people who did not go on to train, became advocates for the training. That is also quite important.

For the EPRT and PATH training, to help reduce the wastage, the trainers used strict criteria to evaluate the participant applications. The criteria included the participants' having either good knowledge of or experience in the subject area or else having significant training experience. However, trainers noted that some participants who did not necessarily meet these criteria still had to be included in some of the ToT sessions for political reasons and that these “political” participants tended not to go on to conduct further training for their colleagues. In other instances, the participants' Representatives would not give them the release time to leave the CO to train personnel in other COs in the region.

The strategy for inviting people to an upcoming EPR ToT in ROSA and EAPRO that is taking place in June 2005 was to request that senior level staff — such as Senior Programme Officers or Senior Emergency Officers and Project Officers — attend. Organizers of this workshop feel that targeting higher level staff for ToTs is key. It will be important for disseminating emergency knowledge and skills and to help mainstream emergency, thereby avoiding some of the wastage noted above. They also do not want to focus exclusively on Emergency Officers and Emergency Focal Points as EPR trainers in their regions. To them, this may be counter to the notion of mainstreaming emergency because UNICEF staff may continue to view emergency work as the sole, special responsibility of the emergency unit rather than seeing “emergency as everyone's business”. In their view, senior staff may be better placed and may have more leverage within a program to push the learning forward after a ToT. They were pleasantly surprised by the high number of responses they have received; in fact, almost all the slots have been filled for the June 2005 ToT with the higher level staff they were seeking.

### ***Information Dilution***

Staff in both MENARO and WCARO have serious doubts about the use of a ToT approach and have concerns that it leads to a considerable dilution of the information being transmitted. This is due to the fact that the often staff participating in the ToTs are not experts in emergency. They are therefore not able to call upon personal experience or examples during training sessions to demonstrate particular points or answer specific questions. Many of them are also not professional trainers. For the staff trainers to be effective they likely need more than just one ToT session. In ESARO, where the ToT approach has been fairly effective, Tanya Chapuisat, Regional Project Officer for Emergency, has had to devote a significant amount of the last three years to grooming the staff trainers. It was also the complementarity of her experience and that of the staff trainers which helped make the approach work in this region. The staff trainers generally had local knowledge to which she did not have ready access and she provided the strong emergency experience.

In the WCARO region, the concern about dilution of information and other aspects of the ToT approach led the RO to decide to have its own emergency personnel lead all but one of the EPRT workshops for the region. In 2004, this meant that two staff were responsible for conducting 15 workshops leading to considerable burn-out and fatigue of these staff resources.

### **Staff Challenges**

Some challenges facing the staff who volunteer to become trainers are that they lack either training or emergency experience and that their supervisors do not necessarily acknowledge the additional work that becoming a regional resource entails for the staff. The trainers therefore have to juggle their regular workload — which is generally fairly heavy already — with the extra duties required by serving as a trainer in the region or even within the CO. The staff trainers at the CO level also do not necessarily have the same credibility as external trainers who are experts in the field from Headquarters or they may have a lower professional rating than the Regional Emergency Officers. The ESARO Regional Emergency Officer also noted that the time she has invested in making the cascade approach work for EPR in her region for the past three years has meant that she has not had time to work on other aspects of emergency programming. While she felt that this investment of time was worthwhile, she also felt that it was time for her to shift her focus and for the country level trainers to take on an increasingly stronger role.

### **Training Skills**

Another challenge of the ToT model is that it draws upon personnel who do not necessarily have significant training experience. They may or may not have emergency experience. In either case, it is important to note that not all people have the right personality mix to become effective trainers — regardless of their actual knowledge of the area concerned. This is one reason that ToT sessions generally have wastage and wind up training personnel who will not go on to lead training sessions in the future.

### **Summary**

The advantages of a ToT/cascade system of training are that it:

- Increases staff skills and knowledge,
- Is more cost effective than simply providing workshops for selected staff,
- Can reach greater numbers of staff,
- Devolves the responsibility for the training from HQ and the ROs to the COs,
- Can be effective because in some instances newly trained trainers know the local context very well and can use the local language for workshops in their own COs.

The disadvantages of the ToT/Cascade system are that it:

- Requires systematic budget and personnel support and follow-up to be effective,
- May not be considered effective because staff trainers are viewed as being less credible than either UNICEF or external specialist trainers or trainers from headquarters,
- Can lead to dilution of the information and messages being transmitted,
- Adds to staff workload for personnel who are already quite busy.

The cascade approach has contributed to the following three Organizational Learning Framework principles of the UNSSC:

*Learning is a part of the culture:* By involving increased numbers of staff as trainers, the role of training as an effective learning strategy in UNICEF is becoming more accepted.

*Learning is a shared responsibility:* The responsibility for the learning is shared with the ROs and COs and is not seen as just a headquarters responsibility. In a number of COs, the staff trainers have also gone on to provide related emergency training to UNICEF's partner agencies.

*Learning is accessible:* Involving staff as trainers makes the training more accessible to greater numbers of UNICEF personnel.

The cascade approach has also proven to work well in this project when there has been:

1. Individual leadership and persistence at the HQ and RO levels that ensured that there was systematic follow-up. This included the establishment of an on-going feedback process so that the trainers' could adapt the programme design when necessary.
2. There was a significant proportion of staff leading the training who had relevant emergency experience.
3. There was a strong and visible commitment from senior management for the training in the COs and ROs.

### **3.1.2 Use of External Facilitators**

The Health and Nutrition programme has been using a combination of UNICEF and external facilitators for their direct training. The reason for this is that the UNICEF staff responsible did not think that UNICEF had the internal capacity to fully develop and deliver the highly specialized training materials required on a regular basis. Those involved in this training felt that this approach was effective but that it meant that the external facilitators had to invest some time in learning UNICEF's organizational culture, systems and language. It was also a very expensive model as the external trainers came from highly accredited academic institutions in the United States.

Both these trainers and a Regional Monitoring and Evaluation Officer observed that there is a need for UNICEF to invest in the development of local external human resources and institutions. They noted that UNICEF clearly does not have the human resources to provide the on-going training needed to ensure that all aspects of emergency in all of the sectors are mainstreamed. Therefore, developing a good working relationship with local trainers and institutions could be one means of addressing this issue. To this end, they recommend including staff from selected local institutions in ToT training sessions and having them act as the lead facilitators in the future, possibly in conjunction with an internal UNICEF staff trainer.

Currently, it is the exception rather than the rule for UNICEF to use external facilitators. However, this is an approach that merits further study as it is clear from discussions with the different Regional Emergency Officers that they cannot be expected to provide all of the emergency-related training in their regions and still maintain their other emergency functions effectively.

To do this, UNICEF would have to identify potential local partner institutions that could fulfil this role effectively if they were provided with some support. This support would need to include training on how UNICEF operates and on the content of the trainings to be provided. In WCARO, it was noted that it would also likely involve having to train the institutions about the quality standards and expectations to be met when undertaking training work for UNICEF.

The major constraint to this approach, however, remains its cost. UNICEF has been unable to maintain at least one of its sectoral emergency programmes to date (health and nutrition) in part because of the cost factor. For the external facilitator model to work then, UNICEF would need to significantly increase the percentage of funds it commits to training from its regular operating budget.

## **Summary**

Supporting the use of local external facilitators would contribute to learning being a shared responsibility and to making learning more accessible. It would also be more sustainable in the long term. If UNICEF worked with the appropriate institutions it could mean that a significant proportion of the trainers hired would have staff with relevant emergency experience. It would, however, mean UNICEF having to change its approach to training to develop effective ways to work with external trainers and outside institutions.

### **3.1.3 Specific Direct Training Programmes**

Although Phase II of the DFID-UNICEF Programme of Cooperation has incorporated more alternative learning strategies, the bulk of the DFID funding has still been devoted to direct training in the form of workshops. These workshops have covered a wide range of topics related to emergencies. The following section of the report reviews each of the main topic areas to give an idea of the depth and breadth of the training offered, their impact and the challenges that UNICEF faces in their delivery.

#### **3.1.3.1. Emergency Preparedness and Response Training (EPRT)**

The original EPRT was developed, tested and piloted during Phase I in the ESARO region. Based on their success, it was taken on for wider dissemination during Phase II. It was designed and developed by people with a lot of emergency experience (such as Ted Chaiban, currently Country Representative in Sri Lanka, who had been the Emergency Focal Point in Southern Africa). UNICEF perceived it to be a good program and one that was well-appreciated by staff, so the agency welcomed its continuation during Phase II of the project.

The EPRT focuses on emergency management and rapid assessment as opposed to trying to develop staff expertise in the different technical or sectoral areas. It is a form of generic emergency management training that targets operations and program staff, particularly at the field level. The purpose of the training is to:

1. Strengthen the capacity of UNICEF to prepare for and respond to emergency situations that have the potential to impact girls, boys and women;
2. Get UNICEF staff to realize that the Core Commitments for Children (CCCs) constitute UNICEF's minimum response in crisis situations;
3. Increase their understanding that mainstreaming emergency preparedness activities creates the foundation for emergency response;
4. Create a common understanding of the systems, policies, tools and language of preparedness (EPRT Facilitators Training Manual);
5. Promote critical attitudes and skills development necessary for working in crisis or unstable situations.

UNICEF has delivered a large number of EPRT workshops at the RO level, inviting all of the COs in the region to each send one representative to attend. In both WCARO and ESARO, the RO has attempted to shift the focus of their training from the RO to the CO level. This allows them to involve the entire office staff in the training in the smaller COs and a significant proportion of them in the larger COs. In Malawi, they have held the EPRT twice and are planning on holding a third session later this year to ensure full coverage of the office.

The participants in the regional EPRT<sup>16</sup> workshops are expected to share their new knowledge and understanding with the rest of their colleagues upon their return. For a number of reasons, this approach is far less effective than when the training is held directly at the CO level. First, the training is designed to try and shift attitudes within the whole institution and it is difficult to achieve this kind of change when only one or two people in a particular office have participated in the training. Second, when the EPRT is held at the CO level it helps demonstrate the clear relationship between operations and programmes and sets the stage for a follow-up EPRP process. The lead on the EPRP process, Everett Ressler, indicated that he felt that the ideal situation was to combine the EPRT with the EPRP process taking place shortly after.

UNICEF HQ also ran a number of emergency training programmes for **senior leaders and for senior programme and operations officers**. However, none of the UNICEF personnel interviewed mentioned having participated in these sessions or brought them up in our discussions so the evaluation team is unable to provide feedback about these targeted programmes.

### ***Training Approach and Methodology***

The training materials have been developed in a modular format so that each country can tailor the training to their particular needs and context. The training sessions are set up to range from a three to five day programme, depending upon the needs and time availability of a particular CO. The standard agenda begins with preparedness, and then focuses on programme and operations followed by a full-day simulation of either a complex emergency or a natural disaster and follow-up actions. The EPR training session that the Evaluation Team attended in Malawi started with a one-day simulation of an emergency to give the participants an idea of both the gaps in their coordination skills and systems and their knowledge of what to do in an emergency. This exercise also provides participants with a sense of UNICEF's approach to emergencies. This is followed by a review of the CCCs and Finance and Administrative procedures during emergencies, methods of conducting Rapid Assessments, and programming procedures and priorities in humanitarian crises. Depending upon the country, the training can then cover key sectoral issues such as sexual exploitation or communications. EPRT can run from three to five days depending upon the complexity of the simulation set-up and whether or not the training is combined directly with the EPRP process. Most training sessions are three days long.

The evaluation team interviewed UNICEF personnel who had participated in the training in English, French and Spanish. Of course, participants were appreciative of the fact that courses and materials had been prepared in the different languages, which greatly enhanced their learning, but feedback did not seem to indicate that there were any significant differences between the course materials or approaches in these different languages. In general, feedback on the course materials and approaches was diverse, but was overall quite positive. The training materials are highly interactive and can be readily tailored to the specific needs of each country. The simulation exercises were cited as being particularly effective, especially those that actually took place off-site in a real emergency simulation site as opposed to the simulations held in a classroom.

The *Kenya EPRT Focus Group*, for example, noted that the simulation exercise in which some of them participated took place in an old refugee camp where they had to conduct a rapid needs assessment of IDPs. They found this exercise particularly useful and they learned from each other; they also discovered what skills they were lacking and what their strengths were. They found the mock interviews held during the media session in their particular training workshop to be quite helpful in learning how to handle press and media in an emergency situation.

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<sup>16</sup> Though not opposite and contradictory, Emergency Preparedness and Response Training (EPRT) and Emergency Preparedness and Response Plan (EPRP) are not identical approaches to emergency preparedness. EPRT emphasizes learning and awareness objectives that can be well suited for groups composed of staff from different COs, for example. EPRP is a hands-on approach where the objectives are to attempt to redefine, for a specific set of possible conditions in a country, the functions and the responsibilities of each staff during an emergency, and then to invest this process in a more complete and concrete emergency plan.

The *Malawi EPRT Focus Group* indicated that the training helped them to learn about the different areas they need to be aware of and to recognize that people are human beings who need respect in an emergency for both cultural reasons and because people are traumatized. They observed that one needs to take all these things into account as well as Human Rights Based Approach (HRBA) principles. Participants in this focus group noted that the training gave them a better sense of the coordination aspect of emergency.

The *Congo-Brazzaville EPRT Focus Group* observed that they learned the importance of coordination as well as the art of controlling information vis-à-vis the media. The use of a video simulation on media responses taught them how to better target messages. Before the workshop, this had been considered a weakness of this particular CO. They also felt that the EPRT underlined their own weaknesses in preparation during the numerous past crises in this country, gave them tools to better manage crises and to communicate more effectively, and increased their understanding that emergencies should be part and parcel of UNICEF programming. It also gave participants a wider view of things and a more inter-sectoral perspective. It facilitated greater priority setting and staff awareness of the importance of the CCCs, which most of them had only read superficially prior to the training.

For the *Senegal EPRT Focus Group*, the positive aspects of the training included:

- Recreating real situations through simulations;
- Working in collaboration with others and acquiring the team spirit in emergencies;
- Conducting video exercises to be able to deal with the media;
- Reinforcing the importance of acting quickly and effectively when managing a response;
- Confirming that the CO had the capacity through the use of role playing;
- Underlining the importance of the partner communities;
- Being prepared for all eventualities;
- Understanding the legal and rights dimensions of emergencies;
- Exercising the development of relations to others;
- Highlighting the ethical dimensions of humanitarian work.

The different focus groups indicated that the following elements would help to strengthen the training programme:

#### ***Congo-Brazzaville***

- Making the training longer and more in-depth;
- Including a review of early warning system components;
- Offering more detail on coordination issues between COs, ROs and HQ;
- Allowing for a discussion of the implication of UNICEF's approach to emergencies for their partners;
- Inviting the government to participate in the training;
- Reviewing the role of government and its capacity to mobilize resources and other stakeholders.

#### ***Senegal***

- Strengthening negotiations skills;
- Developing skills in stress management;
- Including a session on tracing and assisting in the reunification of children;
- Learning how to decrease inter-agency competition and optimize coordination;
- Emphasizing the importance of briefings;
- Having less theory during the course;
- Providing greater explanation of logistics, especially in personnel management;
- Highlighting the importance of links with partners.

## ***Impact of EPRT***

The *trainers* observed that through the EPRT they have found that the workshop participants:

- Become more aware of what they do not know and gain an understanding of why they are asked to do certain things,
- Learn that there is no demarcation between emergency and programming,
- Understand what to expect in an emergency situation and what to do in the field,
- Gain a better understanding of the emergency context,
- Change their thinking completely in that after the training, programmes and operations staff start to work together more.

*Senior management* attributed the following impacts to the EPRT:

- People see themselves as UNICEF staff and not just as sectoral specialists.
- The Somalia program is more *confident* in their emergency response now after the training. In the tsunami-affected areas along the coast of Somalia, for example, country office staff responded very effectively: Within 72 hours of the tsunami, they had supplies in the field, an EPR communications system had been set up and there were adequate staff mobilized; national staff did rapid assessments systematically; situation reports were addressed and covered health, nutrition, sanitation, education, child protection issues. Their analyses, reports and response reflected an understanding of EPR issues and demonstrated that they have learned new skills. The tsunami response was a good test for the programme and senior management feel that the staff rose to the challenge under difficult circumstances.
- Emergency was not as well understood in Malawi three years ago as it is now. The EPRP that was developed and implemented as a result of the training has led to a significant decrease in deaths from cholera — going from 33,000 cases and 3000 deaths three years ago to only 3000 cases and 100 deaths last year.
- In Malawi the effect of the training is spreading in the office. In particular, staff have become much more observant of what is going on in society in Malawi and have started to think in a different way — so that their response is not just treatment of cholera or other emergencies but also of the cause. People now know what to watch out for and there is a system in place for them to report on what they see and how to take action.
- In Kenya, the EPRT participants in the KCO focus group are much more confident in responding to natural disasters (droughts, local floods, fires, internally displaced persons). This was also the case in Senegal.

*EPRT participants* from the four focus groups noted that they feel much more confident about how they should handle an emergency, that they have a better understanding of what their roles are and what the CCCs mean (as well as UNICEF's obligation to fulfil them in an emergency), and that they have a greater appreciation for the linkages between programmes and operations (vehicles, communications, equipment). One participant from operations in Kenya, for example, realized during the simulation exercise that not all programme staff knew how to use a walky-talky and they have subsequently learned how to do so. Very practical issues between operations and programme staff were clarified and each group now recognizes the responsibilities the other group has and, consequently, they respond more quickly to each other's requests. They also developed a greater appreciation about the constraints and challenges programmes and operations each face (Kenya Focus Group — Feb. 4).

In both Malawi and Senegal, the EPRT had a positive result in the personnel's management of emergency stocks (food, materials and drugs). After the training, all stocks and the list of suppliers were updated. There was an increase in inventory activities and more strategic decisions made with regard to which supplies would be ordered.

### ***Trainer Input***

The staff trainers interviewed indicated that they found that they had benefited from participating in their new role as trainers. They found the work to be challenging in a positive way and that they had learned a great deal from the ToT they had participated in. They received a lot of feedback on their facilitation skills from both the Regional Emergency Officer and workshop participants and have been able to use this feedback to improve their work. They indicated that the facilitators' guides were well-prepared and explained everything needed to prepare and lead a workshop in detail. However, due to the need to customize each session and adapt it to the needs of each country in which they worked, they did feel that the EPRT required a lot of preparation — at least one to two full days of time prior to each workshop. They felt that each training session needs three trainers to facilitate effectively.

The trainers observed that it is easier for the COs when it is one of their own staff who is training them. However, in ESARO and the other regions that followed the ToT model, most of the staff trained to serve as EPRT trainers were international staff. Trainers recommend that, in the future, more national staff be trained to serve as trainers and that they be paired with trainers with emergency experience. In the ESARO region they also feel that it is time to train a new group of trainers to bring in fresh perspectives and to diversify the trainer group, particularly as many of the international staff will be moving on in the near future.

### ***Response to Feedback***

In response to the need to do more systematic follow-up to emergency training and contingency planning, in 2004 a new programme was designed to meet this need. The training programme, entitled “**Operation SWOT**” is a one-day simulation designed to test a CO's emergency preparedness and is only targeted at COs that have done contingency planning and EPR training. It has been set up to be followed by a half-day debriefing to help the COs analyze their gaps in emergency preparedness and to identify necessary actions to fill those gaps and to be better prepared. The roll-out of this programme has only recently gotten underway in 2005, but the conceptualization, funding and action planning for this programme was carried out in 2004.

### ***Summary — EPRT***

In general, the EPRT appears to have succeeded in reaching the key objectives outlined in the training manual. It has also contributed significantly to staff's understanding of what their individual roles in emergency are and as such, has done much to further the emergency mainstreaming process within UNICEF. The change that struck the evaluation team most, however, was the increased understanding and communication between the operations and programming staff and their growing understanding of the fact that each and every one of them is now responsible for more than one aspect of emergency planning and response. A major contributing factor to this success has been the high quality, practicality and interactive nature of the training materials. Strong regional leadership with considerable support from OLDS has also been critical.

The different regions still have fairly diverse opinions on the effectiveness and viability of the ToT approach to EPRT with some regions preferring to use their Regional Emergency Officers as the primary trainers and others trying to develop a core group of staff trainers from the COs. All the regions surveyed agreed that the EPRT has contributed significantly to changing staff mindsets with regards to emergency and to the development of effective EPRPs subsequent to the training.

The EPRT has been accessible, effective, a shared responsibility and has helped make learning a greater part of UNICEF's culture. When it has been delivered at the CO level it has also been strategic in that it was then fairly easy to link the training with the subsequent EPRP process. The training worked best when there was a strong and visible commitment to the issue being mainstreamed from senior management at the CO level.

The EPRT has contributed to best practices in emergency mainstreaming within UNICEF in that:

- The different trainers associated with the EPRT have been consistently open to feedback from the on-going monitoring and evaluation of the training. They have not only constantly adapted the training in response, but the training materials were set up in a modular format from the start to facilitate this type of customization.
- There have been persistent efforts by some key individuals who have been committed to the achievement of EPRT objectives from the start to the finish of the training.
- There were a significant proportion of trainers with relevant experience involved in the training delivery.

Areas where there is a need to strengthen existing initiatives or to build on past successes have led staff to recommend the following:

1. If UNICEF decides to continue using the ToT model for the delivery of EPRT, there is a need to focus on training more national staff.
2. The EPRT sessions that included full simulations are worth the time investment as they are quite effective in getting staff to understand the different requirements, attitudes and skills needed in an emergency situation.
3. There is a need in the future to focus on sharing EPRT with UNICEF partners (government and NGO) at the CO level. This need would seem to support the need to include more national staff in future EPRT ToTs.
4. While UNICEF has achieved a critical mass of staff trained in EPRT, due to rapid staff turnover, particularly at the international level, it will be necessary for UNICEF to invest in on-going training for new staff in this area.
5. EPRT is most effective when it is done at the CO level and can involve the whole office, especially the Country Representatives and Senior Programme Officers (SPOs).
6. UNICEF needs to allocate resources for full time trainers for EPRT who can work worldwide as opposed to this remaining primarily the responsibility of the Regional Emergency Officers.

### **3.1.3.2. A Principled Approach to Humanitarian Action (PATH)**

#### ***Background***

In 1998, EMOPS and the Division of Human Resources (DHR) developed a 5-day course entitled “Humanitarian Principles Training: A Child Rights Protection Approach to Complex Emergencies”. The purpose of this course was to provide UNICEF staff and partners a learning tool for applying international legal and ethical standards (the *normative framework*) for the provision of humanitarian assistance and protection of children and women in armed conflict. In 2003-04, the Organizational Learning and Development Section (OLDS) of the DHR, in collaboration with EMOPS, decided to revise this original training program, by incorporating new topics, updating materials, and developing participatory and innovative techniques. Development of the revised training programme was coordinated by Jenny Wolfson from OLDS and Geetanjali (Geeta) Narayan from the Humanitarian Policy Unit in EMOPS. They led the project from beginning to end, including overseeing technical inputs, instructional design, pilot testing and final production. UNICEF staff at headquarters and the field also provided valuable feedback during a pilot testing phase in New York (December 2003) and in subsequent ToT workshops.

The new training programme that emerged from this intensive, participatory revision process is “A Principled Approach to Humanitarian Action (PATH)”, a 3-day course that aims to complement other UNICEF training packages such as the Core Course: Human Rights Principles for Programming,

Programme Process Training, and EPR. The revised course is also meant to complement the self-directed e-learning course that was recently made available in English and French on CD-Rom and on the emergency portal of the Learning Web on UNICEF's intranet site. A 5-day PATH Training of Trainers (ToT) programme was also developed as part of this process.

The PATH training programme aims to reinforce the understanding and practical application of the international legal and ethical standards that guide UNICEF's humanitarian action related to the protection of women and children and is targeted at all UNICEF staff. The programme's sessions examine various aspects of the normative framework and help participants explore the practical challenges and dilemmas facing UNICEF field staff. PATH was designed to be practical, using case studies, lessons learned, and various exercises to help participants learn how to translate the standards into action on the ground. Some of the issues addressed include protecting internally displaced persons and refugees, preventing the recruitment and use of child soldiers, negotiating humanitarian access, and engaging with non-state entities.

The PATH training programme is targeted at both UNICEF staff and partners, and the course is considered suitable for both national and international staff at headquarters, regional and country office levels.

OLDS' strategy for disseminating and rolling out PATH was to offer a series of ToTs across the regions (rather than simply offering regular PATH workshops) in order to have a wider reach, to avoid being dependent on outside consultants or headquarters-based trainers, and to be more sustainable over time. Through the DFID Programme of Cooperation, a total of 7 workshops were held including a pilot testing workshop at headquarters in New York and 6 ToTs organized around the world.<sup>17</sup> OLDS confirms that ToTs have now been held in all 7 regions although it was not able to supply participant lists the Baastel team for EAPRO, CEE-CIS or the sub-region of CARK. 127 UNICEF staff participated in these workshops. Six to nine months after each PATH ToT, OLDS sent out a questionnaire to determine how much follow-up training had been undertaken by the ToT participants.

The goal of the PATH ToT is to reinforce UNICEF staff's understanding of international legal and ethical standards that guide UNICEF's humanitarian action (e.g. human rights, humanitarian principles, humanitarian law, etc.) particularly as they relate to the protection of children in complex emergencies. It was also set up to provide them with facilitation methods and techniques to help them train other UNICEF colleagues and partners on these issues. UNICEF's approach to these ToTs has been to develop the participants' skills and knowledge through hands-on practical experience, accompanied by guidance and feedback from the facilitation team (consisting usually of Jenny Wolfson, Geeta Narayan and/or a Regional Emergency Officer). The facilitators conducted the sessions on training/facilitation techniques and methodologies, but then requested that participants prepare and deliver the substantive sessions on humanitarian principles and legal standards themselves to give them facilitation practice as well as to gain confidence in the delivery of the actual materials. Before the end of the workshops, participants were asked to prepare Action Plans outlining how they would follow up in their respective offices post-ToT.

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<sup>17</sup> Prior to the development and pilot testing of the new PATH course in December 2003, the course was referred to as a Training of Trainers on Human Rights and Humanitarian Principles (HR & HP). This section focuses on both the original course (HR & HP) and the revised PATH training programme since they covered related topics.

## **Impact**

According to one interviewee, participants in PATH workshops have discovered a new appreciation for what they previously had dismissed as theory and their horizons have expanded considerably. Even seasoned emergency workers who initially felt they knew a lot began to recognize the importance of using the different international guidelines and gained a better understanding of the meaning and significance of different terms, conventions and proclamations. In the ToT, participants' skills as trainers evolved and their confidence in themselves grew tremendously.

During the Evaluation Team's interviews, UNICEF staff affirmed that PATH has helped to equip them with skills and knowledge for dealing with complex issues in very challenging circumstances. Participants in Nepal, for example, found the sessions on negotiations with non-state entities (NSEs), children affected by armed conflict, as well as international humanitarian law and international human rights law to be particularly useful. They felt that they were very relevant for the Nepal context and that the sessions gave them a good grounding and understanding of the issues. Staff who received training feel much more empowered and confident dealing with security forces and Maoist rebels in Nepal, given their new understanding of human rights and humanitarian principles.

However, despite the positive feedback from the field indicating that topics have generally been considered relevant and useful and despite the fact that ToT participants have developed post-ToT Action Plans, it is not clear how far this course has had an impact beyond the 127 people who were trained as trainers and whether a critical mass of staff has begun to emerge and been exposed to these important issues. This is due to the fact that there is no regular system in place, at headquarters or even sometimes in the region, to monitor and track whether the new trainers, those who participated in the PATH ToTs, actually went off and trained their colleagues. Despite the fact that OLDS sent out a questionnaire to determine how much the new trainers had conducted trainings after each PATH ToT and to get feedback about their opportunities and constraints (as noted above), it was not clear to staff at the regional level whose responsibility it was to follow through after a ToT in order to push the learning forward and to ensure that workshops were indeed held at the CO level.

Some clearly had the talent and skills to become good trainers if given the support and encouragement; others were less likely to go on and train others for a variety of reasons<sup>18</sup>. The record is therefore mixed. In ESARO, for example, the Regional Emergency Officer was not sure whether PATH trainers had trained others in their country offices. On the other hand, a new trainer in ROSA has already offered a 1½ day training for some of his colleagues in a sub-office in Nepal. He, along with the other new PATH trainers in the Nepal Country Office, plan to offer training to staff in all sub-offices across the country and will be able to lead the sessions in Nepali in order to enhance participants' learning and to enrich the discussions. At some point, they may also be offering training services to other UN agencies such as WFP in Nepal.

## **Strengths**

An important strength of the PATH training programme is the fact that it was developed with the input of many different UNICEF staff, UN agencies and NGO partners. PATH is the result of many months of interviews and design work, pilot testing, and feedback from UNICEF staff at headquarters and in the field. The involvement of quite a range of staff with varied understanding of the issues (i.e. some with legal backgrounds, others who were "lay" persons) has helped to ensure that topics in the course are relevant for UNICEF staff and programmes, that training techniques are varied and effective, and that sessions are user-friendly and appropriate. Indeed, the goal in designing the training package was to

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<sup>18</sup> As one interviewee noted, however, even those who do not go on to train others become advocates for the training which is also quite important. In her experience, she has never seen this training not have an impact on everyone who participates.

make it interesting, to engage staff and partners in using humanitarian principles with case studies and games, and to allow them to interact with the material so it would not be too dry, lofty or intellectual.

Many workshop activities are based on actual conflict situations and case studies, so participants with prior experience working in emergencies may find it easier to relate the content to their own experience. Nonetheless, staff in the field still consider the course to be very helpful for those who have never worked in conflict and who have never worked in emergencies.

In general, participants felt that the course materials, facilitation and schedule were useful, relevant and appropriate (although a couple of modules were considered too centred on legal aspects in some staff members' view). In fact in Nepal, participants felt that it would have been helpful to have had such training before since the situation in that country, with an on-going insurgency since 1996, is so complex. For them, the PATH course helped to boost their confidence and has allowed them to articulate humanitarian principles much more effectively with partners and the UN family, with rebel groups and with the government.

As noted above, during the PATH ToT each participant was asked to co-facilitate (with another participant) one or two of the sessions in the programme. Feedback from participants who took part in the ToTs indicates that this was a very effective learning approach. Participants felt it was participatory, encouraged them to study and prepare their respective sessions, and motivated them to master the content since they had to present the material to their peers. They were subsequently critiqued and given feedback on their knowledge and grasp of the material as well as their training skills.

Like the EPR, PATH is a modular-based course, so the training programme can be tailored for different country offices and different audiences, depending on the context. In some places, COs have wanted all staff to get exposure to the human rights and humanitarian principles issues, including drivers and administrative staff. In other offices, training was geared particularly for programme staff. The modular-based format also lends itself quite well to having PATH topics included at other fora (not just formal PATH workshops), such as Senior Leaders workshops or Regional Management Team meetings. Staff at OLDS and in regional emergency offices have taken advantage of such opportunities to introduce PATH concepts at such events.

ToT participants have very much appreciated OLDS' efforts to promote a PATH "alumni" network. Jenny Wolfson has been very helpful in sending out updates on modules and training techniques, getting feedback from new trainers, sharing new materials, and so on. They feel that it would be useful to have such a coordinating role at the regional level as well, closer to the field offices.

### **Challenges**

There remains some uncertainty and debate as to who should take the lead on PATH at both regional and country office levels. Who, for example, should be responsible for pushing this forward in the regions and country offices, as Regional Emergency Officers have done with EPR? Should Regional Emergency Officers take on the responsibility for promoting PATH and ensuring that training is carried out in the Country Offices, or should Child Protection Officers? Should senior staff, such as Country Representatives or Senior Programme Officers (SPOs), be the champions? What role should the Human Resources Officers or Learning Focal Points have in promoting PATH?

As noted in previous sections of this report, several interviewees wondered whether the strategy of having UNICEF staff become trainers is realistic and effective. Do they have the time, resources and support, and in-depth knowledge of issues (especially in legal matters and humanitarian principles that are covered during a PATH workshop) to follow-up and be truly effective trainers? As one participant noted, five days for a ToT may have been a bit short, especially for participants who had never been exposed to the concepts and principles and who had never trained before. He acknowledged that it is a short period of time for new trainers to master the content and to develop their facilitation skills. One person also noted that ToT participants are often not given the same respect and recognition as trainers

from headquarters, so field offices tend to request trainers from New York. They may overlook the fact that they now have the expertise and skills nearby.

OLDS has found that it is more difficult to get financial and moral support for PATH than for EPR since the former is considered more knowledge-based and conceptual in approach. EPR is more skills-based and more results-oriented (there is often an EPR plan that gets developed by the end of a workshop), so EPR is sometimes easier to “sell” to ROs and COs that have to dedicate staff time and money for participating in workshops.

Some respondents also view the PATH training as more theoretical than practical, and suggest that UNICEF develop better ways to transfer the content to the field level so that it is less remote and distant for local staff. Another staff member, however, notes that staff seem to yearn for intellectual stimulation in training. She noticed how much people appreciated learning concepts and ideas, not just administrative systems, procedures and technical processes. It is a very rich course, with lots of issues to debate and she views this course as a valuable opportunity for staff to engage intellectually with one another.

Some offices are making attempts to adapt the PATH program so as to counter this idea that it is too theoretical and not very practical. In ESARO, for example, the Regional Emergency Officer will be testing the idea of incorporating components of the PATH course into the EPR course. The Nepal Country Office decided to try to put the new skills and principles they learned at the PATH training into practice. They organized some treks/missions into rural areas of Nepal so that they (senior managers, field office directors) would be confronted with situations where they would have to negotiate with Maoists, dialogue with them, explain their mandate, and so on. After the PATH course and after real application in the field, UNICEF staff feel more comfortable and confident dealing with the Maoists and they have the humanitarian principles language to do so. They also have a better understanding of what the terms “unfettered access”, “apolitical” and “neutrality” really mean.

In Nepal, the newly trained PATH trainers will also likely not do 3-day workshops on PATH for their colleagues because they fear it would be too time-consuming and too heavy. Their plan is to present 1 or 2 topics during regular field visits, for example by adding an extra day at the end of a field visit in order to present a couple topics and generate discussions. In their view, it might be easier for their colleagues to grasp the material and for trainers to reinforce the learning if presented 1-2 modules at a time over the course of a few months, rather than a 1-time 3-day workshop. Their hope is that this approach will not be too cumbersome and will not overload staff.

### **Summary — PATH**

Feedback indicates that PATH is a dynamic, constructive and useful learning experience for participants. A lot of effort and time were dedicated to developing the course; the high quality of the materials and the creativity in training techniques and methodologies reflect that investment. There is still the impression amongst some staff that the course is not relevant for emergency situations and that it is too theoretical, but field offices are attempting to adapt the course in order to make it more practical and relevant for their own situations. OLDS’ perception is that a lot of the resistance for conducting follow-up PATH training stems from some Heads of Offices not seeing the relevance of this course and that there is a need to do more at the senior level to advocate the importance of learning the ethical and legal standards that guide humanitarian action.

Recommendations from the field and from the Baastel Evaluation Team include the following:

- Have a designated central liaison person/coordinator for PATH in the field at the regional level — not just at headquarters — to push the learning forward, to communicate with new trainers and get their feedback, to share learning and new materials, to track whether new trainers have been able to train and to find out what obstacles they may be confronting, and to promote cross-learning and exchanges about their training experiences.

- Follow progress on ESARO's plans to incorporate elements of PATH into the EPR course as well as the Nepal CO's efforts to offer topics gradually to their colleagues in sub-offices. Capture concrete examples of where and how PATH training has been helpful for UNICEF staff, such as in Nepal. These different training adaptations and successful experiences could provide some valuable and creative lessons for other regions and country offices and could possibly help to dispel the notion that PATH is too theoretical or unrelated to UNICEF's programmes.
- Consider making PATH compulsory for all staff, at least in emergency-prone countries. This may be more feasible now that the course is available on-line. Staff, for example, could follow the self-directed course and complete it by a certain date. Country Offices could then organize meetings as an opportunity to reflect on important issues, discuss the relevance for their context, and consider the implications for their programmes.
- Continue to introduce PATH topics at other fora such as Senior Leaders workshops and Regional Management Team meetings so as to continue the dissemination and mainstreaming process and to get senior staff "buy-in" and support.

It appears that the PATH training is relevant and effective and has been set up to be a shared responsibility. However, PATH needs other champions at headquarters and regional levels to help push the strategy and to make its implementation more systematic and consistent.

### **3.1.3.3. Health and Nutrition**

#### ***Background***

The course on Health and Nutrition in Emergencies has been a joint effort between Tufts University, Columbia University and the Centers for Disease Control (CDC). It was driven by the Health and Nutrition focal points funded by DFID. Two UNICEF staff at Headquarters, Agostino Paganini, a health worker with significant field experience, and Marijeatta Tolvanen, a nutrition worker, were key in establishing this programme. They were concerned that UNICEF had Core Commitments for Children in emergencies (CCCs) but that the staff did not have the skills to uphold them.

UNICEF was aware of the fact that it lacked skills to provide leadership, do assessments, and undertake the technical aspects required for health and nutrition in emergencies. The agency therefore decided to work with institutions that were already working in and had expertise in these areas. This led to UNICEF's partnership with Tufts, Columbia and the CDC. The course was targeted primarily at doctors and health professionals and entailed a highly technical input into the course content that these institutions could provide.

Through this collaborative arrangement, in December 2002 UNICEF held a pilot course in Nairobi to field test the modules and materials with representation from all of the regions. The initial feedback indicated that the course was quite relevant for UNICEF health and nutrition personnel. The participants felt that the nutrition modules were generally better than the health ones and that there was also a need to review the modules on communicable disease and on HIV/AIDS in emergencies. This latter issue is still considered relatively new so there is not much field experience to draw upon in this area. CDC therefore had to pull together all the guidelines and policies from other agencies to be able to give an overview of the key issues to course participants.

Some materials have been put on CD-ROMs and some interactive learning courses have been prepared. One Regional Health Advisor thinks that these materials could be more organized and systematic and that with some revisions on a few modules, UNICEF might be able to work on them on their own. For these types of modules there is a need to find a balance between academic, university-style training and practical, field-level learning. For example, during the training session on nutrition in emergencies held in Ethiopia, there was a module on measles. It focused not just on the technical aspects of measles, but also the practical logistics, management, and coordination aspects of dealing with measles programmes.

In an emergency situation, sometimes it is these issues — logistics, management, collaboration with partners, and negotiations with various parties — that are the major challenges that UNICEF staff face in emergencies, not just the technical challenges.

The materials review process should also consider including a case study on Ethiopia which was “a shining example of an effective emergency response” that used a different model for building capacity than that used in the UNICEF training modules. They were able to reduce mortality to almost 1% by setting up feeding centres and this could serve as a good training tool for other staff.

The original idea was to offer the course in each region with the primary target for UNICEF being the health and nutrition officers at the CO level, along with some government counterparts and partners, and other UN agencies such as the WFP and UNHCR. The 1st regional session of the course was offered for the ROSA region in Kathmandu and ESARO held a session of the course at its regional meeting in August 2003 in South Africa.

### ***Impact***

The issue of *who* is sent to these trainings is critical. Zimbabwe sent 2 international staff to the 2003 course in South Africa. UNICEF regional staff feel that their participation was critical for the Zimbabwe Country Office and they have observed that the quality of Health and Nutrition reports coming from that office has improved. In general, the CO staff's comments to their partners in Zimbabwe are more technical, objective and constructive; their technical analyses are more in-depth; they have more substantive discussions amongst themselves on methods, etc. In Ethiopia, they have also had positive feedback from partners and others.

At the other end of the scale, the Uganda CO sent two local, field-based staff from Northern Uganda, where UNICEF's emergency programmes are based. However, the regional staff felt that their impact on the management of the crisis there has been less than in Zimbabwe because the level at which these two staff members operate and their decision-making responsibility are low. This means that they have had a more limited impact on the country programme, or at least on the interventions in the north. It is therefore recommended that more senior health and nutrition officers participate in these workshops since they are in more of a position to have a positive, broader impact on the programme.

### ***Strengths***

A key informant at UNICEF headquarters indicated that there has been a strong endorsement and vote of confidence in the health and nutrition course. He observed that the impetus for continuing this training has come particularly from Regional Emergency Officers and EMOPS, even more than from his colleagues in the Health and Nutrition Division. The current head of EMOPS has become a particular champion for this training. It is clear that there is a strong need for training of this type.

Through the Health and Nutrition course, UNICEF has developed a “co-facilitation” approach that could be used as a model for other training programmes for which UNICEF relies on external facilitators to develop and deliver the course materials. In this instance, UNICEF staff co-moderated some sessions with the external trainers. Sometimes the co-facilitation was done with country level staff; e.g. a country case study on cholera would be facilitated by the country level health officer plus an external specialist. This co-facilitation arrangement meant that the external trainer's technical expertise was complemented by an internal staff member's understanding of UNICEF's programmes, policies and organizational culture.

UNICEF staff found that it was particularly useful to have the same external consultant come back for multiple trainings; e.g., the CDC resource person for the communicable disease module did the sessions in Nairobi, Kathmandu and South Africa. He became more effective over time, as he came to better understand how UNICEF operated. Based on this experience, UNICEF staff concluded that it is better to have the same person lead the sessions at different workshops across regions rather than have consortium partners send different trainers to each.

## **Challenges**

Despite the resounding endorsement of this course by some key Headquarters personnel, UNICEF has not continued to support additional rounds of the training after the initial two training sessions. There have, in fact, been mixed feelings at the HQ level about the effectiveness of the course, particularly the strategy used. One Regional Health Advisor was also told by Headquarters that the course had not had a major impact. He questioned this assessment as he felt that an insufficient number of staff had been trained to achieve the critical mass required to have an impact within UNICEF. He also observed that there have been changes in key personnel at Headquarters so that there is no longer the same level of support for the course as there had been previously.

A critical issue is the cost associated with running these workshops. The course is very expensive since it involves high-level external trainers (the estimated cost per workshop is around \$ 70,000 - \$ 80,000 just for the trainers). Staff involved with this training, though, noted that since it is unlikely that UNICEF will ever have the in-house capacity to mount these courses at the same level as that offered by CDC/Tufts/Columbia, they will have to keep working with outside groups. Both UNICEF staff and external experts involved with this training have suggested that it might make sense to cultivate local institutions in the regions to deliver the course in the future, as a means of reducing the costs and thereby rendering it more sustainable, making the training more accessible to more staff members, and helping to build local capacity.

There was a plan to run two sub-regional courses in ESARO last year but they were postponed. Organizing and running the Health and Nutrition in Emergencies courses require a high level of supervision, coordination and resources. Given such a major investment of time and money, it was felt at that time that the courses could not be organized well enough with existing staff workloads so the region decided to call them off.

One of the external trainers observed that the Health and Nutrition in Emergencies workshops have never had a direct line to key decision-makers in UNICEF (this situation was made even more difficult after the two UNICEF staff members who supported and advocated for the development of this course, Paganini and Tolvanen, were re-assigned to other posts). While EMOPS now defends the project, it has little time and money to invest in doing advocacy for it, and although UNICEF has given its approval to the actual course, it has not made a funding commitment to its future implementation. Consequently, the search for funds has been left to the external team of experts. UNICEF staff noted that they will not be able to continue the Health and Nutrition courses after the DFID funding runs out due to its high cost, despite all the efforts to develop the course. Another staff member, however, indicated that there is currently a proposal — Emergency Response Capacity Development (ERCD) — under consideration with possible funding from ECHO for another 3 years of support. In any case, there are apparently significant disagreements between the team of external experts and the technical division in HQ that go beyond the matter of funding.

As things stand, there has not been any systematic follow-up for the course. Given its highly technical nature and the requirement to have specialized facilitators, it is also not a good candidate for the ToT model that many UNICEF training programmes favour. One of the external trainers noted that this has been particularly difficult in UNICEF because there are numerous barriers to this approach: facilitators have not been mobilized, and there was often no follow-up, no recognition, and no institutional support for the development of staff trainers.

All these factors would seem to indicate that UNICEF will need to continue using external facilitators for the delivery of this course. However, it is a challenge for external trainers to understand UNICEF's system and organizational culture. Indeed, one UNICEF staff member noted that some of the external trainers were less effective as trainers because they knew little about the agency and therefore could not relate the technical content to UNICEF's programmes.

Other challenges to the institutionalization of the Health and Nutrition in Emergencies course include:

- Given the way UNICEF functions, with frequent transfers and high staff turnover (especially of international staff at the regional and headquarters levels), it is difficult to retain the enhanced capacities that have been trained at great cost. Local/national CO staff often remain the same, however, and for this reason it may make sense to try and build local capacity.
- Most people who participate in the course have a lot of responsibilities and heavy workloads. People still tend to think that the “Emergency Office” will handle emergencies and it is not yet in everyone’s mind-set that “emergencies are everyone’s business”.
- Follow-up actions that were supposed to happen after the August 2002 workshop for ESARO did not happen — people were supposed to write case studies, develop materials, etc., but nothing happened because people (at all levels) did not have time and this type of emergency work was not given priority.
- There is a lack of vision within the organization for what it wants to do with regards to the Health and Nutrition in Emergencies course. New people have replaced the key drivers at HQ and in the RO and this course is not as great a priority for them.

### **Summary — Health and Nutrition in Emergencies**

UNICEF with DFID support has invested considerable funds into developing a high-level technically-focused course in Health and Nutrition in Emergencies. The organization still does not have the internal capacity to develop or deliver this level of training in-house. However, it is an expensive form of training; and as a result, despite the high quality of the training materials, UNICEF has not continued to fund the training. There are also very mixed messages coming from Headquarters regarding the course and there is no clear vision as to what UNICEF wants to do in the future.

However, there is a strongly identified need for the training and field staff report that the training was effective. They also note that their Health and Nutrition staff need to have access to highly technical knowledge about how to respond to specific health and nutrition issues in emergencies so that they can meet UNICEF’s obligations for fulfilling the CCCs. UNICEF therefore needs to develop a clear strategy to continue this training.

If the cost of the training is too high to be sustainable, UNICEF should consider investing in building the capacity of local institutions in the different regions that have relevant skills and experience. Regardless of which approach UNICEF uses — continuing to work with the CDC/Tufts/Columbia group or using local regional resources — it is going to be necessary to invest funds in this kind of staff training.

In this instance, the challenges that remain are to find ways to make the Health and Nutrition in Emergencies training more accessible and strategic. It appears that the training is effective and is a shared responsibility. However, the programme needs a new champion at the Headquarters level to help develop a realistic strategy and to help make its implementation more systematic and consistent.

#### **3.1.3.4. Education**

##### **Background**

In the education sector, UNICEF has tried to mainstream education in all emergency activities so that they do not build a “Chinese wall” between the regular and emergency programmes. The idea is to build a continuum between emergency and regular education services to help normalize the situation for children. The objective in the rapid education response is to bring the child back to some normalcy while applying a human rights-based approach.

A key informant in the education sector noted that:

The child has the right to education in all situations. What we do is to provide the 'school-in-a-box', a recreation kit to start up an education program no matter where it is located. The child comes to a learning situation and has access to a teacher or paraprofessional. It could start with recreation to start the healing process. The idea is create a learning environment where the child feels that they have a point of reference and to give them some structure in a time of loss.

To assist in this process, UNICEF has piloted training at the different regional offices for both the education officers and for the teachers in emergency-affected areas. This training focuses on how to administer UNICEF's school-in-a-box programme. This is a resource box with materials with a tangible curriculum — at a minimum it serves as a mobile classroom. The box includes a teacher's guide as well as basic school materials for the children. The guide assumes that the teacher may not be trained and tells them what to do on a daily basis in terms of literacy, numeracy and life skills. The focus on capacity-building in the education sector therefore is targeted more at UNICEF's partners (i.e. teachers in emergency-affected areas) than it is on the UNICEF staff.

The school-in-a-box programme is not just about physical rehabilitation. It is also a personal and emotional rehabilitation in highly challenging situations. Sometimes it even reaches children who have never been to school, as was the case in Afghanistan where formerly only 5% of girls attended school. With UNICEF emergency and programme support, girls' enrolment is now 30%. Alternatively, it may be necessary to stagger children's re-entry into the formal education system, as was the case in Liberia where it was not possible to bring back all children immediately. Therefore, an important aspect of UNICEF's response is the need to have flexible strategies and to be creative.

UNICEF also supports a process of revising curricula with its partners because:

You cannot bring the child to a situation where there is a rigid curriculum. An emergency creates an opportunity for change and innovation — if there were flaws in the methodology before the emergency, these can be changed through this new process.

The curriculum review process could range from 24 weeks to 36 weeks as there needs to be revisions to eliminate bias, deal with language of instruction issues, etc. The idea is to bring the system back to its feet and for UNICEF to take the time to work with their partners to reconstruct the curriculum in a harmonious way.

To support this approach to education in emergencies, UNICEF developed basic modules for training its Education Officers. They are now working on a more advanced training package that aims to develop the skills of Education Officers, to strengthen their capacity to meet the CCCs and to offer support in their coordination role. The Education Unit's goal is to reinforce staff capacity at the regional level for everyone involved in development programmes and not just those involved in emergency work.

### ***Impact***

UNICEF staff are beginning to see that education is also a part of emergency response and that it is not just about providing water and food. One senior education official observed that in the mid-1980s and 1990's, the general attitude in UNICEF was that education was a luxury for refugees, but that today no one would dare say such a thing. It has become accepted that emergency work is not just about saving lives, but also about meeting the intangible needs of the child.

For teachers, UNICEF's work has focused on helping them to work on the basic minimum curriculum in emergency, to introduce elements of peace and conflict resolution into education programmes, and to provide psycho-social support and help cope with children who have gone through trauma. As the teachers themselves have gone through their own trauma, they have told UNICEF staff that they greatly appreciate this.

## **Strengths**

Most of training is directed at teachers using a ToT approach, as this has been the quickest way for UNICEF to respond to a crisis situation. In some instances, this training fills in significant gaps in teacher education. In Liberia, for example, the teachers had not been trained for 10 years so this was their first training in many years. Providing this kind of service gives UNICEF the opportunity to strengthen local teacher capacity, particularly in the rural and less accessible areas as often teachers are only well-trained if they live in or near the capital.

## **Challenges**

UNICEF staff identified the following challenges with regard to education in emergencies:

- The ideal situation is to bring the children gradually back to a formal curriculum that has been revised so that the curriculum does not reinforce old attitudes and convey inaccurate or biased information that may have contributed to the original humanitarian crisis. However, UNICEF tends to bring back the children to original curriculum simply because the staff are in a hurry to reconstruct the education system and do not have time to go through a lengthy review process.
- While UNICEF does its own monitoring in that they work with NGOs and local organizations, the education staff have to create new monitoring systems in each country and crisis. Therefore, there is a need to establish a more systematic monitoring system that they can use to assess the impact of their emergency programmes more effectively, e.g., UNICEF has been quite successful in bringing back millions of children to school, but has also found that it can be a challenge to keep them in school. In Malawi, changes in school attendance are now considered an indicator of more serious underlying problems in their newly developed emergency warning system.
- There is still a need to focus more energies on building the competencies and skills of UNICEF's Education Officers.
- There is also a need for UNICEF to ensure that the cascade effect is going to continue and is supported more fully when UNICEF trains teachers at a central level or regional level. This process also requires close monitoring to see where gaps exist and where additional support is needed.
- While UNICEF itself has enough education staff (almost 150 officers as well as having regional level advisors), if the agency wants to have a stronger impact, it needs to develop relationships with more implementing partners or strong NGOs dedicated to education.

## **Summary - Education**

UNICEF's approach to education in emergencies is to focus on teacher training so that teachers or paraprofessionals can help get children back into a normalized learning environment as soon as possible. To do this effectively, UNICEF's education experts use a TOT approach that requires support from a more systematized monitoring process. The development of this monitoring system would also help UNICEF monitor the short and medium term impact of their emergency education response and help provide feedback for UNICEF's Education Officers.

UNICEF staff have recommended that:

- There is a need to provide a series of learning options to build education staff capacity. This should include working with Education Officers near or during the crisis (on- the-job training) as well as at the regional level where they could have an opportunity for training and for learning and exchanging experiences.
- The training needs to emphasize that emergencies are not likely to last just a few months and that everything is not going to go back to the way it was before that readily. Therefore, the staff

need to learn to think differently; and this attitude needs to be built into the PPPs and not just sector specific training or learning initiatives.

- Training also needs to develop the Education Officers' confidence so that they no longer see emergency as a difficult thing, but rather as something that they can handle.
- Integrating a gender perspective in all of their work is another skill that education officers need training in to help support UNICEF's organizational priorities of increasing girls' access to education. This would help them address issues such as female teachers' not being able to attend the teacher training because of their family responsibilities.
- Child Protection and Education Officers' roles tend to overlap in an emergency situation. How to coordinate this overlap and how to address child protection issues in education are other important issues to cover during training sessions for both Education and Child Protection Officers.

The approach that UNICEF is taking to education in emergency is quite strategic and promotes accessibility to learning for children and for teachers. It is also set up to be a shared responsibility. They are conscious of the need to make learning more than training, but have not yet developed many alternative learning strategies for their Education Officers or their teacher partners.

### **3.1.3.5. HIV/AIDS**

#### ***Background***

UNICEF has established an HIV/AIDS section in New York. Their staff complement includes an HIV/AIDS Advisor for Emergencies who operates from within the Child Protection Unit. This position has been funded by DFID for several years, but is about to be transferred to UNICEF's regular operating budget.

HIV/AIDS in emergencies is a relatively new area of concern for UNICEF as well as for other international organizations. Consequently, there are not a lot of existing materials in this area. In response to this gap in the UN system in general, the Inter-Agency Standing Committee (IASC) established a task force (TF) on HIV/AIDS in emergencies to develop guidelines and standards for integrating humanitarian concerns related to HIV/AIDS into humanitarian assistance programmes. UNICEF has been an active member of this task force which is scheduled to finish its work and disband in June 2005.

The core of the guidelines is a matrix on key areas of emergency response and planning. It is designed specifically to assist development workers in the planning and coordination of preparedness and response to HIV/AIDS in emergency situations. UNICEF is also in the process of developing a training package that is linked with the guidelines. The training package consists of two main tools: The first is a one-hour briefing module with a facilitator's guide geared for policymakers and donors; the second is a one-day workshop that was being finalized during the period of this evaluation. It is aimed for programme management staff and goes into more technical detail on the key issues to consider in the planning and response process. It also includes a case study and analysis of the issues. UNICEF will be involved in the field testing of this training package, possibly in Sierra Leone and Geneva, in order to obtain feedback and fine-tune the materials.

They also planned on holding a feedback workshop to help evaluate the guidelines themselves by the end of March or April 2005. The Task Force members hope that this process will help them determine if the guidelines have been useful in planning and implementing interventions. This exercise will be carried out jointly with the UNFPA in Uganda.

Both the guidelines and the training materials will be publicly available. UNAIDS will be responsible for their distribution and management. The guidelines were introduced at the HIV forum in Uganda and recognized by Uganda's National AIDS Commission and have already been included in small publications and on a web-site, <http://www.aidsandemergencies.org>. UNICEF also plans on integrating the guidelines into their capacity building strategy for humanitarian response.

UNICEF has also developed its own policy regarding what the minimum interventions should be in an emergency context. The CCCs now include an HIV/AIDS section which consists of a set of technical guidelines that focus on how to implement the CCCs from an HIV/AIDS perspective. UNICEF's new "Emergency Field Hand Book" also includes an HIV chapter. All of these materials provide diverse learning tools for UNICEF staff on this subject.

The next step in UNICEF's capacity building efforts related to HIV/AIDS in emergencies will be to hold a series of the one-day workshops on HIV/AIDS in emergencies at the COs and ROs. The first round of training will focus on regional offices. From there, the HIV/AIDS section will develop a strategy based on recommendations from HQ, ROs and COs. For these regional workshops, the ROs will be responsible for the selection of regional and country level officers who will take part in joint workshops on HIV/AIDS and sexual exploitation.

UNICEF headquarters feels that it is particularly important to make sure that staff are comfortable with the new materials, and that they know what is available and how to use them. The HIV/AIDS section also keeps staff up-to-date by sending out regular bulletins and news, including articles, issues papers, and briefings for HIV/AIDS officers. They also send out materials to staff on key programmatic themes as they relate to HIV/AIDS and emergencies, on topics such as rape survivors, risks to unaccompanied children, and children affected by armed conflict.

### **Strengths**

Because HIV/AIDS in emergencies is a new issue to be considered, UNICEF is starting from scratch with regard to how the organization is approaching it. There are not many pre-conceived notions about how HIV/AIDS in emergencies should be addressed and UNICEF is acting in tandem with a wide variety of other UN and international agencies to develop an inter-agency response to how to address this issue. This has facilitated the development of diverse learning strategies and materials that UNICEF can use to strengthen the capacity of its own staff with regard to HIV/AIDS in emergencies.

This has been, in part, possible because HIV/AIDS is a multi-sectoral concern. This has thereby facilitated a coordinated approach to addressing the issue.

### **Challenges**

The learning curve for UNICEF has been steep, as it has been with other UN agencies involved in HIV/AIDS work in emergencies, because this is such a new area. As such, it means developing programming and operational approaches from scratch. This takes more time in some ways than building on existing materials and simply adapting them to a specific country context. For this reason, staff training on HIV/AIDS in emergencies is just starting this year.

Because HIV/AIDS in emergencies is a multi-sectoral concern, it also is not clearly the responsibility of one specific set of officers within UNICEF. It is a combination of health, emergency and child protection. Therefore UNICEF has set up coordinated teams with members from each of these areas, with the idea of trying to link the three of them. Each CO will decide on a different lead (child protection, health or emergency) depending upon their staffing, priorities and the type of crisis their country is facing. This coordinated team is a fairly new approach to this issue and it has had mixed success to date. While not every country has an HIV/AIDS Officer, there is always someone who is responsible for it. There are, however, supposed to be HIV/AIDS focal points and officers at the RO level who could provide support to the CO HIV/AIDS teams.

The HIV/AIDS section has built in an evaluation system for its proposed workshops through the piloting process. However, there is also a need for them to establish a systematic process to monitor and evaluate the impact of future training in this area.

## **Summary — HIV/AIDS**

UNICEF's approach to HIV/AIDS in emergencies is directly linked to the work of the IATF and is partly the result of coordinated efforts at this level. Given the newness of this area, everything being done is fairly new and has required considerable innovation. While this is positive in that it has meant that UNICEF has developed a coordinated approach to learning strategies in this area, it has also meant that the organization was not in a position to implement any related capacity-building initiatives until quite recently. It also means it is too soon to be able to assess the actual impact of the capacity-building efforts on UNICEF staff. It is clear, however, that the progress made to date and UNICEF's active participation in the Task Force would not have been possible without DFID support.

Since the HIV/AIDS section is about to initiate training workshops at the regional level, this would be a good time to take stock and look at the experience of the other direct training initiatives conducted through the auspices of the UNICEF-DFID Programme of Cooperation. There has been fairly consistent feedback that the COs and national staff in particular need more attention. Given that the HIV/AIDS workshops are only one day long, this workshop could be delivered fairly readily to the entire CO staff or, at the very least, a significant number of personnel at this level. This would serve two functions. One is to build the capacity of all staff at the CO level as opposed to only one person per country. The second would be that it would help build a critical mass of UNICEF staff who understand the key issues involved in HIV/AIDS in emergencies. This would contribute to the mainstreaming of this issue within UNICEF and help staff understand that HIV/AIDS in and of itself constitutes a humanitarian crisis.

This approach would require a considerable time commitment on the part of the trainers but would ensure that the training reaches much wider numbers of people. If UNICEF does decide to go this route, it may be prudent to consider hiring external trainers in each region to deliver the training as the organization does not currently have the capacity to offer this training on an on-going basis at either the RO or CO levels.

To date, UNICEF's approach to learning in the HIV/AIDS in emergency area has been quite strategic in that they have collaborated with other UN agencies to develop guidelines and training materials. From this perspective their approach has been one of learning being a shared responsibility. They have also tried to make the learning accessible by posting it on the internet and regularly sending out information and materials to field staff. They have also worked actively to ensure that their approach does not focus just on direct training.

### **3.1.3.6. Mine Action**

#### ***Background*<sup>19</sup>**

UNICEF's Landmine Action and Small Arms Team has five staff funded in part by the DFID capacity building project and in part by a different DFID project fund. Their approach to capacity building is similar to that of the Education section in that they work closely with partners and their focus is as much on strengthening the capacity of their partners as it is on strengthening UNICEF staff's capacities. Mine action only affects a limited number of countries and the number of UNICEF staff involved is also relatively small compared to the other specialized sectors working in emergency. This is one reason that the mine action programme has a strong collaborative approach with a series of NGO and government partners. It is actively seeking to make its work sustainable by providing these partners with the knowledge and tools that they need to run mine action programmes independently.

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<sup>19</sup> Factual material in this section is based on an interview with Reuben McCarthy, Project Officer, Landmines & Small Arms, UNICEF Office of Emergency Programmes, Jan. 19, 2005. This project was a central part of Phase I of the DFID-UNICEF programme.

UNICEF has developed an overall mine action strategy that is disseminated to all country officers. It takes a public health approach to mine action which is in contrast to the development focus of UNDP. Consequently, their focus has been mainstreaming behaviour change and risk education. This is part of an overall mine action strategy and outreach program that is fairly technical in approach. This strategy is based on the premise that mine action tends to be isolated from other development issues and that landmine problems do not go away quickly. UNICEF's strategy in response has been to focus on the humanitarian aspects of the problem. They have been mainstreaming the issue by working through national education systems, particularly in the most affected countries. In the less affected countries, mine action is more of an extra-curricular form of education. At the public health level, UNICEF has focused on the collection of statistics so that they can track their programme's effectiveness, e.g., decrease in casualties when it is possible to track this.

To facilitate the mainstreaming process, the Landmines Team has also been working on training and capacity building related to mine action for the past three years. They have developed training materials and a set of minimum standard guidelines for establishing a mine action programme. The Landmines Team has also developed a number of international standards for undertaking mine action and has developed a core curriculum for training mine action managers.

In November 2003, they conducted a pilot in Atlanta to test new training materials specifically related to training in mine action and public health. The 35 participants, 11 of whom were UNICEF staff and 24 who were government or NGO staff, were invited to expand their perspectives on landmines interventions and to integrate public health approaches. Since the pilot training, the Landmines Team has made regular contacts with the participants to see what they have done with the course and to assess if their views had changed as a result of participating in the workshop. The participants also helped to evaluate the training materials during the workshop. The section currently has an agreement with the CDC for three years to take this training to the regional level. Almost all of the other training on mine action that the Landmines Team has organized has been in cooperation with other organizations such as the Geneva International Centre for Humanitarian De-mining which often offers this type of training for no charge (beyond travel expenses) since they are fully funded by the Swiss.

The UNICEF staff targeted for this training are predominantly Emergency Officers and mine action focal points. It is assumed that the trainees know little or nothing on this topic before the training and that the UNICEF staff might not have a background in mine action. The training therefore covers how to collect information on casualties, how to understand the nature of the problem specific to their country, and how to explore participants' own knowledge, attitudes and practices to landmines. The key to the training is understanding that landmine accidents are due not so much to a lack of knowledge of landmines (their effects and dangers) but to the fact that people in communities are often forced into risk-taking activities, due to livelihood reasons and a lack of alternatives. The training also includes materials on the Convention on the Rights of the Child since UNICEF is taking a rights-based approach and landmines are considered as an indiscriminate weapon that violates human rights.

The Landmines Team has established a strong M & E aspect to the training. They do process monitoring through which they monitor inputs, approaches, staff qualifications, appropriate equipment, etc. They also conduct impact evaluations and look for performance indicators such as the reduction of casualties, positive behaviour change and the adoption of "mine-smart behaviour". For example, through their community based training, UNICEF has helped set up a process through which community members report mines to the authorities (rather than simply avoid them) and then the local Mine Action group comes and clears the mines. Training for managers (emergency officers and mine action focal points), on the other hand, is more management oriented. They are also shown how to train community trainers in referral of affected areas for subsequent clearance and for area marking.

The idea is to give the UNICEF staff and partners the tools they need to help the communities they serve set up long term solutions to deal with the problem. This entails their establishing a coordination program that links a series of actions and practices together. These include:

- 1st generation — basic mine awareness initiatives, such as posters announcing “don’t step on a mine”
- 2nd generation — messages become more mainstreamed/integrated into education
- 3rd generation — training which leads to community members becoming agents of change

The Landmines Team has also identified mine action focal points and has found that there is some overlap between these and child protection, health and emergency officers. In some countries, such as Cambodia, there are also mine action professionals on UNICEF staff.

The team has also integrated mine action information into other UNICEF training programs and has done so with the support of OLDS. For example, they work with the security section on landmine safety training for professionals working in mine-affected areas. The PATH training materials also include a land mine section. The OLDS staff increased landmines awareness and action as an important part of child protection. However, they do not have enough resources to conduct the mine action training programs. This is another reason that this section has chosen to work with external facilitators.

Other strategies the Landmines Team is working on to build staff capacity include:

#### **Direct Training**

- Delivering two mine action workshops at the regional level (Eastern and Southern Africa).
- Holding an annual workshop for the mine action focal points — this year’s theme is small arms, public health and mine action.

#### **On-the-Job Training and Support**

- Providing UNICEF emergency staff with access to a roster of Flying Team mine action experts upon whom they can call when extra professional support and expertise is needed, particularly when they first encounter landmine problems.

#### **Establishing Networks**

- Ensuring that all the mine action focal points know each other and are encouraged to stay in contact with one another through this network. This is facilitated by the fact that there are five main people on the Flying Team roster so these landmine experts interact with all of the mine action focal points, thus contributing further to the strengthening of the mine action network.
- Providing UNICEF staff and partners with contacts with organizations that provide landmine training.

#### **Conferences**

- Participating in a joint conference on war-related injuries and the role of public health to which UNICEF invited public health personnel as opposed to mine action staff and where they suggested that the public health officials integrate landmines programs into existing public health surveys as another means of mainstreaming the issue.

The Landmines Team has also participated in an exchange program and course for senior and middle managers on how to manage landmines action. This is organized by UNDP and held at Cranfield University and James Madison University. The Landmines Team provides the funds (through DFID and EMOPS budgets) for the field officers to attend these courses. The courses cover topics such as stockpile destruction, victim assistance, advocacy, strategic planning, monitoring and evaluation, and accreditation and clearance.

Another learning strategy the Landmines Team has used is to develop a series of seven standards covering the key aspects of mine awareness and mine risk education available at <http://www.mineactionstandards.org>. All the major NGOs involved in this sector were involved in developing the standards. The idea is to establish clear standards on the planning of mine action programs and on what constitutes a good mine risk education program (e.g., it must include a community assessment). The Landmines Team is hoping that the development and dissemination of these standards

will help partners to develop and UNICEF staff to support mine action programmes themselves, therefore mainstreaming these sectoral activities. The standards would serve to supplement the work of the field officers.

### ***Impact***

As the Landmines Team is only just starting their training and capacity-building programme, there are relatively limited reports back on the impact of their work to date. However, feedback that they have received from DFID indicates that UNICEF staff are now more generally aware of mine action.

An unanticipated impact of the pilot training that came to light through the follow-up and monitoring process is that, although the pilot was geared towards practitioners, many of the participants went on to train others, as was the case for an Ethiopian trainee who returned to her country and sought to apply what she had learned. This would seem to indicate that there may be a need to develop a facilitators' guide to accompany the training materials for future workshops or for the Landmines Team to hold one training session that is set up as a ToT to accommodate practitioners who are interested in delivering the training themselves in their home country or region.

The Landmines Team has also observed that individual leadership still makes a huge difference. They cite the particular example of an Australian woman working in Nepal with a lot of energy who is establishing a mine action program there and has been able to get the Geneva International Centre for Humanitarian De-Mining to come in and provide training for Nepalese stakeholders and partners involved in mine action.

### ***Challenges***

The main challenge facing the Landmines Team is that their sectoral focus is relatively narrow. Not all Emergency Officers or other UNICEF personnel will consider learning about mine action to be a priority — given all the other demands upon their time. This could hinder the mainstreaming process with regard to this issue in some countries where landmines are not a problem.

### ***Summary — Mine Action***

The Landmine Team's approach to capacity-building is one that could stand as a model for UNICEF as a whole. It started with a clear overall strategy and framework, has developed a range of learning strategies and options, and has built in a systematic M & E process as well as a means of ensuring that their capacity-building initiatives will be sustainable in the future. This has been possible in part because of the vision of the staff leading this section, and in part because this area of emergency mainstreaming has been well funded from the very beginning of the programme.

Their learning approach has been set up to be strategic and as a shared responsibility. Of all of the courses the evaluation team reviewed, it is also the one that made a point of ensuring that learning was more than training. Feedback from the field to date also indicates that it is effective and, due to the guidelines and standards established and disseminated, it is also sustainable.

#### **3.1.3.7. Child Protection**

##### ***Background***

Aside from sessions in the PATH course that focus on child protection issues, learning strategies related to child protection have been fairly limited and staff in both headquarters and the field feel that there is a

strong need for UNICEF to invest more learning resources to support their child protection staff<sup>20</sup>. This is particularly critical as child protection in a development context is still a relatively new area of work, having started in late 1980s. Looking at child protection within the context of humanitarian crises is newer still. Therefore, UNICEF is still in a learning phase with regards to child protection in emergencies.

In the past, the focus has been on *groups* of children, such as street children, exploited children and child labourers, rather than on *systems*. Increasingly UNICEF's approach is one of finding ways to support more systemic change and to work on the promotion of a positive environment for child protection. This would involve actions such as strengthening the family, drafting laws against Female Genital Cutting, preparing legal frameworks, etc.

It is clear that UNICEF's Child Protection Officers need more support to strengthen their knowledge and skills as not only has there been a shift in focus in their field of work, but they also have to deal with issues that involve criminality (e.g. sexual exploitation, abuse), and cultural practices and attitudes (e.g., the treatment of domestic servants). It is the perception of some child protection personnel that this makes the work they do different from apparently more straightforward issues such as health, water and sanitation, nutrition.

Protection issues also tend to be more politically sensitive than health (except for HIV/AIDS), education, and water and sanitation. They are also more sensitive for both the donors' governments and host governments since it means dealing with issues such as sexual violence, child soldier recruitment, trafficking, etc. These are all issues that attract a lot of media attention; host governments may not want to acknowledge that the problem exists in their country or they may be culturally taboo to talk about.

This sensitivity means that work on these issues attracts attention. This makes it even more compelling that the country offices and Country Representatives, in particular, be given more guidance from headquarters on child protection policies and that they be given training on how to articulate these issues and take a stand effectively, how to interact with the media, and how to negotiate these sensitive issues with UNICEF partners.

Headquarters is aware of the fact that there have been a lot of demands for support from the field and that they have not done as much on learning as the Child Protection section would have liked in the past. The Senior Advisor for Children in Armed Conflicts and Child Protection observed that there is a need for greater effort and investment in learning over the next years. They have just received a \$2 million grant from the European Commission Humanitarian Office (ECHO) to fund four more New York-based positions to focus on child protection issues in HIV/AIDS, children that are separated from families (due to natural disasters or conflict) and child soldiers, psycho-social issues and sexual violence, as well as a project manager for the ECHO project. In the Senior Advisor's view, the priority for these new staff should be to focus on updating policies and providing capacity-building support for field staff, something that has not been possible to-date through the DFID project.

There is also a need for more Senior Managers to be aware of child protection issues since most come from different backgrounds in the more "traditional" UNICEF sectors. Consequently, they are not familiar with the new child protection concepts. Any related training or learning materials also needs to work on changing UNICEF culture so that the organization becomes more comfortable addressing these issues.

The training for all UNICEF staff will need to make a distinction between "child protection" and the "protection of children's rights". This is a critical factor in the mainstreaming approach as children's rights deal with the broader issues covered under the Convention on the Rights of the Child. They are also in keeping with the way UNICEF does its work in that children's rights are everyone's responsibility and not

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<sup>20</sup> While the PATH course does not target child protection staff in particular, many of its sessions are focused on child protection issues. PATH was designed to meet initial child protection in complex emergency needs but staff in OLDS and the Child Protection Unit acknowledge that more child protection technical specific materials are needed.

just that of the Child Protection Officers. It is also more advocacy-oriented and promotes building systems and systemic change. Child protection is more specific and specialized in its approach and focuses on protection against violence, exploitation, abuse. It aims to identify strategies to prevent abuse and exploitation, to help rehabilitate children, to respond to their needs.

Under the ECHO programme, Child Protection will have a substantial component to support staff exchanges. UNICEF plans on using this to pay for staff exchanges over the next several years and to send seasoned, experienced staff to offices which have less experience in this area. The Senior Advisor for Children in Armed Conflicts and Child Protection expects that this will accelerate the learning curve and will benefit both the sending and receiving countries. This will be covered from the headquarters budget.

### **Strengths**

The Regional Child Protection Officers and other child protection staff have been quite innovative in pulling together training materials that they can use with their partners — by either adapting existing materials or developing their own. One of the tools that they have found the most useful is the CD-Rom on Action for Rights of Children (ARC) which was funded in part by DFID and helped through another project. ARC is a self-learning tool that they find they can use for either self-directed learning or to facilitate a workshop. Its only weakness is that it is very refugee-based.

The DFID-UNICEF Programme of Cooperation has also provided funding to develop training to strengthen the capacity of partners in child protection. In ESARO, the Regional Child Protection Officer received \$30,000 to do this. She was also contracted by the Oxford University Refugees Programme to develop a psycho-social manual two years ago and has been able to use the research she did for that project to develop a package on this theme for use in the ESARO region. She has worked on a joint prevention of sexual violence and gender-based violence training session with UNIFEM with 40 participants from across Africa.

Child Protection has already been partially integrated in the EPRT and in PATH so that general UNICEF staff are starting to get some exposure to an overview of child protection issues. However, the field staff feel that there is a need for training materials that are much more child protection focused.

### **Challenges**

The most significant challenges that UNICEF has faced in the areas of child protection in emergencies are:

- It has been a struggle to obtain resources for capacity building.
- Since UNICEF is a very decentralized agency, the Child Protection office in headquarters has had to rely on the field a great deal.
- There has not been as much investment at the headquarters level in terms of systems, policy development or tools.

Prior to the approval of the new ECHO funding, the DFID project provided support for only one person to deal with child protection in humanitarian situations. He was given some additional support by a consultant who is now working full time on HIV/AIDS in emergencies. This limited staff complement has meant that child protection in headquarters has only been able to deal with capacity-building issues on an *ad hoc* basis and that they find they are “putting out fires rather than being able to be pro-active”.

There is also a need to develop evaluation and assessment tools, and to capture lessons learned. While there has been one useful Real Time Evaluation, there are a lot of projects that have not been evaluated. There is also anecdotal evidence from UNICEF staff about child protection issues that need to be researched and documented. For example, staff have observed that where there are female soldiers and security officers present in IDP camps, there is less sexual violence against women and girls living there. This experience and lessons learned need to be documented more systematically, rather than staff

having to rely on stories or their “gut instincts”. Documenting such stories would also support the development of effective policies and programmes.

A lot of agencies in emergency situations also expect that UNICEF will take the lead in child protection, given its high profile, reputation, mandate to work with children, relationships with government, etc. Partner agencies have high expectations in this regard, but to date UNICEF staff do not feel that UNICEF is doing this well enough and feel that there is a need to strengthen UNICEF’s leadership role in this area. There is a particular gap in leadership with regard to violence issues.

At the regional level, child protection staff find that they receive a lot of requests for materials and that the COs are looking to them to provide greater support and coordination on child protection issues. This is a strong reason for UNICEF to develop a training and resource package about what the levels of intervention should be.

### **Summary — Child Protection**

UNICEF has not provided meaningful capacity-building support for its field staff in the child protection area through the DFID project. Most of the funding set aside for child protection was allocated to cover one full-time staff member and a consultant. These human resources, with the best will in the world, were insufficient to be able to do much more than deal with crises that arose in the child protection area over the past three years. As a result, field staff, particularly at the RO level, have had to develop training and other learning materials on their own in order to support UNICEF staff and partners at the CO level. Because child protection is both a relatively new area of work within UNICEF as well as a highly sensitive one, this represents a huge gap in UNICEF’s approach to capacity-building in humanitarian response.

The one advantage of this situation is that the Child Protection section can build future capacity-building initiatives and learning strategies on the lessons learned from this evaluation and the different models that other sections of UNICEF have tried out.

For future capacity-building initiatives, child protection staff have recommended that the priority be placed on the following:

#### **Alternative Learning Strategies**

- Providing a diverse range of learning tools and strategies that will draw in regional institutions, networks, and experienced individuals.
- Learning by doing through on-the-job-training which would be more useful than just learning through training, especially with emergencies and conflict situations.
- Instituting a mentoring program to support the development of effective Child Protection Officers.
- Providing help at the CO level about how to map child protection networks.
- Establishing a system to monitor and evaluate child rights violations.

#### **Direct Training**

- Developing a training package for child protection in conflicts with modules that could be tailored for different country situations. There are core issues that need to be covered in every workshop, such as legal instruments, protective environments (elements that can strengthen or weaken the environment that is positive for child protection — family, communities, education systems, capacity to open up about taboo subjects, etc.), core principles and policies, child psychology. More specific modules could be included or dropped depending on the specific circumstances of the country: recruitment of child soldiers, sexual exploitation, child labor, etc.
- Including codes of conduct in the existing PATH and EPRT child protection modules as well as developing a UNICEF-based toolkit for child protection officers to use in emergencies.
- Providing more guidance on how to do child protection in situations of demobilization, disarmament and rehabilitation (DDR). This could be based on the recent paper that UNICEF produced on child protection and the DDR process.

- Ensuring that there is a linkage between emergency and non-emergency conditions in training and learning materials.
- Taking leadership in the development of child protection training and resource materials with a cross-cutting approach that their partners could use.
- Emphasizing the use of inter-agency models in child protection training materials since it serves to both strengthen UNICEF's partnerships and facilitate the coordination of resources and pooling of information.

### **3.1.3.8. Monitoring and Evaluation (M & E)**

#### ***Background***

There are two aspects that UNICEF needs to examine with regard to the development of staff capacity in Monitoring and Evaluation (M & E) through the DFID project. The first is the actual internal monitoring of the DFID project (Strengthening UNICEF Programming as it Applies to Humanitarian Response). The second is the direct training related to M & E in crisis and unstable contexts (rapid assessment, etc.) being carried out by the Evaluation Office.

#### ***Internal M & E Processes***

Key evaluation staff within UNICEF have observed that training for emergency, generally speaking, had no overarching strategy and that anything could be developed in the different sectors and groups (e.g. as was done in health and nutrition). There was a need to build in an internal review system to assess if the learning strategy, audience, and materials were consistent, coherent and complementary. Instead, what happened is that OLDS focused on the testing and dissemination of the two core training programs (EPRT and PATH). While it is not possible for one person to keep on top of all of this, UNICEF as an agency should. This would entail EMOPS and OLDS tightening program learning achievement standards.

There were two semi-annual reviews carried out jointly by DFID and UNICEF. An EMOPS staff member focused on the review and progress of work plans while an Evaluation Office staff member tried to take a step back and look at the broader issues and to conduct surveys and interviews. However, overall, there has been a weak monitoring of training activities and a lack of a monitoring system in the learning mechanism. At the decentralized levels, they found that the ROs and COs were doing a decent job on pre- and post-assessments of the training sessions provided. Where things seemed to fall apart was at the headquarters level where it became clear that key personnel did not have access to even the most basic data required for systematic follow-up, such as lists of who participated in the different workshops.

Headquarters staff indicated that the problem lies with the fact that UNICEF has a weak planning system for learning efforts, a weak monitoring system for learning efforts, and a limited funding mechanism for learning efforts. There is a need to establish clear baseline levels, to do a diagnosis of existing staff competencies and to define the results they expect in terms of skills development and improved performance. UNICEF has established an HQ-based **Programme Learning Group** to better coordinate all the various programme/emergency learning initiatives in the organization and this group is working on building an internal review system. It was also suggested that UNICEF may need to focus on dissemination strategies at the regional level and on the establishment of learning standards, as well as on the ability of the organization to measure skills and learning. In general, there is an issue of accountability and the Country Representatives and staff need to be more accountable for their performance, including taking a more results-based focus and being clearer about which strategies are to be adopted.

## ***M & E in Crisis and Unstable Contexts Training***

UNICEF has developed a training course on M & E in Crisis and Unstable Contexts, the delivery of which has been focused at the regional level. In this model, the ROs hold the training at the RO or at another central location and invite the COs in the region to send one participant from each country to take part. The training modules provide a background on monitoring and evaluation as it applies to crisis situations and unstable contexts. They are designed to complement but not repeat the main Monitoring & Evaluation (M&E) training package, 'Managing M&E Activities'. The M & E in Crisis and Unstable Contexts modules link directly with the main M & E training package so trainers may draw from both as needed. Since it is a modular-based format, like EPRT and PATH, the trainer can tailor the content for different audiences depending on the schedule and participants' needs. Although the materials were not designed to be followed as a self-directed learning tool, staff apparently have the option of using them that way.

The training provides a review of some general M & E methodologies and conceptual frameworks, but it focuses in particular on how M & E in crisis situations may differ from M&E during a regular programme cycle. For example, there may be constraints on data collection and information sharing during emergencies due to insecurity and limited access in areas where UNICEF works.

The Evaluation Office is also currently developing a model for M & E Training of Facilitators for all programs (and not just emergency programming). A CD-Rom is also being developed. The Evaluation Office recognizes that for the cascade approach to succeed, their staff will need to provide extensive follow-up support and make sure that the training activities do indeed take place after a ToT or ToF. MENA, for example, had a ToT in May 2003, but the EO has noted that none of the participants have conducted any training in the region since then.

Headquarters and field staff appear to disagree about whether it is a good idea to promote the use of a ToT/cascade approach for the M & E in Crisis and Unstable Contexts training. Headquarters staff feel that this should be targeted at the country-level while regional field staff feel that a ToT approach is not possible in some regions due to the amount of time it would take to do the systematic follow-up that is required to make this approach work effectively. There is agreement, however, that for ToTs to be effective, it is important to establish clear pre-requisites for participation and to have a systematic feedback or "report card" process following the ToTs for both the participants themselves and for their supervisors so as to ensure some kind of quality control.

One Regional M & E Officer indicated that her section was already responsible for delivering seven different training sessions a year on a variety of topics. Therefore she felt that they did not have the capacity to supervise an effective cascade process since it requires a strong follow-up process. In her experience, she has found that the RO tends to concentrate on providing training to the countries that are the weakest in M & E or else they respond to the COs that "scream the loudest or have the most resources". For this reason, some training sessions are only offered in alternate years — for example, HIV/AIDS & Emergencies — as they simply do not have the staff to offer all of the specialized theme workshops every year. They do, however, deliver an M & E in Crisis and Unstable Contexts training every year.

For the M & E in Crisis and Unstable Contexts training, the target audience is comprised of both M & E Officers and Emergency Officers (although Emergency Officers tend to be called out at the last minute given the nature of their work). It is only cost effective to hold a training if there are at least 25 participants so in the ESARO region, for example, they have only been able to hold one regional training session in which there was a participant from each country office.

Feedback on the M & E in Crisis and Unstable Contexts training materials indicates that the quality is excellent although regional staff reported that some parts are already out of date, such as the section on conducting rapid assessments, mapping changes in country policy contexts, and doing SWOT analyses. As a result, in the training sessions they conduct in the region, trainers end up using fewer modules and have to figure out what to substitute in their place.

Alternative learning materials include reading and consulting other studies and evaluations — materials which are readily accessible to M & E and Emergency Officers. However, it is not clear if the Emergency Officers have been using these during an actual emergency. In fact, the Regional M & E Officer has observed that these materials tend to be ignored during an emergency.

The Evaluation Office also established a roster of external consultants who can serve as M & E “coaches” in crisis and unstable situations. Information about this service was available on UNICEF’s intranet site, but only two of the coaches have been used to date. Consequently, despite the wide range of UNICEF staff interviewed, the Baastel evaluation team was not able to learn about COs’ and ROs’ experience in using such coaches or the successes or limitations of such an arrangement. These would be valuable lessons learned for UNICEF to document in the future regarding why more use was not made of the external M & E coaches roster.

As is the case in other sectors in which UNICEF works, the M & E staff have observed that they feel there is a need to work more with UNICEF partners and include them in the CO level trainings.

### ***Strengths***

One of the things that work well in UNICEF’s decentralized system is that the different regions are quite innovative in developing new resources. In India, for example, the M & E officers there participated in the MDGs Development Information Training. They then took this software package and adapted it to fit in with the Indian context and every week they enter new information so that it provides a database of emergency information. This type of innovation could serve as a highly effective learning opportunity for other regions as well as a useful tool to support M & E in emergencies.

### ***Challenges***

Given the nature of their work, M& E Officers and Emergency Officers need to work closely together. This makes it important to bring them together in the M & E training. However, they tend to be opposites in terms of personality types making it challenging to put them together in a training session. The M & E Officers tend to prefer to consider things carefully and systematically while the Emergency Officers are used to operating in a fast-paced, high-adrenaline environment where it is necessary to make rapid decisions. This difference in style also hinders communications at the CO level where the two groups also do not appear to interact much.

The separation also seems to extend to UNICEF systems. One Regional M & E Officer observed, for example, that when an emergency strikes, the Emergency Officer will refer to the CO EPRP but that the M & E Officers’ roles tend not to be included in it. Moreover, it is not always clear what the baseline data set is. This was recently the case in Somalia where CO staff could not fully assess the damage of the tsunami as they were not sure what the exact situation was before it hit.

To avoid this gap in information, at the beginning of the EPRP planning process at the CO level, the Emergency Officers need to work with the M & E personnel to include the relevant monitoring indicators. The M & E in Crisis and Unstable Contexts training covers how to do this, yet it has been noticed that when the participants return to their country programmes they have not been following up on this work very consistently.

M & E staff at UNICEF headquarters have also observed this separation and feel that it may extend beyond the M & E Officers. They noted that Regional Emergency Officers and Emergency Focal Points often take the lead on the implementation of the EPRT and PATH, but that it is not clear if they are linked with the planning and staff development efforts in the regional human resources departments. It is also not clear to them if they are linked with the regional sectoral officers in health, nutrition, education, child protection or with the regional M& E Officers.

To provide other learning opportunities for the M & E field staff, UNICEF needs to find ways to facilitate taking staff in countries where things are not working well and have them work for a month shadowing the

M & E process in a stronger country. However, this requires a good personality fit, an in-depth skills assessment and clear TORs that people will respect. There is also a need to match the needs of the country with the knowledge to be offered. This process is hindered by the fact that Country Representatives will not always grant their staff release time for such deployments (see also below, under Staff Exchanges and Deployments in Section 4).

### **Summary — Monitoring and Evaluation**

UNICEF faces two main challenges concerning capacity building in the area of monitoring and evaluation in emergencies. The first is that the organization as a whole has a fairly weak M & E system with regards to learning strategies. The second is that they do not have the staff resources to do the kind of systematic follow-up required to ensure that the M & E in Crisis and Unstable Contexts training is effective and that the trainees apply what they have learned at the country level.

Staff and Baastel recommendations to strengthen UNICEF's approach to M & E in Crisis and Unstable Contexts learning needs include:

#### **Direct Training**

- UNICEF needs to take a long term view and build the capacity of local organizations by working with private firms, NGOs, research institutes or universities to deliver the M & E in Emergencies training as one way to increase coverage of the training as well as to do the follow-up and to provide the facilitative oversight. This will require an investment of both time and money to strengthen local capacity to do this in some regions and will need to be done with UNICEF as opposed to DFID resources.
- A cost effective way to update the training materials on a regular basis is every two years to have headquarters ask everyone who has used the training materials to send in their adaptations and case studies for a consultant to compile. This will provide everyone with good regional examples as well as provide a diversity of effective training approaches that have already been tested.
- The M & E in Crisis and Unstable Contexts package needs to integrate a new institutional focus on Results-Based Management (RBM).

#### **Alternative Learning Strategies**

- There needs to be a stronger synergy between M & E Officers and Emergency Officers at the regional level. An effective way to do this is to set up more team visits of Regional Emergency and M & E Officers to COs so that they can work together with the CO staff and encourage the COs to reflect on different aspects of emergency (in effect, modeling effective teamwork between Emergency and M & E staff).
- It is also possible to foster informal learning from trip reports. This type of learning could be enhanced even more if UNICEF took a more systematic approach to this by, for example, circulating reports regularly amongst staff.

#### **Alternative Tools**

- There is a need to establish emergency indicators for the CCCs and to develop an M & E focused rapid assessment process (MERA).

The M & E in Crisis and Unstable Contexts learning appears to face multiple challenges. There are good training materials, but staff do not appear to be applying what they have learned very consistently. This limits the effectiveness of the training. The problem, however, does not appear to lie with the training materials but rather with the need to put into place sufficient resources to follow-up on the training. There currently appears to be a disconnect between the M & E aspects of UNICEF's work and its emergency functions. Therefore, there is a clear need to develop a global strategy to address this issue and to make the related learning and its application more strategic in nature as well as a shared responsibility.

### 3.1.3.9. Communications

#### **Background**

When an emergency arises, be it a natural disaster or a conflict, it is imperative for UNICEF offices at different levels to communicate effectively. There is the need to communicate internally within UNICEF, across sections and departments within a given office as well as between country, regional and HQ offices. There is also the need to communicate externally, with the public and the media. As outlined on the Emergency Portal of the Learning Web, there are some primary objectives for UNICEF's emergency communication. These include the need to:

- advocate for the rights of the children (and women) affected by the emergency;
- disseminate timely information on the condition of children and women affected by the emergency in a way that increases global awareness of their plight;
- provide information to the various parts of UNICEF that are responding to the emergency (EMOPS, ROs, Supply Section, Department of Communications, etc.);
- provide communication support within the affected country or region to help promote UNICEF and partner programmes aimed at various beneficiaries;
- portray UNICEF's response to the emergency in ways that will encourage donor support for the organisation's programmes.

The office must immediately assess the crisis situation and:

- Determine threats to life support services,
- Determine the size and situation of affected mother-and-child population,
- Make a decision as to who talks to the media,
- Determine priority messages,
- Establish contact with the media,
- Provide media with useful information,
- Develop and constantly update basic fact sheets on the emergency and UNICEF's response.

Despite the recognition of the importance of effective communication during emergencies, UNICEF has not committed significant resources to build staff capacity in this area. The agency also does not appear to have a global strategy in this regard and the communications training that has taken place has been initiated primarily at the regional or country levels. There are communications guidelines on UNICEF's intranet site, "A Checklist for Communications Officers in Emergencies" but it is not clear whether and how often these guidelines are consulted by staff.

There was only one DFID-sponsored activity that the team learned about over the course of the evaluation: a workshop/conference that WCARO organized in Dakar in November 2003 that was designed to enhance the communications culture within UNICEF; a second one is planned later this year.<sup>21</sup> Interacting with the media was also a topic covered in one of the modules of the DFID-funded EPR trainings.

The WCARO workshop involved Communications Officers from both the national and international levels from 24 countries. UNICEF staff indicated that the workshop organizers in Dakar made a good selection of international and national journalists and that this helped make the workshop very useful for the participants. At the workshop, communications personnel from countries such as Nigeria, Iraq, and Benin presented their experiences in disaster communications and information dissemination. This practical

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<sup>21</sup> The evaluation team learned about a training workshop for Communications Officers in ESARO that took place in October-November 2000. Many of the topics covered in this workshop, as outlined in the agenda, related to communications in emergencies. It was not clear, though, whether this was a HQ initiative and whether this was funded by DFID (it is not on the master list of workshops that is described in Section 6 so the team assumes it was not covered with DFID funds).

approach based on real and recent experience also contributed to the workshop's success. Many relevant texts were also presented.

During the various Focus Group Discussions and in interviews with key informants, Baastel team members learned that EPRT participants thought that the sessions with the media interaction simulations to be particularly useful. The participants found this type of mock interview session and the guidance they received on how to work with the media in emergencies to be very helpful. Feedback about those sessions was consistently positive.

There were other activities related to communications and emergencies that did take place in various country offices and regions. Although these activities were not covered through DFID funding (according to information the evaluation team received), they are noted here because they could prove to be useful for developing a future communications in emergency learning strategy. In TACRO, for example, the communications officers have met and spent a full day reviewing what they need to do in the context of emergencies and how to train journalists reporting on children in conflict. The Regional Director has also observed that there is still a need to integrate and insert emergency response as a normal part of communications training.

The Nepal CO has had no formal training in communications in emergencies, but staff in the Communications Section have been very resourceful in developing strategies and adapting materials for their situation. Staff tend to draw a lot from their own on-the-job experience from previous assignments such as in Uzbekistan, Cambodia and Laos. They have also found the regional communications meetings, which are held once per year and focus on a different theme each year, are very helpful for getting new ideas and learning about others' experiences in this area. They have started to prepare media packages for their field staff every day (based in field offices around Nepal), especially in the current context in the country where very little information is getting out to rural areas. No news broadcasts are allowed on FM radio and the local media is censored, so it is important for field staff to get current, accurate and objective information.

The Nepal CO also plans to start preparing briefing sheets with basic figures and situational analyses for HQ, the RO, other agencies and the press as a way of keeping people up-to-date with consistent, reliable information. They adopted the idea from COs in Sri Lanka and Sudan where they apparently were very useful. Similar to TACRO, the Communications Section in the Nepal office also recently organized a series of workshops for local media around the country on Ethical Reporting on Women and Children. They are trying to develop a "Code of Conduct" or a set of principles/guidelines for journalists so that they can report on child soldiers, for example, without revealing the child's identity (through printing photographs of his/her face or by disclosing his/her name). Otherwise, children can become victims a second time through the media, and journalists can also inadvertently put the child and his family at risk.

### ***Impact***

UNICEF staff have observed that the WCARO workshop had a considerable impact in the region. Results include a noted improvement in the editorial revision of news dispatches and a decision to compile the daily news in the region to be sent to the emergency officer to act as a form of early warning system in communications.

WCARO's Regional Communications Officer also noted during the Ivory Coast crisis of November 2004 that communications responses at all levels were quick, to the point, careful, pertinent and consistent. All means of communication were used: Internet, telephone, conferences, etc. Another example he noted was the polio vaccination campaign in Nigeria of September-December 2004 in which there was an unprecedented media coverage and support from both the RO and CO. In general, communications officers in the region have become more responsive to requests for information.

He has also observed that there has been an increase in the quality, quantity and impact of news coverage of UNICEF related stories in the region. Since the turnover of human resources in

communications in the region has not been that great since 2003, he also concluded that the communications capacity in the region has qualitatively improved.

### **Challenges**

Since there has only been one workshop on communications in emergencies to-date, most Communications staff have had to rely on their own resources to develop skills in this area. One Communications Officer noted that when she first started working in Iraq she searched the Internet and UNICEF's intranet for learning resources to support her work there, but was unable to find anything. Instead, she found that she had to learn the art of self-censorship. This highlights the need for the development and dissemination of guidelines for new communications staff on how to handle sensitive issues in emergencies, or at a minimum, to make sure that staff are aware of the resources that do exist on UNICEF's intranet (the Checklist, as noted above).

### **Summary — Communications**

UNICEF appears to have developed an effective direct training course in communications. This now needs to be taken and applied at a global level as currently this learning is not very accessible outside of the WCARO region<sup>22</sup>. Headquarters and the Regional Communications Officers also need to consider finding alternative learning strategies for their communications staff and to tap the successful experiences of COs that have developed tools and materials in communications and emergency on their own. This could include newsletters, a website on communications issues in emergencies, the development and circulation of case studies and lessons learned from other countries, and regular opportunities for meetings and exchanges where these issues could be discussed and shared. They should also make sure that staff are aware of the resources that do exist, especially those already on the intranet.

### **3.1.3.10. Stress Management**

#### **Background**

An important element of being able to deal with emergency situations is to find effective ways to handle the stress that working in that kind of intense situation generates. While UNICEF has developed training materials to support the establishment of stress management support systems in the field offices, there is no team to deal with stress management and peer support issues at headquarters. Instead, there is just one stress management professional in the Human Resources Division, Penelope Curling.

The training materials she developed are based on developing a system of peer support volunteers (PSVs). The premise is that these volunteers will serve as the first line of support in field offices. Their role is to listen and to be empathetic for colleagues who find they are encountering severe stress levels or who have experienced a traumatic event, to explore ways of making the office a more supportive environment and to refer cases requiring more specialized help to local resources that they have identified. They also serve as a focal point between the office and the HQ Stress Counsellor, at times of need, for example following a critical incident. This Human Resource Officer then advises and supports the PSV on further action to be taken, which can include contracting an external specialist, or for her to travel to the affected office, herself.

To develop the training materials for the PSVs, the Human Resource Officer examined resources for other stress management systems developed by the WFP and UNHCR. The WFP package is quite well-

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<sup>22</sup> The dissemination of management information concerning this workshop/conference (number of participants, topics, etc.) may not have been optimal as the following illustrative anecdote suggests: the evaluation team was never made aware of this workshop until one team member arrived in Dakar and was given, when requesting the list of participants, a hard copy of a checklist to confirm "participation to the cocktail of today at 19:30".

established and peer support has a tradition of acceptance within that UN agency. Based on this input, she held the first pilot workshop for the CEE/CIS region in 2003, in Switzerland. This pilot was done based on the WFP material with the addition of a monitoring system to follow up on the impact of the training and to get feedback on the process. The reactions obtained through this monitoring process were very positive.

After this first try, a consultant was hired to develop a specific UNICEF package from the existing material. The objective was to have a detailed training guideline. Following this, the first real workshop was organized by ROSA. It was discovered that it was difficult to contract out the workshop to an external trainer as most of the questions raised by participants were directly linked to UNICEF procedures and could only be answered by someone with good knowledge of the organization, a challenge of using outsiders that was also noted with the Health and Nutrition in Emergencies workshops. An inter-agency PSV training for TACRO was also carried out in Colombia in November 2004, together with WFP and UNSECOORD, and further trainings are planned in MENA in May 2005 and ESARO in June 2005.

The second phase of the training will begin in 2005 and will involve ROSA and CEE/CIS. The main challenge is that regions have different levels of interest and capacities to organize PSV workshops. For example, WCARO organized a workshop with limited input from headquarters and there does not appear to have been a follow-up system of supervision and support of the PSVs.

One purpose of the training is to solicit volunteer peer supporters and to equip them with the skills they need to help colleagues manage stress and trauma. Another is to explain how the peer support system works. In the second phase training, the participants also get the opportunity to discuss case studies brought by other participants so that it is a mutual learning exercise. The course now includes an extra module for HIV/AIDS and other themes taken from case studies. The workshop also works on building skills and consolidating networks to assist the participants to monitor their peers.

The long term objective is to establish the PSV programme in all the regions. The Human Resource Officer is also advocating for a Regional Stress Counsellor to be appointed for Africa because the level of stress is greater there due to the political and civil unbalance and because of the impact of the HIV/AIDS pandemic. ROSA has appointed a Regional Stress Counsellor, who will be starting her duties shortly.

### ***Impact***

It has not been possible to systematically document if the training and the peer support system has had a major impact on staff skills and attitudes. Consequently, the Human Resource Officer has had to rely primarily on the statistical reports that the PSVs complete bi-annually as well as anecdotal information in order to monitor this aspect of the programme. She was, for example, able to obtain some related information from TACRO from the Guatemala office. They reported that the system was effective following severe flooding in the country that also affected UNICEF staff. There was an increase in general awareness that facilitated some problem solving. Another example is Liberia where the PSVs formed a stress management committee, which has adapted a number of creative measures to help staff manage stress. Reports from ROSA also indicate that PSVs have been very helpful with UNICEF staff in tsunami-stricken countries.

A staff member who was interviewed and who participated in the PSP/PSV course for ROSA last year was very enthusiastic about the workshop and the valuable role that she might potentially play in the Nepal CO. She appreciated the content and topics covered as well as the training techniques (role plays, exercises, self-analysis) and the quality of the facilitation. She feels that this sort of service — to listen, to help others de-stress, to guide others to seek out the appropriate support they may need — will be very relevant for field staff in Nepal. There is a lot of stress in the country given the conflict situation. Staff face hazardous working conditions, often work in lonely or isolating conditions, and may be separated from families for long periods of time and may have limited or no access to communications. The course was therefore very helpful in giving the new Peer Support Volunteers tips on how to recognize signs of stress, how to help their colleagues to de-stress, and how to support someone when they are on the verge of collapse.

## **Strengths**

The Human Resource Officer has found that the office focal point system has worked well and it has served to provide the COs and ROs with a first line of support. The peer advisors, while not qualified counsellors, can work with their colleagues on a series of stress reducing activities.

## **Challenges**

It has been hard for UNICEF to establish a transparent selection process. The Human Resource Officer found that while the guidelines for selecting participants were clear, they were not always followed by the Country Representatives. Consequently, some participants did not fit the guideline recommendations and headquarters had no control over who was nominated to become a PSV. This is in no way specific to this type of capacity building activity and has been a recurrent theme in discussions with other sectoral experts for ToTs in other areas.

Although the human resources for this programme are quite limited, UNICEF cannot use its traditional solutions for scarce resources. A ToT approach is not possible in this sector because the knowledge and practice required to deliver this type of service are too specialized. While some aspects of the training can be filtered down, there is a need for a clinical psychologist to do the teaching and deliver the most pertinent services. The system is based on relays using peer stress advisers, but they are only qualified to provide first level staff support interventions, and to make referrals to more specialized services as well as to engage the HQ Stress Counsellor.

Another challenge has been that the divide between the G and P administrative levels remains a major problem, with for example, professional level staff sometimes being hesitant to approach a general services level colleague for support, and vice versa. With this exception, however, the peer system has proven to be about 80% effective.

## **Summary — Stress Management**

Stress management is an important part of any kind of emergency preparedness and response programme. UNICEF, with DFID support, has set in motion the initial stages of a stress management programme<sup>23</sup> that is partly dependent upon training for its establishment on a global scale. Although the training and programme models selected appear to be effective and have a proven track record within the UN system, UNICEF has not allocated sufficient human or financial resources to institute either the training or the required follow-up process effectively. This statement is in no way a reflection upon the organizer of the stress management programme. Rather, it appears to be an indication of the priority accorded to this issue by UNICEF during a time of conflicting demands on budget resources.

There are two ways that UNICEF could make this programme more sustainable. The first would be to expand the peer networks in the regional and country offices. The second would be closer monitoring of the rise of stress-producing situations that could affect UNICEF staff<sup>24</sup> and report writing. This approach will be developed during the second phase of this PSV programme.

The learning strategy being used to support the establishment of the PSV has been solely focused on training to date. Given that it does equip the trainees with the basic skills needed to initiate elementary stress reduction measures in their offices, it also promotes learning as a shared responsibility. Feedback to date also indicates that the learning is effective.

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<sup>23</sup> The stress management programme is larger than the PSV programme alone. It also includes a counseling and referral system, as well as other training and awareness raising.

<sup>24</sup> This is quite clear in the case of Liberia: UNICEF. Evaluation Office & Office of Internal Audit. 2004. Pilot Real Time Evaluation. UNICEF Support in Liberia May 2003-March 2004. New York : UNICEF.

If additional resources were available it would be beneficial for UNICEF to explore alternative learning strategies and tools that could be developed to support this programme, the PSVs, and the staff members who take advantage of this service. It would also make sense to give priority to providing additional support for the follow-up and counselling services provided from headquarters as one psychologist cannot be expected to be able to adequately serve the stress management needs of thousands of UNICEF staff.

### **3.2 Shared Training with Other Agencies**

Various UNICEF staff interviewed indicated that they have either participated in or have helped organize joint trainings with other UN agencies and in some instances with local or regional partners. In all instances, the staff observed that UNICEF needs to do this more often. They felt that it served both to help strengthen relations and communications with the other agencies and led to a richer training experience. In the area of child protection, however, staff did feel that there is a need for specific UNICEF-focused materials.

One course that stood out for several staff is the emergency response simulation course offered by the WFP in which a couple UNICEF staff are invited to participate each year. It consists of a four-day immersion exercise in Sweden. It is a very expensive, high-profile simulation exercise. However, individuals benefit a great deal from it because it is very realistic. Unfortunately, since it is a simulation, it is difficult to disseminate the learning and share such types of experiences with other colleagues.

In general, UNICEF appears to be developing a more coordinated response to emergency preparedness and response and an important part of this has been developing closer relationships with other agencies. Several COs noted that they now have negotiated agreements with the WFP to share or rent warehouse space for storing emergency equipment and materials. Other examples of inter-agency cooperation include the fact that the PATH training programme was designed with both UNICEF staff and their partners in mind. Copies of the training programme were sent in hard copy/CD-Rom to all key partners and is also posted on UNICEF's website. The PATH e-learning course being developed is also targeted at a wider audience and features a lot of what UNICEF partners do. UNICEF partners were also involved in the pilot testing of this programme. The OLDS emergency learning focal point and EMOPS inter-agency focal point are also involved in the IASC Task Force on emergency training and have collaborated on the development of several training programmes, methodology studies, and learning evaluations through this group. UNICEF also takes part in many inter-agency and other agency training programmes (such as the UNSSC Early Warning and Preventive Measures course, UNDAC, UN civil-military training, UN Disaster Management training, OCHA EFCT training, WFP ERT, UNHCR WEM training, Sphere training etc).

While many inter-agency initiatives exist, additional initiatives can and should certainly be undertaken and UNICEF needs to consider developing a global policy that would support increased inter-agency training. Currently most inter-agency initiatives are done on an *ad-hoc* basis and much is dependent upon the individual relationships that specific officers or representatives have developed in the countries or regions in which they work. For example, the Regional Child Protection Officer in ESARO has been working closely with UNIFEM to deliver regional workshops on sexual violence issues. She has found that the sharing of resources has been effective and that the impact of this type of joint initiative goes beyond UNICEF's traditional circles. Staff also indicated that given the growing need for them to coordinate emergency activities with partners, they would like to see a component on coordination skills included in the EPRT and other emergency-related training.

### **3.3 Computer-Based Learning**

A set of tools linked to new information technologies has been promised by commentators and technical advisors to provide UNICEF with a brilliant future in knowledge transfer and learning strategies. However,

predictions must go through the trial of reality. UNICEF with its CO level representations worldwide has been fortunate to have DFID funds, especially during Phase I, allocated to strengthening the technical components of its communication network. It is quite possible that UNICEF staff in most offices are now, or soon will be, able to access courses and materials wherever their location on the Internet or intranet. We now know from the remarkable pace of technical change that, with funds and know-how, goods and services we would never have dreamt of can now be placed in peripheral settings and made operational. However, the most significant limiting factor to the adoption of these information technologies has been the human element in two important ways:

- It is a challenge to convince individuals to accept the investment in time and energy required to learn the basics and then ask them to pursue at a smaller scale this dedication so as to follow technology's on-going mutations.
- When placed under pressure with conflicting requests for attention and time, quite often the more innovative activities will lose out, even if the return on investment may be great.

In both cases informants have mentioned circumstances that prevent them from adopting technological innovations or from taking full advantage of the many digitalized services that the Programme of Cooperation has offered them, such as CD-ROMs, intranet courses, and access to external Internet resources. A common view was that there was no time to either learn new computer-based tools, or to go through a web-based or CD-Rom course. Peripheral sites are exposed to different risks, from random system shutdowns because of electricity cuts to a general lack of technologically sustainable environments, i.e., the limitations in being able to consult a colleague who can answer questions or provide technical advice. To address the more general problem of conflicting requests on staff time, there will probably have to be an organization-wide response to increase funds allocated to capacity building and to develop strategies to encourage recourse to these types of learning tools.

### **3.3.1 Distance-learning courses**

Training resources are found on UNICEF's Learning Web pages. Under the Emergency Portal, visitors discover a wealth of materials including:

- The EPR Training Programme in both English and French. Presented in a modular format, it offers access to all the training materials for this core course. Although exhaustive and comprehensive, the "training" presents itself more like a repository of pertinent documentation in sequence rather than as a learning roadmap. This training, like several other courses that are included on the Emergency portal site, is under review by OLDS.<sup>25</sup>
- The PATH Training Programme. What was lacking in the EPR on-line materials is very present for the PATH Training Programme. Elegantly organized, it guides the potential learner in a logical and pedagogically organized sequence of knowledge and skills acquisition.

Other reference materials are available on the Emergency Portal of the Learning Web for staff to consult and learn from, such as Frequently Asked Questions.

The principal obstacle raised repeatedly by informants was time constraints not only for intranet resources but for CD-Rom or other Internet facilities as well. Many suggested that some courses be made mandatory. One distance-learning program that might offer some lessons learned as a model for UNICEF is the UNHCR course on Child Protection. The course has clear deadlines and staff are given six to nine months to complete it. At the end of this period, the trainees participate in a workshop if they have passed the exams. A UNICEF Regional Child Protection Officer who had taken this course indicated that she found this combination of a distance learning process coupled with a follow-up workshop was much

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<sup>25</sup> A limitation that OLDS faces with the learning web is that it must use UNICEF's software on the intranet (not on internet) which is lotus notes and therefore, visually limits how learning materials and programmes can be presented.

more meaningful than a standard 3-day workshop. What she found particularly useful was that there was constant assessment and that there was a lot of career motivation behind it. UNICEF has written a proposal for a similar type of course as UNHCR's and is seeking funding to support it.

From a management perspective, the richness and learning potential of distance-learning resources may well be obscured by the fact that UNICEF at present is unable to monitor usage of these resources. An e-mail sent to the Baastel evaluation team offers a few elements of explanation:

ITD informs me the database which was developed by an outside consultant is currently not set up to provide the level of detail requested. They can only provide the number of visitors and the number of pages each person visited for all Learning Web pages.

I looked at the stats for November and December. The inferences from this could be misleading, as it would be difficult to discern the number of hits by "data enterers" versus the "knowledge seekers".<sup>26</sup>

Until a technical solution is found, there will always be a grey zone surrounding the usefulness of these resources. Two options could be explored: (1) Establishing an automated intranet hit tabulating system, or (2) Organizing a quick, light survey.

### **3.3.2 Internet-based networking**

The External Training page on the Emergency Portal of the Learning Web points to the Reliefweb and refers to it as "the world's leading on-line gateway to information on humanitarian emergencies and disasters". The hyperlink directs UNICEF staff directly to training resources on this site. A further resource is the Pocketbook of Resources found both on the intranet and in a hard copy. A wide selection of internal and external training opportunities and tools are presented and described.

### **3.3.3 CD-ROMs**

#### ***General perspectives***

UNICEF has developed a solid practice of producing CD-ROMs for training purposes and for the dissemination of materials and documents. For example, the Programme Process course, currently available and distributed on CD-Rom, is being updated to include a new module on emergencies and to better introduce emergencies throughout the course.

When producing CD-ROMs, UNICEF was confronted with essentially two options:

- Develop a self-administered training program. The overall production costs are high because the training materials developed must be programmed for use on a computer, ideally maximizing the multi-media possibilities. If UNICEF HQ managers wish to further control the training's success through a certification procedure, the level of complexity is increased one more level. On the other hand, the reproduction and delivery costs are negligible.
- Offer training and documentary material in a "virtual library" formula using the CD as a medium. This has often been the case for PATH, EPR, M & E, FEMAC, and PEER support (Dakar workshop). Technically, the choices include allowing individuals to consult documents on a CD-Rom through their file system software or writing an elegant user interface (FEMAC) to facilitate access. Material production costs would be identical to that of a workshop (indeed, often the CD

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<sup>26</sup> Email from UNICEF Evaluation Office to the Baastel Evaluation Team, dated February 2, 2005.

is used to disseminate that precise documentation), the overhead costs would be very limited, and the reproduction and delivery costs again would be negligible.

In the context of a capacity development programme, choosing this type of tool may be cost effective and efficient: reproduction costs approaching zero percent of total budget as the number of units produced go up. As a means of skills and knowledge transfer, the assessment of its impact is a bit more complex than other forms of training. To be able to measure the effectiveness, managers have a couple of options:

- Create a monitoring system that would allow the organization to follow the trail of each (or a sample) CD-Rom. End of cycle or random period controls could be organized to approximate the knowledge transfer's success, in the guise of surveys, internet discussion groups, exchanges, etc.
- Make the core training mandatory and administer a certification procedure, as was done for the Security CD.

UNICEF has not been very good at monitoring the circulation of its CDs. With the exception of the security CD, as it is mandatory, there has been no evidence offered that any division having produced a CD has a clear idea of what, if anything, people do with the CDs (similar to post-workshop evaluation surveys). One obstacle that UNICEF apparently faces is that the IT unit is not currently able to support these CD-Rom courses and since the e-mail function is no longer working with new IT systems, OLDS is unable to keep track of who is completing the Programme Process course. It would be useful therefore if the IT unit were to support UNICEF in the rollout of e-learning courses. Moreover, if UNICEF would like to monitor knowledge and skills enhancement and to assess the effectiveness and utility of these CDs, a data collection strategy needs to be devised. The clear exception presented below is the Security CD made mandatory with a certification procedure: it is quite rightly seen as a success story, but the parameters are very specific and it will be up to UNICEF to decide whether the experience can be replicated.

Informants, whether individually or collectively in focus groups, have offered mixed opinions of CD-ROMs as a learning tool. In follow-up surveys sent directly back to OLDS, feedback about UNICEF's Orientation and Programme Process courses, in particular, has been very positive, especially from national staff who have less access to training workshops (over 1200 staff have completed the Programme Process course according to OLDS). In general with regards to CD-ROMs as a learning tool, informants acknowledged their flexibility of use, their relatively simple distribution and dissemination, their considerable capacity as a storage medium making it a potential "virtual library", and their many other qualities. Some felt that CD-ROMs could be effective in enhancing knowledge and sharing information but that they might do little to develop or improve skills. Many noted that CD-ROMs would likely compete with other activities for individuals' attention and time, and if CD-Rom courses were not made mandatory, they would lose. In fact, some informants felt that self-directed training, such as through CD-ROMs, would work for ambitious, career-oriented staff members, but that there would be many people who are over-worked and less motivated and who would never take advantage of such courses, especially if they are not compulsory. Several interviewees noted another disadvantage: CD-ROMs did not facilitate interpersonal learning and exchanges amongst participants, and users would not be able to ask questions or get clarifications on certain points (Congo-Brazzaville Focus Group — Feb. 8). In summary, people felt that CD-ROMs are an effective way to share information and to enhance knowledge. Some topics, such as security, lend themselves very well to this type of self-directed learning. For other topics, though, such as human rights and humanitarian principles, CD-ROMs should complement rather than substitute for training workshops because staff still feel the need to have the opportunity to interact, share experiences and learn from one another.

## **Security CD-ROM**

A very successful example of a CD-Rom developed and disseminated as a learning tool has been the Security course. UNICEF's Security Section has been involved in an inter-agency collaboration led by UNSECOORD to develop a CD-Rom course on personal and professional security. The course, which takes approximately five to eight hours to complete, reviews and explains staff members' security on a day-to-day basis as well as in emergencies. The course is mandatory and staff are supposed to complete the course within a few weeks of joining the organization or else they will not be granted travel clearances until they have taken it. They also receive certificates upon its completion. Consultants working on UNICEF contracts are also expected to study the CD. It is set up in a modular format; at the end of each module, the user takes a test on that module. Because the training is mandatory (and because it has been supported and encouraged by staff at high levels within the agency), there has been almost 100% compliance with this particular learning strategy.

The feedback from the field on this CD-Rom was universally positive. The evaluation team found only one staff member who was not aware of the security course yet he had only been working for UNICEF for three months (Malawi Control Focus Group — Feb. 10). The evaluation team, however, only found out about the CD-Rom as a result of the evaluation. Thus, there may be a need for UNICEF to find a more systematic way to ensure that it is also used by its contractors. Another important element of this CD-Rom is that UNICEF staff can share it with their families, thereby extending its benefits.

Staff members stated that they liked the CD in part because it was relatively short (they could complete it in a day) and because it was practical. They also made the following observations about this form of training:

- "It has helped me become more alert to issues related to car-jacking and has changed our behaviour."
- "We now know that we have to protect ourselves in order to be able to protect others."
- "It has a lot of common sense tips — even some small details. I have a long fence in my home and after doing the CD-Rom I decided to raise the height of my fence wall."
- "I have stopped giving out staff cell phone numbers to any personnel I do not know."
- "It is very helpful as it teaches you how to open a gate and you can apply it to your daily life and would be able to use it to an emergency."
- "It was quite enlightening — like when you are being threatened it tells you how you are supposed to act or behave." (Kenya and Malawi Control Focus Groups; Malawi EPRT Focus Group)

The Security section has been monitoring different types of security incidents and has noted the following changes since the institution of the mandatory security CD programme:

- There has been a 50% decrease in armed car-jacking.
- Incidents of petty theft have decreased by 90% over a two-year period.
- Security awareness has greatly increased.
- There has been a decrease in physical and sexual assaults reported from six to one.
- 2.5 times more staff are now reporting traffic accidents when they have them.

They are now working on the development of a new CD-Rom on advanced security issues for field staff. This is also an inter-agency initiative.

UNICEF sections that have developed CD-ROMs for training purposes are justifiably proud of the results of the organization's use of new information technology. These efforts have tried to overcome constraints found in more traditional media (costs, production delays, dissemination costs, etc.). The CD-ROMs and the emergency pages on the intranet testify to investments in this type of learning tool, which has the potential to be more cost effective than other learning tools. The major drawback is that the impacts of learning through CD-ROMs have not been measured (except for the Security CD-Rom) and that

monitoring has been lacking (see Section 5). It is therefore quite difficult to do a comparative advantage analysis.

To make computer-based training more effective, UNICEF would have to make the most important cross-cutting issues in emergencies such as PATH, HIV/AIDS, and Child Protection mandatory for all with a set protocol for going through the training and receiving some sort of recognition/certification, or to motivate staff through the PER process.

### **3.4 On-The-Job Training**

All staff interviewed indicated that they have found on-the-job training to be an effective and important way of learning about working in emergencies. Participants in the three control focus groups that the evaluation team conducted (for staff who had not undergone the EPR training) all demonstrated that they had been able to find diverse ways of learning what they needed to know about emergencies on the job. However, they showed considerably less confidence with regard to knowing exactly what their specific roles should be and in their ability to handle emergencies if they arose. They were also more hesitant than the EPRT Focus Groups participants. The latter group indicated a higher level of willingness and confidence with regard to volunteering to serve as surge capacity personnel. However, both types of focus groups participants indicated that experience in an emergency was the best learning experience.

Senior management also repeatedly stated that having prior emergency experience was an important factor in staff's ability to handle emergencies effectively. For this reason, despite the many constraints that appear to exist, they were also quite supportive of increasing the different types of opportunities for on-the-job training related to emergency work for staff.

#### **3.4.1 Staff Exchanges and Deployments**

Although UNICEF staff are quite interested in taking part in staff exchanges or deployments to other offices and despite the fact that senior managers see the value in this type of experience, there are also constraints to the establishment of an institution-wide on-the-job training programme within UNICEF.

These constraints include:

- Representatives are reluctant to provide release time to the staff persons concerned since there is no one to replace them during their absence.
- It is an expensive form of staff training as it involves both travel expenses and the payment of a DSA while the staff member is living in the exchange or deployment country (some countries have tried to cut costs, though, by offering half DSA).
- Some staff members are reluctant to participate as it will mean that either their colleagues have to pick up their work during their absence or else the work will not get done.

In TACRO, the Regional Director has been working actively to create a more positive management attitude towards staff deployment and exchanges over the past two years, as it is important for the career development of a staff member. Part of the problem in the past was that Representatives tended to have the idea that they could handle things locally or else did not wish to be perceived as being incompetent by asking for help. However, part of the preparedness approach in the region has been developing a willingness amongst senior managers to deploy staff when needed as well as to ask for and receive help when needed.

One Representative with a strong Human Resources background noted that it is also possible to do internal staff exchanges. In his office they have been focusing on the general service staff and moving them around within the same CO to give them a better sense of what each other is doing as well as to develop their skills. He feels that it is important to move the administrative and programme people into each other's sections to the extent possible, although he did acknowledge that this was harder to do with finance people. In general, though, he has observed that this type of staff exchange is important since

the national staff tend to be stuck where they are. There is a need to make their work more challenging and to help them develop open-mindedness.

The ROSA region recently developed a regional emergency on-the-job training scheme in 2003 whose objective is to create a pool of human resources that will be able to respond rapidly to emergencies in the region and contribute to an increased effectiveness of the regional emergency roster and emergency staff deployment in South Asia. The intent behind the scheme is to provide staff members with hands-on experience in emergency/hardship environments in emergency field offices in other countries to give them practical experience that they can apply to actual emergency interventions<sup>27</sup>. Funding for the DSA expenses involved came from ROSA's budget and the COs covered the airfares needed.

The On-the-Job-Training (OJT) scheme was developed as a learning strategy that particularly targeted national staff. In the past, ROSA realized that they had tended to rely on international staff when recruiting and deploying staff for emergencies. For this reason, they decided to focus on national staff to help build up their experience and skills. The region also wanted to focus on staff in operations as opposed to programmes so that they would get relevant emergency experience in IT, administration, logistics, finance, etc.

The staff exchanges were short term in nature, lasting only two to four weeks and were accompanied by the development of specific TORs for each staff member involved. ROSA also established clear selection criteria for participation. This included staff members who had at least three years of experience with UNICEF and those who were not already registered in the Regional Emergency Roster. Following the exchange, ROSA sent out a questionnaire to all of the staff members and to the COs that benefited from the scheme to evaluate the effectiveness, usefulness, constraints and lessons learned through the scheme to help work out the best way to institutionalize this process in the region and to share with other Regional Offices and Division of Human Resources.

In another region, one interviewee spoke about "reverse shadowing" as a form of on-the-job training and exchange opportunity (versus "shadowing"), where a strong staff member works with a weaker staff member in the same office or assists staff in a different country programme. While UNICEF might encounter the same problem with regards to constraints of time and financial resources (as noted above), this could be an effective alternative learning strategy that ROs and COs could explore. ROSA, for example, recently invited someone who was successful in mainstreaming child protection in UNICEF's Darfur programme to work with the Nepal programme. She will participate and have input into the EPR process in Nepal and will be a valuable (albeit temporary) resource for CO staff there.

Critical factors to consider in this sort of arrangement would be:

- having a clear sense of the strengths of the staff member and what s/he could offer the less-skilled or less-experienced staff member or receiving CO;
- recognizing the importance of individuals' personalities (the need to be diplomatic, sensitive, willing to help, as well as being open and willing to learn from others)
- preparing clear Terms of References with real objectives and expectations so that there is a true focus on learning and so that staff members are not just sent as extra hands for surge capacity.

### **Strengths**

The advantage of this type of systematic approach to staff exchanges is that the expectations of all of the different stakeholders are made clear prior to the exchange taking place. Having an organized programme in place as opposed to leaving it up to the individual staff members and Representatives to initiate and negotiate can also be highly motivating for staff. It provides them with clear guidelines as well as increased opportunities to participate. It is also a system that does not rely so much on individual

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<sup>27</sup> UNICEF.ROSA. 2004. ROSA Emergency On-the-Job Training Scheme. Bangkok : ROSA.

personalities and that takes a more regional approach to capacity-building. The scheme targets national staff in particular which is a definite plus since the different human resources officers interviewed, as well as senior management, all indicated that there is a need to focus more attention on capacity building for national staff, especially at the general staff level.

ROSA reports that countries that have participated in the OJT scheme have had positive experiences. For example, the Finance Officer in Bangladesh was sent to a sub-office in Sri Lanka (before the tsunami hit) so that she could get experience working in emergencies. She was already a talented Finance Officer and had a particular expertise in UNICEF cash advance procedures to governments. This made it a “win-win” situation for both COs: the Finance Officer gained valuable experience working in an emergency situation which she has been able to bring back to Bangladesh, and the Sri Lanka office has learned from her expertise in cash advance procedures.

### **Challenges**

Even though the ROSA OJT scheme is an official regional initiative, it is still encountering resistance from some COs. To date, only eight people have been able to participate even though they had originally planned for twelve. The RO has found that it has been difficult to get buy-in from receiving Country Representatives — they state that the COs are busy, that it is not possible to take on any additional responsibility, that it detracts from their work, etc. This challenge has contributed to the less than maximum numbers of staff who have participated.

ROSA staff emphasized that the scheme is designed for staff to get practical experience working in emergency situations as opposed to serving as a kind of “internship” program for junior staff. In other words, OJT works best when skilled, competent and experienced staff participate; the scheme is not suited for untrained, unskilled staff who would need a lot of mentoring and support during the exchange visit.

ROSA staff also observed that there was a real lost opportunity when none of the eight staff who had participated in the OJT scheme were called upon to serve as surge capacity staff for the tsunami. They were not sure whether this was a failure of the system to catch and tap staff members’ experience, skills and competencies, or whether this was because there were so many applications for these positions that UNICEF headquarters chose to send only the most experienced personnel.

ROSA staff noted as well that it is difficult to send staff to participate in OJT schemes during the peak of any particular emergency. Yet once that peak has passed, UNICEF should take advantage of different humanitarian crises to increase OJT opportunities in emergency. For example, now that it is past the peak phase of the tsunami emergency, UNICEF could consider sending people to other countries in the region such as the Maldives or India. ROSA would also like to develop some cross-regional arrangements for OJT such as with EAPRO, WCARO and ESARO as they see substantial benefits and learning opportunities for both the sending and receiving countries.

### **Summary — Staff Exchanges and Deployments**

Staff exchanges and deployments provide an excellent form of alternative learning strategy. However, this type of learning opportunity can only be made available to small numbers of staff as it is expensive and when it is only a one-way deployment, it also increases the workload of the sending country office. One way to make this programme more accessible to larger numbers of staff is to set up internal office exchanges as well. Another would be for UNICEF to address management constraints to this type of staff training, possibly by using the same approach that TACRO has taken in recent years in which Representatives are encouraged to both ask for help and to lend their staff to other countries in emergency situations.

In general, staff exchanges and deployments are a fairly strategic learning opportunity in that it builds staff capacity in key areas where it is anticipated there will be future needs; it uses a shared responsibility approach, fosters the view that learning is a part of UNICEF’s culture and offers a viable alternative to direct training.

### 3.4.2 Contingency Planning Process

Another form of alternative learning offered through the auspices of the DFID project has been support for a contingency planning process. This represents a hybrid of direct training and on-the-job training. Each UNICEF office is expected to develop an Emergency Preparedness and Response Plan (EPRP).<sup>28</sup> To assist the COs with this process, a number of experts in emergency preparedness and response planning have been travelling to the COs to help lead the offices through this process.

This support process was developed in response to the results of a questionnaire that UNICEF sent out to help the office assess if the COs were prepared or not. It showed that none of the minimum preparedness systems were in place. In particular, programmes and operations did not understand the emergency part of their responsibilities — they knew they had to respond to an emergency, but did not know that they were accountable to be prepared for their own functions. They also tended to confuse capacity with preparedness, meaning that they thought if their supply section was good or health section strong, they thought they were prepared. When asked what actually happens in an emergency, they have found that they were actually not prepared, e.g. even if they had strong supply section — the emergency supplies they needed often still arrived late as there was not enough inventory on hand.

UNICEF also did not have standard operating procedures for emergencies five years ago. Now there is the emergency handbook. It was concluded that staff emergency response would be more timely and effective if everyone knew exactly what they had to do. Therefore UNICEF developed a preparedness template for all key functions in an office and integrated a participatory training approach into the planning process. The advantage of this approach is that it engages all of the staff in the office.

The contingency planning process only requires two hours at the beginning of the week to establish goals and then another two hours with each functional group to discuss their specific needs and roles and what they should be taking into account. The process ends with another two hours at the end of the week to bring all of the groups together. This facilitated every group and staff in every function to get their objectives and activities in emergency on paper quickly and effectively. It also gives them a chance to articulate their own preparedness functions and helps them see where the gaps are in terms of staff or resources.

As a part of the participatory process, each section has to send it to other people in the office for comments, thus building in a feedback system. The facilitators of this process found that it worked even better if it was personal so they added their names to the plans that they circulated to other staff in their office. The facilitators also presented examples from other countries, but in many cases the CO staff indicated that they wanted to think it through for themselves. They had to agree with every word put down in the plan so it also fostered ownership of the EPRP. In the process they came up with a preliminary list of actions they would need to take in an emergency. It is specific to each staff person's own functions and operations as opposed to simply being a set of generic guidelines.

The contingency planning process serves as a way to introduce emergency preparedness and response to staff and helps them work out a number of ways to solve problems. Part of the process involves reviewing the CCCs out loud to clarify expectations. This reminds the staff of the importance of responding to emergencies.

#### ***Impact***

The EPRP process has now been carried out in 130 UNICEF offices. The lead facilitator, Everett Ressler, is convinced that it is one of the most powerful change agents he has encountered. He also considers it to be perhaps the most important contributing factor in changing the culture in UNICEF with

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<sup>28</sup> The EPR Plan formats have recently been substantially modified and as of mid-April are being referred to as Emergency Preparedness Plans (EPPs).

regards to emergency. It creates many little changes in both attitudes and practices. In some small offices, he encountered an attitude that the CO would not accept external people in an emergency as they had previously had negative experiences working with outsiders. Through the EPRP process he got them to talk about how they would be able to respond and to establish their standard operating procedures for the use of external resources. He also found that it always provided dynamic discussions about the role and functions of staff. He felt that it was particularly effective to do this exercise at the beginning of the tenure of a Representative so that staff would reconsider what their role is and determine if there was a need for change.

The Regional Emergency Officers have also reported that they have found that combining the EPRT with the EPRP process is very effective, as opposed to working with the EPRP as a stand-alone process. The training helps change people's understanding of emergency and their attitudes towards it as well as introduces basic skills such as rapid assessments. The EPRP helps staff relate directly to their specific functions in an emergency.

One Representative formerly based in TACRO indicated that he preferred the model of contingency planning over wide-scale training as it would help his staff go point-by-point and actually learn by doing. In that way it was possible to make it country specific and they could respond to the type of emergency most likely to happen in that particular country. He found it to be a much more practical system and very motivating for all of his staff. It also meant getting all the staff together and defining their roles so it was a learning process for everyone. He observed that an important part of the follow-up process is the integration of a regular six-month review of the contingency plan as a part of the COs' annual management plans.

### **Challenges**

The main limitation to this process is that the effectiveness of the follow-up is determined to a large extent by the leadership of the Representative and his/her understanding of emergency. In many cases, the facilitators found that CO staff would begin to use the EPRP. However, when they did follow-up at a later date to see if they had done the things that they said they would do (which were for the most part very practical things), most of them had not done so. The facilitators do not see this as a flaw in the process as they feel that the follow-up depends entirely on the management.

“It depends upon the Representative and whether s/he sees it as a tool for change. In India, for example, the facilitator met with all of the Emergency Officers in the state offices. Sometimes they carried the EPRP out in a perfunctory way or one person did it for the whole office. In other cases, it was done dynamically. If emergency was a high priority for the Representatives, it happened. I came to the conclusion that if the head of the office was not present, I would not do the process with that office as I felt it would not have beneficial consequences”.

The facilitators saw the contingency planning training as a process and not as a product. The assumption was that getting the first completed plan would take a lot of work and generally require more than one week to finalize. When people had completed one, it became much easier for the COs to update and review and for management to support this process. People tend to put this as a second priority (preparedness) because they are so busy. Therefore the only way it is possible to sustain this is to put it on the agenda and integrate it into regular system.

Several senior managers mentioned that while they found the EPRP process quite helpful and that it has had a positive impact on their office's capacity to respond to emergencies, they also felt that the form should be simplified considerably. In their view, it should ideally be limited to just a few pages that could be reviewed in five minutes. One Representative indicated that it would be good to see it in chart form with simple tools and clear protocols. They all felt that this simplification process would contribute both to staff maintaining the plan on a regular basis and to rendering it a useful tool for orienting new staff.

Some Emergency Officers have found that the EPRPs tend to be separate from other programme activities. Therefore they are hoping that the newly released format will help facilitate a better integration of the plans into UNICEF's regular programming processes. One recommendation is to ensure that the EPRPs and updates are included in the CO's annual work plans by doing the plans/updates in November at the same time as other (regular) activities are planned and budgeted to facilitate their integration into a broader country plan. This would also help strengthen the mainstreaming process.

### ***Summary — Contingency Planning***

UNICEF identified a clear need to support its staff in the development of emergency preparedness and response plans and through the DFID project made it possible for COs to have access to external facilitation of this process. The participatory and very country-specific nature of the planning process is both appreciated by staff and an effective way to introduce the key issues and processes to be considered. However, the follow-up in each country has been inconsistent and dependent to some extent upon the interest and leadership of the Representatives. Given the prevalence of this lack of follow-up, it is not possible to say that the problem does not lie with the process. The planning process is a dynamic one, but UNICEF clearly needs to build in a more effective follow-up process and accountability system to accompany the contingency planning process.

There appear to be mixed opinions as to whether the EPRT or the EPRP process is the more effective way to go, with an apparently growing consensus that it is the combination of the two which is the optimum learning strategy. One trainer observed that, "I think that what we are moving to is UNHCR's model — mix training, planning and simulations as a planning tool. People need more than just training — they need more life experience in emergency".

The contingency planning process is an effective alternative learning strategy for UNICEF. It fosters learning as a shared responsibility and is accessible in that the entire CO staff are involved in each session. It also combines direct training with hands-on work, feedback from peers and the creation of a concrete, country specific action plan.

### **3.4.3 Coaching and Mentoring**

Headquarters and field staff appear to have different views of what UNICEF has done with regard to mentoring and coaching programmes. Most management staff in the field that the evaluation team interviewed felt that mentoring and coaching would be a positive process for their staff. However, they did not seem to be aware of the formal mentoring programme that OLDS has adopted and is promoting. This is in contrast to the perspective of OLDS personnel that the approach that they had taken to mentoring and coaching with its formal training sessions on how to become a mentor was too rigid and formal for UNICEF managers and that this has led to senior staff becoming discouraged or not wanting to get involved since it involves a lot of bother.

Despite OLDS' efforts, most of the mentoring or coaching within UNICEF that takes place is pretty much up to the individual manager. In Nepal, for example, the Representative indicated that she talks a lot to both her international and national staff about skills, competencies, their jobs and career aspirations. She and several other senior managers indicated that they were actually quite interested in coaching and mentoring their staff and felt that it would be quite helpful for them to have some guidelines and tips on mentoring ("do's and don'ts"). They noted that it is not clear what headquarters' expectations are with regards to mentoring and coaching. They would like clarification as to whether it means tutoring, accompanying staff, advising staff, helping them to analyze, formulate, develop a strategy, or just simply providing guidance on their careers. Currently, senior managers receive messages sent out to supervisors from headquarters indicating that they should serve as mentors to their staff, but so far have received very little guidance on how to do this. Several of them were, however, quite interested in participating in training on how to be an effective mentor or coach if this should still be available.

The senior managers also observed that the success of a mentoring or coaching programme has a lot to do with a person's personality and that some managers are better at this than others. One

Representative has observed that some managers are too competitive to be effective mentors. This means that UNICEF needs to find ways to help their managers cultivate more of the attitude that the success of one's staff is also the manager's success as opposed to a threat to their jobs or own career development.

Time is another factor that needs to be taken into account as UNICEF senior managers tend to have heavy workloads. One Representative did note though that she had found establishing a mentoring programme to be well worth the time and effort when she and her staff set up an internship program for nationals in her CO. The programme was quite successful and was particularly beneficial for young interns.

Several senior managers noted that coaching and mentoring is an important element in dealing with staff teams in emergencies. They find that people tend to catch on fairly easily to technical issues in emergencies, but that they generally need coaching and guidance on the interpersonal and communications aspects of their work such as partnerships, participation at meetings, and representational issues. For this reason, it may be worthwhile for OLDS to assess if it would be a useful exercise for UNICEF to invest in the development of mentoring and coaching guidelines that focus on handling different aspects of humanitarian crises.

The Evaluation Office established a roster of external consultants who can serve as M & E "coaches" in crisis and unstable situations. Information about this service was available on UNICEF's intranet site, but only two of the coaches have been used to date. Consequently, despite the wide range of UNICEF interviewed, the Baastel evaluation team was not able to learn about COs' and ROs' experience in using such coaches or the successes or limitations of such an arrangement. These would be valuable lessons learned for UNICEF to document in the future regarding why more use was not made of the external M & E coaches roster.

### ***Summary — Mentoring and Coaching***

While UNICEF senior managers generally agree that it would be beneficial for them to establish mentoring and coaching programmes for some of their staff, they still need access to simple guidelines to assist them with this process. The one-on-one attention that more junior staff would receive from their managers in this type of relationship would certainly foster learning and capacity development. It also may be that the provision of guidelines with clear expectations, tips and lines of accountability would be sufficient to get a more systematic coaching and mentoring programme established within UNICEF. This process would support future capacity-building related to emergency mainstreaming if the guidelines also provided some insight and tips on key areas in which staff need to be coached related to working within the context of a humanitarian crisis.

Coaching and mentoring as a learning process can be strategic in that senior managers can target promising staff and help bring them along in terms of their skills development, etc. It does make the learning a shared responsibility as a good coach will always be learning something from the person they are coaching or mentoring. Whether or not this type of learning will be accessible in the future depends upon whether OLDS is able to adapt its mentoring/coaching strategy to be more flexible and conscious of the time constraints of its managers. It would certainly foster the idea that learning is a part of the culture.

To achieve any of these learning goals, UNICEF will first have to find ways to make their mentoring programme more effective. Unfortunately, the department responsible for this faces enormous constraints in this process as it is both understaffed and under-resourced. In general, they are to be commended for the high quality of the training materials they develop when working in this context. For them to develop truly effective alternative learning strategies and resources, UNICEF will need to assign greater priority to the development of an overall learning culture within the organization.

## 3.5 Lessons Learned

### **Background**

The internal review of Phase I of the DFID-UNICEF Programme of Cooperation recommended that the sharing of emergency-related information and experiences within and across regions must be done more systematically and pro-actively by country, regional and HQ staff. It noted that the facilitation of coordination and information sharing should become a task in each emergency officer/focal point's work-plan with concrete and systematic activities planned. The report continued by urging that HQ focal points have a better overview to ensure that activities in the regions feed into the development of policy and programme guidance. The report recommended promoting two-tracks: a light, simple "high-frequency exchange" on what is happening to facilitate different offices' matching up interests and linking activities, as well as a more focused, structured learning cycle, where country experiences are documented and analyzed for distillation into more detailed programme guidance.<sup>29</sup>

Following these recommendations, Goal 4 of Phase II of the DFID-UNICEF Programme of Cooperation included an output related to documenting and learning from institutional and individual experiences and best practices. It was recognized that an important source of learning is from the actual experiences and lessons learned of both individuals and organizations.

A number of activities were planned for Phase II, including a "rapid mapping exercise" to identify evaluative exercises and case studies, existing and planned, that could offer best practices and lessons learned that correspond to the agency's priority learning needs. This mapping exercise, to be carried out by HQ and ROs, would serve to identify case material useful for learning on various facets of humanitarian action and response, including the integration of preparedness planning into the programme process, operations and support systems for humanitarian response, advocacy and specific programme areas.

This exercise was also intended to channel case experiences and best practices into information exchange networks, including, for example, the on-line emergency learning website. Regions would continue and increase their efforts to set up or link into existing networks as a means of improving institutional learning for emergencies. The OLDS emergency focal point would also continue to participate in inter-agency emergency learning programmes and joint meetings to ensure a flow of information and improved humanitarian coordination.

### **Impact**

Progress reports covering the Phase II period indicate that there was limited progress with regards to this output under Goal 4 of the Programme of Cooperation. However, several activities have taken place that would be considered relevant for this "lessons learned" output under Goal 4 and that could prove useful for developing it as an alternative learning strategy in the future. Moreover, much work was completed under Goals 1.5 and 8.1 (which overlap slightly with this activity under Goal 4) on documenting lessons learned on the children's aspects of disarmament, demobilization and reintegration process (DDR) as well as on sexual violence in the Great Lakes Region.

While evaluations of humanitarian action are a major investment of time and resources, they represent a considerable opportunity for critical reflection and learning in humanitarian operations. UNICEF has sponsored some important evaluations on various aspects of emergency activities in recent months that

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<sup>29</sup> UNICEF. Evaluation Office. 2002. Capacity Building for UNICEF Humanitarian Response in Review. An Internal Review of the DFID-UNICEF Programme Cooperation to Strengthen UNICEF Programming as it Applies to Humanitarian Assistance, Phase 1, 2000-April 2002. New York. (UNICEF Working Paper Series)

could potentially contribute to the agency's efforts to strengthen its humanitarian response. These include:

- The evaluation of UNICEF's emergency preparedness and early response in Iraq.
- A pilot real-time evaluation of UNICEF support in Liberia.
- An evaluation of UNICEF's response to the Darfur humanitarian crisis.<sup>30</sup>

Several field reviews (not evaluations *per se*) have also taken place in Nepal, Guinea and East Timor. These have been conducted jointly by DFID and UNICEF and had a special focus on emergency preparedness planning and children affected by armed conflict.

Reports from both the evaluations and field reviews document some important and useful lessons about what is working well and what can be improved, and about how performance in country-specific programmes and in future humanitarian crises can be strengthened. A few of the reports are available on the Evaluation Office's page on the UNICEF intranet, yet it is not clear how widely the results have been circulated beyond this medium and whether they have really been accessed and consulted by staff in the field.

A number of other country-specific reports related to emergency response have taken place in recent years as well.<sup>31</sup> An internal ranking was apparently done on the quality of these evaluation reports. Some, but not all, reports were rated and received marks on a scale ranging from poor to very good. What was striking to the Baastel evaluation team is that several reports were rated "poor" or simply "satisfactory". Of those ranked, only a couple evaluation reports received high marks. It would seem that the uneven quality of the reports themselves may be undermining the credibility, potential and effectiveness of evaluations as a tool for change, as a strategy for learning, and as a means for improved performance. It is therefore important for UNICEF to reach a consensus on standards it wishes to adopt for the evaluation of emergency interventions and to develop quality controls for use by evaluation managers and evaluators. This would make the evaluations more useful for accountability as well as learning purposes.

Lessons learned "exercises" (versus evaluations) are another important way to reflect on emergency experiences and to capture lessons learned. For example, in October 2003, a lessons learned workshop was held in Istanbul. The purpose of this 2-day meeting was to identify and analyze key strengths and weaknesses in UNICEF preparedness and early response operations in relation to the Iraq crisis. It was also designed in order to draw out recommendations and identify lessons of relevance to UNICEF in future preparedness and response efforts, particularly in the context of cross-border emergencies and foreign occupation. The exercise included structured group work using VIPP techniques that focused on eight principal themes: preparedness planning process, coordination, advocacy/communications, programmes, supplies/logistics, human resources, resource mobilization/communications, and security. More specifically, the groups focused on the following:

- Brainstorming in plenary on strengths/weaknesses, successes, and gaps of UNICEF's preparedness and response.
- Prioritizing relevant factors of successes/gaps, identifying examples and analyzing the contributing factors, then developing initial recommendations.
- Discussing and refining initial recommendations, and producing additional ones as required.

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<sup>30</sup> The Baastel team received copies of the Iraq and Liberia reports but for the Darfur report was not available for their review.

<sup>31</sup> See: "Evaluations & Reviews on UNICEF Humanitarian Performance List of Contents", compiled January 2004 for the UNICEF-DFID evaluation.

- Prioritizing some of the recommendations and refining them in small groups, then discussing and reviewing in plenary.

The workshop report highlights several limitations to the lessons learned process including the fact that time was limited, that in-depth analysis and discussion of issues was not always possible in the 2-day workshop, and that prioritizing issues was more problematic than expected. Despite these limitations, however, the exercise was still considered useful and pertinent, and a number of important points were raised.

UNICEF has recently established a new post for a staff member to be responsible for capturing, documenting and disseminating lessons learned in emergencies. The agency has also apparently recently launched a lessons learned exercise for its response to the tsunami emergency. It was too early for the Baastel evaluation team to assess the experience and impact of these two initiatives, but it is expected that they will be very useful and important as part of a “lessons learned” learning strategy.

### ***Summary — Lessons Learned***

In general, “lessons learned” activities — such as evaluations, field reviews and exercises like the one in Istanbul and the on-going one for the tsunami — foster the view that learning is a part of UNICEF’s culture, represent a strategic learning opportunity in that they tap the actual experiences of individuals and country programmes within UNICEF, use a shared responsibility approach (when they are participatory), and offer a viable alternative to direct training.

Recommendations from visits to the field and from a review of core documents include:

- Widely share evaluation reports so as not to lose their potential for shared learning. UNICEF may want to consider circulating them even more widely than simply making them available on the intranet. Evaluation reports are also often lengthy and detailed, so readable, accessible summaries might need to be prepared so that field staff will be more likely to consult them and appropriate the lessons learned.
- Continue preparing the evaluation briefs called “Hot Off the Press: Lessons from Evaluation”. Intended to highlight lessons learned in programmes and evaluations, they are targeted for decision-makers such as senior managers, country representatives and SPOs, project managers and evaluation managers. The most recent ones on the intranet, however, are from evaluations in 2002.
- Promote “communities of practice” amongst staff on topics related to emergencies so that they can exchange experiences, learn from one another, and share information amongst themselves on a regular, informal basis. This can be at the regional level or across regions on operational or sectoral issues such as financing procedures, water and sanitation, education, etc.
- Continue to sponsor “lessons learned exercises” as in Istanbul in October 2003. Build on the experiences from that workshop (its limitations, as noted above) so as to enhance the effectiveness and utility of such exercises in the future.
- Establish standards/benchmarks to ensure quality control of evaluations so as to maximize their learning potential.

## 4. Learning Plans & Strategies

As part of the package of reforms adopted at the end of Phase I of the DFID-UNICEF Programme of Cooperation, UNICEF is trying to be more systematic when it comes to the development of staff and RO and CO learning plans. OLDS requests that offices submit their learning and training needs on an annual basis and then tries to draw up an overall plan and work with them to find resources.

There are learning committees and learning focal points at the CO and RO levels. Staff are supposed to develop their own individual learning plans and discuss them with their supervisors. They also have to submit requests for training support to these committees to review. The committees and focal points review the staff training plans, approve them and allocate funds from the budget set aside for this in each office.

OLDS staff noted that these are the systems that are supposed to be in place. However, they are not 100% in use and currently only 50% to 60% of countries have learning plans. They have also found that in those countries where the COs have not set up a learning plan, not much tends to happen in that country with regards to staff training.

There are several challenges that UNICEF staff face with regards to the learning plan system. The main one is that it relies a great deal on individual initiative. Someone who is keen on training and on-going learning and who has an outgoing personality is more likely to be able to take advantage of the opportunities that exist for learning within UNICEF. One focus group participant also noted that the learning committee's procedures are not straightforward to follow and that this makes it harder to apply for training. There was a general frustration with the fact that sometimes with applications for staff exchanges the papers just go back and forth and there is no feedback or final decision. This indefinite process led one UNICEF staff to observe that while management talks about the kind of investment they can make to support staff development, there is not any real result or application of this afterwards.

Even with a perfect learning plan system, however, several interviewees noted that there would still be staff who would not be motivated or interested in taking advantage of learning opportunities for a wide variety of reasons. Therefore, they felt that some courses, such as EPR or PATH, should be mandatory, that DHR should establish mechanisms to encourage follow through, and that senior management should ensure that training is actually carried out and that staff participate.

Another challenge with the learning plan system relates to the timing of the preparation of a regional calendar of learning activities as well as to communications about learning priorities between ROs and COs. As explained to the Baastel team, the Regional Office prepares a calendar of learning activities early in the year. However, the Country Offices' training priorities, as presented in the Country Management Team's Annual Management Plan, may not be prepared until February or March. The learning calendar therefore does not always reflect the needs and priorities of the various sections and staff in the COs but may reflect more the region's needs and priorities (and what opportunities are simply available). In other words, the needs and priorities of staff and COs do not necessarily trickle up to the higher levels as they should or are supposed to.

The difficulty some staff have gaining access to training or learning opportunities, combined with the fact that UNICEF spends only 1.4% of its budget on training, has not encouraged the growth of a learning culture in general in UNICEF. The DFID capacity-building project has helped establish a stronger foundation for this type of shift in attitude and has had considerable success in changing people's attitudes towards how the organization handles emergency in general. OLDS and the Division of Human Resources have also started a campaign recently to try and ensure that staff have time to spend on distance learning. This includes distributing printed signs that staff can hang on their office doors that state, "Do Not Disturb — PP Training in Progress".

Additional measures that UNICEF could take to help foster a more positive learning culture include ensuring that there is a systematic review of each staff member's learning goals each year as part of their

performance review and supervisory process. Bringing together individuals' willingness to enhance their knowledge and skills with an institutional HR policy and practice that would support and recognize these efforts would send a clear message.

UNICEF also needs to develop a system of institutional rewards for staff that embrace learning and seek to improve their skills, and to foster a stronger institutional commitment to life-long learning. At present, Performance Evaluation Reports (PERs) ask about training activities in a general way (what a staff member plans to do with regards to training during the following year), but they need to be restructured so as to be more specific about trainings and learning opportunities. According to one interviewee, training plans that are noted in a PER rarely get carried out due to other obligations, lack of time, budget constraints, etc. PERs could therefore perhaps include more specific questions inquiring about why a staff person did or did not participate in a particular training course as planned for the year in question, what were the obstacles or constraints in taking part in learning activities, what skills a staff member would like to acquire and concrete ways they could develop those skills, and so on.

One interviewee suggested that UNICEF should establish a policy where every staff member must participate in at least one training per year for their own professional development and for the capacity building of the CO or RO. This would send a message that the agency values learning and that it is committed to promoting staff development and organizational improvement. Lastly, it was suggested to the team that PERs should also include elements of competencies in emergency in addition to covering competencies such as Communication, Quality of Work and Technical Ability.

Section 4.2 of the logframe for the Capacity Building for UNICEF Humanitarian Response project states that the project would support the development of a self-assessment tool to help staff identify their own learning needs for emergency preparedness and response. Although the Evaluation Team asked about this tool with key informants in both headquarters and during multiple interviews in the field, no one had heard of any kind of tool of this nature. This led the Baastel team to conclude that it was highly likely that no work had been done to develop this tool and that there were no immediate plans in the future to do so.

There are general guidelines on the learning web for how to develop individual and CO learning plans and the emergency learning focal points send out an e-mail to all emergency focal points in HQ and ROs at the end of each year to give them information on the training and learning opportunities available, as well as key organisational priorities, for the following year. HQ also encourages the ROs to ensure that COs incorporate these needs into their annual planning processes. However, the Evaluation Team did not find any evidence of more specific guidelines for CO Representatives, training focal points and Regional Training Committees that they could use to ensure that emergency learning needs in particular are considered and integrated into CO learning plans. As only about half of all COs actually submit annual learning plans, it could not be said that UNICEF systematically addresses emergency learning needs in the CO learning plans. While the plans submitted are reviewed on an annual basis by OLDS staff, the approach taken to this review is more responsive in nature in that OLDS tries to find funding for the COs requests.

There appears to be a need to make this planning process more systematic and to establish a formal assessment process with increased involvement from the Programme Learning Group to determine if emergency learning needs have been systematically included in these plans.

### **Summary — Learning Plans**

UNICEF has made progress in the institutionalization of learning within the organization in that at least half of its COs now submit annual learning plans. OLDS has also recently elaborated a "Learning Road Map" which should be helpful for career-oriented and motivated staff who are interested in advancing within UNICEF to know what skills and competencies are required for positions at different levels of the organization. Nonetheless, there still needs to be greater pressure from the top levels of the organization to ensure that the remaining COs start to take the learning plan process seriously. The learning plan

system also still puts too much onus on individual initiative. Given that staff feedback to the evaluation team indicates that they often feel guilty if they take “time off work” for training or other forms of learning, it is clear that the view that learning is an essential part of their work has not yet permeated the organization.

A fully institutionalized learning plan system could be highly strategic as it would help significantly in the allocation of resources for different types of learning throughout UNICEF. It also makes learning a shared responsibility as it is up to the COs to come up with a plan that meets their particular learning needs thereby facilitating the ability of ROs and headquarters to respond to these needs. This process also is an important measure to help establish learning as a part of UNICEF’s culture.

UNICEF must achieve a greater level of institutionalization of its learning plan system. To do this the organization needs to:

1. Ensure that there is a systematic review of each staff member’s learning goals each year as part of their performance review and supervisory process. Develop and implement HR policy and practice that would support and recognize these efforts.
2. Ensure that emergency learning needs are considered and integrated into CO learning plans everywhere.
3. Ask OLDS to enforce the annual submission of CO learning plans by all countries and give them the authority to do so.



## 5. DFID-UNICEF Programme of Cooperation's Reach

In the results-based management model, the concept of reach can be understood as: "The beneficiaries and other stakeholders of a development intervention,"<sup>32</sup> or more generally: "Reach refers to the breadth and depth of influence over which the organization wishes to spread its resources."<sup>33</sup> After a review of UNICEF's skill transfer strategies and the tools put in place to ensure it, the essential question still remains: Did the various learning strategies and tools adopted achieve the expected 'reach'?

### 5.1 Challenges of Performance Measurement

In order to begin answering this question, an evaluation team would typically refer to two key instruments:<sup>34</sup>

1. A baseline study.<sup>35</sup> For the purposes of this evaluation, a needs assessment survey at the beginning of the project implementation phase would serve as a base reference and a starting point to measure the breadth and the depth of changes in the staff's competencies.
2. A monitoring and evaluation system. An M & E system built around the capacity building programme's activities would not only measure and account for changes, but would also review progress-to-date and help in planning and decision-making in order to correct any regional, thematic or other type of imbalance.

Either instrument (or both) would normally be consulted for an evaluation; one or the other would be sufficient. Unfortunately, however, the Programme of Cooperation faces significant challenges with regards to both.

The logframe's seventh planned output indicated that a baseline study of learning needs would be organized after the launching of Phase II, yet no such study was ultimately arranged.<sup>36</sup> This absence leaves a rather important information gap, in part because the first phase did not leave a set of useful data on which to build an approximate view of the learning needs of UNICEF staff.

As indicated in the M & E section, the internal M & E system for this capacity building programme was very weak and not efficient in meeting its function. In any situation, a monitoring<sup>37</sup> system can be viewed as a three-step operation:

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<sup>32</sup> OECD. Development Assistance Committee. Working Party on Aid and Evaluation. 2002. *Glossary of Key Terms in Evaluation and Results Based Management*. Paris: OECD, p. 32.

<sup>33</sup> From Steve Montague's *The Three Rs of Performance: Core concepts for planning, measurement and management*, 1997, quoted in CIDA. Results-Based Management Division. Performance Review Branch. 1999. *Results-Based Management in CIDA: An Introductory Guide to Concepts and Principles*. Hull: CIDA, p. 4.

<sup>34</sup> Many evaluators would use "must refer to" but recent developments in the field, thanks to M. Bamberger, offer ways of circumventing the absence, for example, of a baseline study at a project's outset.

<sup>35</sup> "The analysis describing the situation prior to receiving aid. A baseline study serves as an important reference for the ex-post evaluation and the determination of the results and accomplishments of an activity." From UNICEF's M&E training material: Glossary.

<sup>36</sup> According to OLDS, such a baseline study was to be covered with DFID funds and a ToR was sent out and bids to conduct the study were received. However, when the bids came back, OLDS and the EO decided that there were not enough funds to properly cover such a baseline study and that by the time it was conducted, it would be too close to the final evaluation, seriously limiting its utility and impact. Ideally, this baseline survey should have been carried out before the DFID project got underway or at least during the first few months.

<sup>37</sup> "A process of tracking or measuring what is happening. This includes: measuring progress in relation to an implementation plan for an intervention — programmes / projects / activities, strategies, policies and specific objectives; measuring change in a condition or a set of conditions or lack thereof (e.g. changes in the situation of children and women or changes in the broader country context)." From UNICEF's M&E training material: Glossary.

1. Data collection. If one disregards logical differences, this step involves gathering, in a cost effective manner, basic data specific to each project or programme. Training activities, for example, would mean being able to track: When were workshops organized? Where were they organized? Who organized them? Who participated (with a breakdown according to a few variables: gender, position, previous training experience, etc.)?
2. Circulation of information. Usually the M & E is positioned in an organization and therefore the information (qualitative) and data (more quantitative) require its circulation throughout multiple levels and/or divisions of that organization. In order to maximize the benefits of this ongoing production of information, the organization must demonstrate elasticity in its bi-directional communication strategy and flexibility in its implementation.
3. Processing of information/data. Data left in its primitive form of tables are of little to no value. Its analysis not only gives meaning to the operation but also prepares for the fundamental dissemination stage as well.

Sometimes seen as technical, all these steps are now utilization-focused and seek to involve end-users in determining the type of data collection, the communication protocols, and the objectives of the different analyses the data will undergo. In the end the M & E must not simply be a data production exercise but an essential component of a decision-making process: its qualities and its flaws are reflected in the decisions organizations and individuals in them will make for present or future results.

All of these steps have revealed significant unmet challenges in the DFID-UNICEF Programme of Cooperation's M & E system:

- The most basic information from the programme's workshops (i.e. the list of participants) was not given a standardized format where important variables, consensually designated, would have been identified, inserted by organizing stakeholders, controlled by a responsible party and placed in a central database, with the potential to be then shared throughout the organization. Instead, the documentation is in 50+ files in all formats<sup>38</sup> and different software types. Many lists required multiple cross-referencing and controlling before being able to identify what precise workshops they were attached to. Some lists appear to only have been registered at the RO level (based on the fact that they were not included in data offered to the evaluation team by HQ but were only "found" during the field interviews). Many lists of participants were given in multiple copies, either as individual workshop lists or as consolidated multiple workshops lists.
- OLDS and IT services have been unable to monitor non-workshop training activities. No statistics about number of hits in the intranet emergency pages were able to be produced at the time of this evaluation and no identifiable monitoring strategy of CD-Rom dissemination or results oriented assessments of these tools has been done, with the exception of the Security CD-Rom because it was made mandatory.<sup>39</sup>
- The inhibited fluidity of information circulation presented some surprising situations: key informants would ask the evaluation team for data on workshops in their sectors. Causal factors were often attributed to decentralization practices (most key informants used this as a leitmotiv)

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<sup>38</sup> See list of Lists of Participants in the Appendix 5. These would range from a complete set of basic information to a checklist of expected (?) participants to the workshop.

<sup>39</sup> During the final stages of writing this report, Baastel learned that OLDS is now able to determine who is looking at what section of the learning web. For example, OLDS learned that during the month of May 2005, the EPR training programme received 1000 hits. However, they are still unable to discern between data enterers and knowledge seekers. Moreover, OLDS has created a system to monitor who is doing the CD-ROM course, but they are currently experiencing technical problems and IT is not able to provide back-up support to remedy them. OLDS has also set up a new system to monitor the other CD-ROM courses.

and to a relative lack of accountability tradition. All of these factors could have been addressed though a consensual, light, form-sheet based monitoring system conveyed by a flexible communication protocol.

- With the noted exception of the EPR and PATH workshops, the beneficiary information was not processed or analyzed. To the team’s knowledge, the only analysis produced by OLDS for its own purposes was targeted to the building of a network of suitable trainers in the core sectors.<sup>40</sup> Not only does this limitation weaken the accountability, both internally and externally, but it shrinks dramatically the foundation of all decision-making processes.

## 5.2 The Impact of Unmet Challenges

In terms of this evaluation, the most important result of the weak M & E system has been that it was not possible to obtain an exhaustive picture of both the total number of workshops and the total number of participants. This has meant that the estimate of the programme’s reach must allow for a close to 20% margin of error<sup>41</sup> as shown in Table 5.1.

**Table 5.1: General Results of the M & E System**

	Number	%
Total number of workshops in a master list <sup>42</sup>	119	
Number of workshops with a list of participants <sup>43</sup>	98	82.4
Number of workshops without a list of participants <sup>44</sup>	21	17.6
Total number of participants found in the 98 lists of participants	2339	

The production, control, and corroboration of this 5.1 table required a massive investment in time and energies both by the evaluation team and UNICEF’s Evaluation Office. The EO agreed to input all the individual information on trainees into an excel file<sup>45</sup>. Though the methodologies used were not identical, the obstacles met by both parties highlighted the weakness of this *ad hoc* M & E system.

An analyst would find it nearly impossible to inventory all the negative impacts this situation may have had on the management of such a far reaching and diverse programme. This is particularly unfortunate as many aspects of the programme were quite positive. The visible negative signs included:

- A fragile corporate memory unable to “remember” a large portion of its training activities. This was often true even for workshops for which only skeleton basic beneficiary information was available in the list of participants. Consequently this amnesia brought upon the organization a horizontal

<sup>40</sup> No negative judgment should be passed on this. It must simply be noted that it constitutes a sane reaction to an unhealthy global context. The existence of a continually updated global workshop database could have had as one of its numerous by-products an updated list of suitable trainers, so that this OLDS list, though justified in these circumstances, appears to be what the French call a “pis-aller”.

<sup>41</sup> This is nevertheless a dramatic improvement from the preliminary December analysis when the coverage rate (number of workshops with lists vs. those without) was **less** than 50%.

<sup>42</sup> The master list referred to here was consolidated throughout the evaluation period (December 2004-April 2005) from a first list given by OLDS in December to which all ulterior information about workshops was added.

<sup>43</sup> Anecdotal symptom of this dysfunctional system: MENARO produced a consolidated list of workshops and participants with a mention of an H & N in emergencies workshop held in Nairobi in August 2003 to which it sent two staff members. The evaluation team, however, was unable to find any other traces of this workshop in any of the documents received and was unable to corroborate that it took place.

<sup>44</sup> There was no way for the team to ascertain if there had been a biased process at work in all these cases.

<sup>45</sup> The evaluation team wishes to express its gratitude to Mr. Simon Lawry-White and Mr. John Tran for this precious contribution.

(from CO to HQ level) and vertical (cross regional + cross divisional in HQ) relative inability to draw a complete picture of the capacity building process at work.

- Key informants in the regions noted that without a tracking system, they did not have a clear view of their performance achievement vis à vis other regions with regards to learning activities — i.e. how they compared in terms of core and sectoral workshops offered in their respective regions, what the other regions were planning, or what possible calendar they could follow. The *ad hoc* method used by OLDS may have alleviated some of this negative effect but only very slightly. Ironically, by not having a shared database of workshop information, UNICEF was succumbing to a centralizing solution.
- Among the points that could be made about accountability issues, one could state that even if there had been a baseline study of learning needs after the launching of Phase II, the analysis would have been slightly faulty. The end result is that an assessment of the capacity development impact of the programme is difficult, not only because of the margin of error in the estimate of the programme's reach, but also because of the sometimes unreliable and rarely controlled information found in existing lists of beneficiaries.
- Finally, UNICEF also seemed to have been unable to insert the information about workshops that it was able to collect in its HR database<sup>46</sup>. This makes it dubious that the organization will ever be able to maximize, institutionally, rather than through informal, *ad hoc* means, the results of the skills enhancing activities. However, some regional offices, such as MENARO, have created their own database of expertise. Plans are indeed being devised to overcome these problems but it is doubtful a reliable *ex post* view can be drawn.

### 5.3 Analyzing the Available Information

The existing data allow for some interesting analyses<sup>47</sup>. Four characteristics will be examined here.

#### 1. Data by Year

**Table 5.2: Number of Workshops and Participants by Year**

By year	No of workshops	%	Number of participants	%
2000	2	2.1	38	1.6
2001	8	8.2	212	9.1
2002	25	25.8	552	23.6
2003	30	30.9	711	30.4
2004	32	33.0	826	35.3
Total <sup>48</sup>	97	100.0	2339	100.0

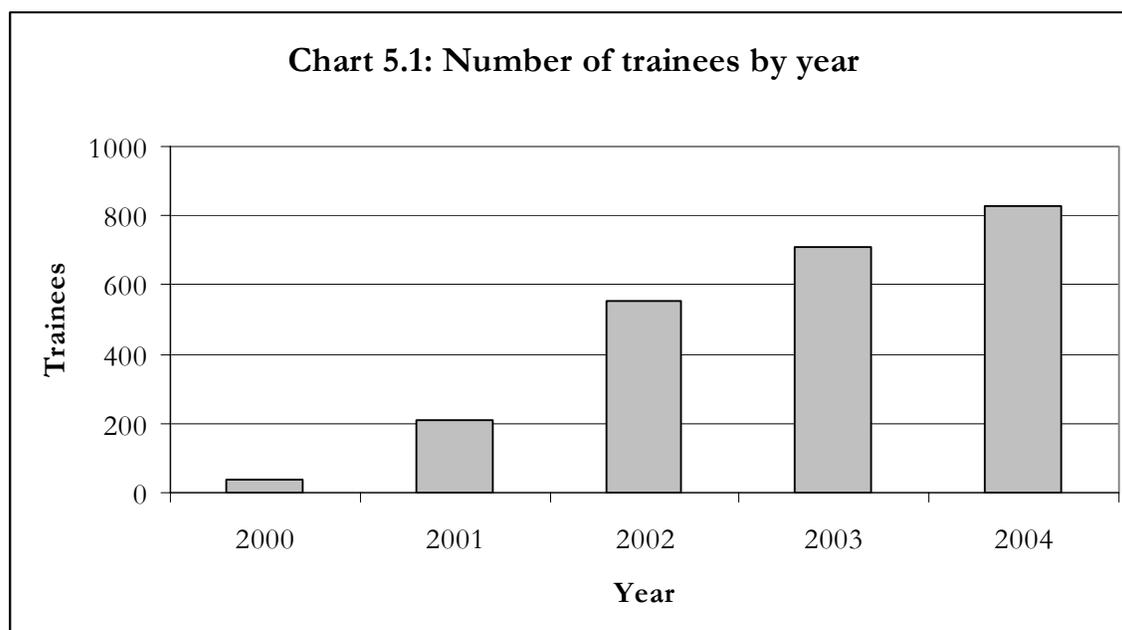
The table illustrates the ascending tendency with a little more than 65% of participants in the lists having been trained in the last two years (2003-2004). The 2004 numbers are a bit misleading as this was the year WCARO attempted and was successful in “catching-up” with other regions in terms of coverage,

<sup>46</sup> This specific point was discussed in a meeting that Baastel evaluation team members had with Mr. Anders Pettersson and Ms. Jenny Wolfson on December 13, 2004. It was again raised during a meeting with the VALID team on January 19, 2005.

<sup>47</sup> Given the length of this report we have had to limit the number of variables examined in this overview.

<sup>48</sup> The total number of workshops does not equal 98, as indicated in the previous table, because we have excluded the obscure 2003 H&N workshop in Nairobi.

after a period of stagnation. This was done at considerable cost, in time and energy for the emergency staff in that regional office. Chart 5.1 gives a visual display of the same data.



## 2. Data by Theme and Type of Workshop

Course Name	Trainee Workshops	Training of Trainers Workshops	Grand Total
Action for the Rights of Children	32		32
Communications	37		37
Children Protection in Emergencies	9		9
Disarmament, Demobilization, Reintegration, and Rehabilitation	65		65
Emergency Preparedness and Response Planning <sup>49</sup>	251		251
Emergency Preparedness and Response Training	911	79	990
Global Management Workshop	115		115
HIV/AIDS	24		24
Health and Nutrition in Emergencies	168		168
Information Technology and Telecom Security	7		7
JPO Global Orientation	76		76
Monitoring & Evaluation in Emergencies	91		91
Mine Action Workshop	72		72
Principled Approach to Humanitarian Action/Humanitarian Principles	52	125	177
Psych-Social Programming	74		74
Peers Support/Stress Management	83		83
Senior Leaders Course	68		68
<b>Grand Total</b>	<b>2135</b>	<b>204</b>	<b>2339</b>

<sup>49</sup> All these participants were from TACRO.

**Table 5.3: Number of participants by theme and type of workshop**

A comfortable proportion (53%) of listed workshops were EPRT or EPRP, as shown in Table 5.3. The majority of PATH workshops were of the ToT type but less than 10% of EPRT were ToTs. Though the Health and Nutrition workshops only totalled 5, the total number of participants is relatively significant, especially given that no workshops were organized in 2004.

### 3. Data by Region

As Table 5.4 indicates, the region that has proven itself most dynamic, ESARO, offered the greatest number of listed workshops to the highest number of staff, either directly or in joint venture with WCARO. A total of 26% of all trainees come from that region.

**Table 5.4: Number of Workshops and Participants by Region**

Year	CEE/ CIS	ESAR	HQ	MENA	Other	TACR	WCAR	SA	EAPR	Grand Total
2000	24			14						38
2001	9	135	11	24	1	8	13	7	4	212
2002	44	52	9	91	3	136	13	111	93	552
2003	40	214	76	53	8	150	88	46	36	711
2004	15	208	10	89	1	37	323	47	96	826
Total	132	609	106	271	13	331	437	211	229	2339
%	5.6	26.0	4.5	11.6	0.6	14.2	18.7	9.0	9.8	100.0

WCARO, on the other hand, confirms that 2004 was the year it succeeded at reaching a comparable number of trainees. The category HQ is really a pot-pourri of different activities from ToT workshops to small portions of senior (SPOOS) or junior (JPO) staff orientation sessions.

### 4. Data by Gender

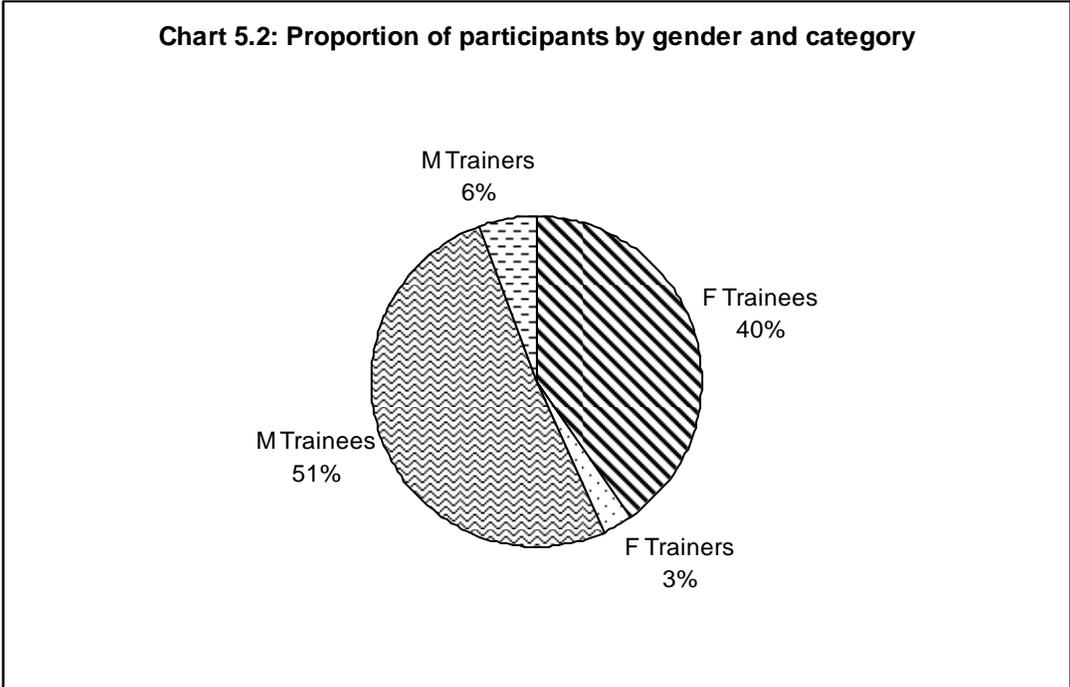
**Table 5.5: Number of Participants by Gender and Type of Workshops**

Course Name	Female			Male			Grand Total
	Trainees	ToT	Total	Trainees	ToT	Total	
Action for the Rights of Children	19		19	13		13	32
Communications	19		19	18		18	37
Children Protection in Emergencies	3		3	6		6	9
Disarmament, Demobilization, Reintegration, and Rehabilitation	39		39	26		26	65
Emergency Preparedness and Response Planning <sup>50</sup>	135		135	116		116	251
Emergency Preparedness and Response Training	343	22	365	568	57	625	990
Global Management Workshop	54		54	61		61	115
HIV/AIDS	12		12	12		12	24
Health and Nutrition in Emergencies	62		62	106		106	168
Information Technology and Telecom Security	3		3	4		4	7

<sup>50</sup> All these participants were from TACRO.

Course Name	Female			Male			Grand Total
	Trainees	ToT	Total	Trainees	ToT	Total	
JPO Global Orientation	64		64	12		12	76
Monitoring &Evaluation in Emergencies	28		28	63		63	91
Mine Action Workshop	41		41	31		31	72
Principled Approach to Humanitarian Action/Humanitarian Principles	25	52	77	27	73	100	177
Psych-Social Programming	25		25	49		49	74
Peers Support/Stress Management	39		39	44		44	83
Senior Leaders Course	29		29	39		39	68
Grand Total	940	74	1014	1195	130	1325	2339
%	40.2	3.2	43.4	51.1	5.6	56.6	100

In Table 5.5, a 13 points difference exists between males and females in the total number of participants, but this difference is greater in the trainer category. Chart 5.2 illustrates the difference in both categories, with the EPRT accounting for most of this difference.





## 6. Results of the Evaluation Surveys

Section 1 explained the methodologies and tools that had been designed to meet the information needs of the evaluation team. In the core survey, an internet-based data collection strategy was implemented and informants could fill in the questionnaires directly. For sectoral surveys, the questionnaires were sent directly to the selected sample in a Word file and processed by UNICEF's EO<sup>51</sup>.

**Table 6.1: Survey data**

Survey Topic	Number of participants listed	Sample Size	Total Number of Respondents	Rate of Response %
Training of trainers <sup>52</sup>	298 194	101	23	23
EPR-PATH	1228	1000	157	16
Communications	37	8	3	37
Health and Nutrition	159	34	11	32
M&E in Crisis	73	16	6	37
Mine Action	50	11	3	27
PSP/PSV	115	25	7	28
Total	1856	1195	210	17

A large portion of the listed workshop participants were planned to be contacted but technical constraints, often due to missing information about ex-UNICEF staff or external participants, prevented the response rate from being higher. At 17%, however, it is still reasonably satisfactory. The methodological costs of splitting the participants' survey into smaller operations are that they cannot be submitted to a statistical analysis.

### 6.1 ToT: Trainers' Assessment<sup>53</sup>

More than half the available potential trainers identified in the received lists were contacted for the survey. Of the 23 respondents, 13 were men and 10 women which brings the survey close to the equal proportion mark. As shown in Table 6.2 (Appendix 5), the core sectors of EPR and PATH were the main focus of ToTs, with a slight edge for PATH. Each participant received a little over the 1 workshop. As important UNICEF staff were excluded from the sample list for reasons of their implication in tsunami relief, this certainly affected the ratio per individual.

Questioned on their motivation (Table 6.3<sup>54</sup>), ToT participants placed a lot of importance on the enhancement of their skills and knowledge in order to become a resource for others. A stable minority (5-6) emphasized the job, administrative requirements, and career prospects of their position. More than half the sample did think the workshops played a certain role in their career.

A long list of other, very diverse, training confirm that this segment of UNICEF staff was offered or instigated opportunities for enhancing still further their skills in very different sectors ranging from

<sup>51</sup> We would like here to thank Simon Lawry-White and John Tran for their invaluable help on many aspects of these surveys.

<sup>52</sup> As stated in Baastel's First Progress Report and in a previous section, identifying the sample matrix from the 298 lists was complex because (1) Individuals had been through multiple ToTs (doubles), and (2) EMOPS had given the evaluation team an exclusion list of people involved in the tsunami relief efforts (i.e. staff who should not be contacted for the survey because of their heavy workload). The second number is the real sample matrix. These ToTs were in the PATH and EPR sectors.

<sup>53</sup> See ToT survey questionnaire in Appendix 4. Survey tables are included in Appendix 5.

<sup>54</sup> In all tables, the scale 1 to 5 is descending, with 1 being the highest mark and 5 the lowest.

language (English), to HIV/AIDS with the management oriented introduction to PROMS. Institutional and personal obstacles exist no doubt, but many in this segment found ways and means to overcome some of them.

The previous post-workshop evaluations had already given the evaluation team ample proof of the remarkable level of appreciation of (often CO level EPR) workshops in general. The ToT workshops do not contradict these assessments by participants. In Table 6.4 (Appendix 5), the role played by participatory approaches to knowledge acquisition is pre-eminent, with just behind in appreciation is the fact that participants were given what they require to revise, continue and increase the development of their abilities. The distribution of hard- and soft- versions of documentation marked in their eyes an important aspect.

The weaker elements could not be pre-determined by the evaluation team. A majority of remarks, as is often the case in workshops, touched on time (length of workshop) or timing (scheduling). Remarks that echoed what the evaluation team heard from key informants were that these workshops require follow-up.

The ToT model is based on the assumption that staff trained in these workshops, awarded trainer status, will indeed serve the organization by managing or participating in future workshops. Table 6.5 (Appendix 5) tries to measure, despite the limited scale of our sample of respondents, what multiplying effects the ToT workshops had.

More than 50% of the core training workshops (EPR-PATH) mentioned in the Practice section of the survey<sup>55</sup> that they benefited from the expertise of ToT workshop “graduates”. In all sectors the percentage is nearly 50%. In economic terms the “return on investment”, without being remarkable, is worth noting. A more proactive and tightly organized follow-up, improvement in HR management of expertise, and cross-regional system of expert exchange would increase the percentage dramatically.

These hypotheses are partially confirmed in the short list of reasons individuals gave for not having participated in training of others: lack of time was the main reason. One respondent combined two obstacles: “I could not conduct training for UNICEF CO staff due to lack of time and lack of support from senior management.”

Finally, when ToTs participants were asked about the expertise they felt they had acquired (Table 6.6 in Appendix 5), and therefore could offer to others, many recognized having gained multiple skills.

A vast majority (85%) of respondents have observed changes in UNICEF offices' capacity to train staff to respond to humanitarian emergencies; a lower but still significant (65%) think UNICEF has, through this program, increased its capacities to participate in inter-agency emergency trainings. Multiple examples were given of systems put in place to facilitate additional and on-going staff training in topics related to emergency humanitarian assistance such as: a learning hour on emergency training; access to the PATH online training; production of different training or emergency plans. When the few respondents had noted there had been no system put in place, reasons tended to move from management issues to the need for a “change of mentality”.

## 6.2 The EPR Training and PATH Online Survey

A total of 157 invited UNICEF workshop participants accessed the online questionnaire<sup>56</sup>. Some staff may have had problems filling it in as the database has traces of 6 aborted questionnaires. So the number of successfully completed questionnaires would be 151. Of this total, 85 (57%) were women and 65 (43%) were men, and one person omitted filling in this question.

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<sup>55</sup> In answer to the question : “After your participation in this program's ToT workshop, have you trained or participated in training anyone else?”

<sup>56</sup> See Participants EPR-PATH questionnaire in Appendix 4.

Personal interest (Table 6.7 in Appendix 5) in the topics was certainly paramount as more than half the respondents who chose that statement rated it very (1) or quasi-very (2) high. Pressures or encouragements by superiors, though not as significant, cannot be dismissed as between 30% (required) and 40% (encouraged) rated this motivation 1 or 2. Quite interestingly, the career motivation was distributed evenly throughout the scale.

### **6.2.1 EPR Training**

Of the total successful respondents (Table 6.8), 130 confirmed they had participated in an EPR workshop. Respondents to that segment of the online questionnaire agree they are better prepared to meet the challenges of emergency situations. Only a minority felt less prepared and none replied that they were not at all prepared.

In most of these workshops, the second major output is the material distributed (Table 6.9). This published or electronic material serves as a reference after completion of the session or, sometimes, as dissemination tools to non-participating partners. Confirming the evaluation team's own assessment, participants felt that the material was excellent to good.

Not surprisingly, as seen in Table 6.10, the frequency of consultation clearly hints to the conflicting requests made on staff's time and energy. Half the sample only occasionally makes use of the material. There may be traces of the dichotomy between emergency work and development projects. In many cases, RO and CO agents had to go back to their regular projects and could not maximize the results of this renewed and facilitated access to material they had discovered during the workshop. This situation should not create unnecessary questioning of methods but it might point in the direction of less expensive medium to disseminate information than the printed manual.

Participants did assess that there had been an increase in their level of understanding and appreciation for programming and operational policies during emergencies (Table 6.11).

This is especially true of UNICEF's approach (Table 6.12), where respondents felt that workshops had increased (90%) significantly their appreciation and understanding of the organization's approach in this sector.

The central objective of the EPR workshops was to enhance staff's capacities in emergency issues. Participants' appreciations were very positive (Table 6.13). The overwhelming majority of respondents estimate that their capacities have been increased.

When asked to give examples about how they have put their training into practice, twenty -four respondents provided feedback. Of this group, the majority (22) of the respondents were able to apply their training to assist in the development of an Emergency Response and Preparedness Plan for their country office. Several have also been able to put those plans into operation. One person in the Tanzania office has applied the training vigorously to the work being done there, using it to help mainstream the EPR functions into the rest of the programme and to work with partners in Western Tanzania to prepare a Contingency Emergency plan for an anticipated mass influx in Western Tanzania from DRC and Burundi (October-December 2004) and in March 2005, to work with partners in Kasulu, to assess and plan for interventions in response to a small natural disaster in a local community, i.e., a hurricane in Kigoma, Tanzania.

Only two people noted that they had not been able to apply the training to their work. Of these two, one indicated that s/he has been "able to inform my family about all the necessary details in case of emergency like address, telephone nos., what needs to be done in case of emergency, how to do it".

Others indicated that they have taken further follow-up action to implement the EPRPs in their offices, with one Supply Assistant now able to keep emergency stocks updated in his CO and a Senior Secretary feeling that she is now able to participate actively in meetings for preparing responses for Congolese and Burundian refugee camps during 2004 and 2005.

Others have been called upon to participate in actual emergency situations and found that they were able to respond more effectively. Some of their experiences included:

- Being mobilized to conduct rapid assessments in northern Nicaragua following Hurricane Mitch;
- Dealing with a cholera epidemic which required the country office to assess the situation, update its EPR plan and mobilize resources for urgent medical supplies;
- Participating in the assessment of the situation of women and children in emergency areas and delivering emergency relief items to needy families;
- For one Project Officer who does not work in an emergency context, taking the initiative to join colleagues in Thailand for a needs assessment mission to assess needs of refugees at the Thai-Myanmar border;
- Managing meningitis epidemics, organizing vaccination campaigns against it, and coordinating this work with NGOs;
- For one Senior Administrative/Finance Assistant, applying the knowledge gained during the EPRT when loaned to another office;
- For one CO, establishing a partnership to monitor the nutrition crisis resulting from drought.

The overall consensus appeared to be that staff who participated in the training felt that they were much better prepared to deal with emergencies when they arose. The most powerful example of this came from a staff member working in Somalia who observed that, as a result of the training, in Puntland, an area where the tsunami tidal waves seriously affected the area and caused loss of human lives and property, the UNICEF staff were able to respond quickly. The example given was that of Hafun, a coastal village with 5000 people that had been seriously affected by the tidal waves.

“All the existing water sources (open shallow wells) were contaminated with sea water. People were evacuated from their original settlements to highlands where there were no water points. It became indispensable for women and children to get clean drinking water. In 12 hours time, the first diarrhoeal cases were reported. UNICEF Bossaso was able to respond immediately. We have carried out a Rapid Assessment. Based on the assessment, all the required supplies and human resources were deployed to respond on time. The nearest water source was about 92 km from Hafun. Water trucking was the only solution. Bladder tanks, dewatering pumps and chlorine powder with instruction manuals (in Somali language) were among the supplies dispatched. Within 72 hrs, a clean drinking water [was made available] for women and children. Temporary sanitation facilities were put in place in the next 15 hours ...[and] no diarrhoea cases were reported. UNICEF started immediately the rehabilitation of 10 existing shallow wells. Now the situation is returning to normal and the people are using their improved shallow wells. Construction of new health and primary school facilities are on-going”.

This report is very much in keeping with what senior management staff in the Kenya and Somali programmes reported in the key informant interviews and corroborates their view that the EPRT training helped the Somali office handle the aftermath of the tsunami quite effectively.

Other areas of work where respondents indicated they found the EPRT to be of use included:

- Using much of what was learned in programming for OVCs, especially on issues related to abuse and exploitation;
- Giving staff many ways to handle stress in emergency situations;
- Managing people of different cultures in an emergency context, especially in an area such as the Sudan where there is no or very little knowledge about rule of law and how to respond to people who have just come from war;
- Learning to be more careful about security issues;
- Distributing medication in the field in areas that have been declared to be in a state of emergency;

- Being able to support the consultant for the management of psychosocial trauma for women and girls who were sexually assaulted as a result of conflict;
- Participating in a program for the psychosocial rehabilitation of children affected by natural disasters in a program called “Carousel of the Return of Happiness Program”;
- For a Regional Programme Officer, incorporating EPR themes into the PPP training and being able to make more intelligent contributions at meetings on emergency topics and provide improved advice to CO colleagues.

Many respondents accepted the invitation to offer suggestions about what UNICEF should do to improve its staff performance in the EPR sector. Recurrent themes can be isolated:

- Continue offering training with follow-up options through diverse means, such as e-learning courses, in the field workshops, “the trainings should have at least 30% field conditions and learning” wrote one EPR participant, frequent exchanges with emergency staff, coaching in emergency regions;
- “Ensure that aspects of EPPR are included in the Office Annual Management Plan and reflected in staff PERs.” This reflects the increasing hope that the training will find its way into HR management strategies. One example: “The organization should pay more attention to succession and rotation plans. We have competent people in the organization however in case of an emergency it becomes extremely difficult to displace and second these competent people”;
- Move the focus from EPRT to EPRP by enhancing the breadth and depth of efforts in planning for emergencies.

Most other contributions were variations. Respondents seemed to be sending a message that training is not enough and that knowledge and skills must be translated into practical results in terms of short-term professional experiences and longer-term career development.

## 6.2.2 PATH training

If one takes into account staff that have undergone both types of workshops, of the total respondents, 44 respondents confirmed their participation in a PATH workshop.

Almost all evaluate that the workshop helped them better understand (Table 6.14) UNICEF’s role in complex situations and a good portion better understood the reasons behind how UNICEF applies its rights-based approach.

The PATH workshop brought greater familiarity (Table 6.15) to participants in topics they may not have understood or heard of before. Except for the very technical fields (ex. Criminal law), all sectors have become much more familiar to participants.

The workshop had an important role in bringing staff both to better understand and appreciate UNICEF’s role in complex situations and to improve knowledge about the practical challenges/dilemmas related to protection and assistance of children and women affected by complex emergencies (Table 6.16).

While the practical application of knowledge relating to humanitarian rights is rare and infrequent, Table 6.17 nevertheless examines respondents’ appreciation of the abilities acquired through the workshops to deal with sensitive situations. In all sectors identified, UNICEF staff confirm they are better informed and prepared, even though the application of these tools has been less evident.

When asked in what ways they thought UNICEF could improve its staff development for emergency preparedness, planning and response, 28 (17%) of the PATH respondents provided the following feedback.

Of this group, 13 felt that staff needed more practical hands-on experience in emergency preparedness, planning and response. The ways they recommended that this be delivered included:

- Increasing the number of staff rotations in countries in a state of emergency (9 responses);
- Making more of the training a simulation process that would take place outside of a classroom setting (4 responses).

One person noted that giving staff, “further opportunities for simulation exercises, emergency drills, etc. would help bring a lot of the sub-conscious learning into active learning and better prepare staff for meeting the eventuality.” Another observed that, “There are many young professionals who are aching to go and work in the field to gain more experience. They often have the knowledge, albeit theoretical, they are available, they have the energy and the passion required to tackle difficult tasks.”

Other suggestions included:

- Making the EPRT both mandatory and a more permanent form of training, particularly at the SPO position and above;
- Attaching the Emergency Preparedness Training to Regional Management Teams (RMTs) for the Heads of Offices and other training or focal point meetings for other staff;
- Offering UNDAC training to staff in key offices;
- Getting exposure to different scenarios, approaches, including those of other UN agencies;
- Giving refresher trainings since after some times people will forget what they have learned;
- “Mainstreaming” of emergency into the sectoral programmes;
- Offering training on humanitarian principles;
- Gaining an understanding how other agencies view UNICEF interventions.

Several also supported on-going distance learning kinds of opportunities and recommended that UNICEF:

- Provide more distance learning opportunities like the security training;
- Set aside a period every few months where staff are required to do certain reading, respond to simulated situations, and respond to questions, in order to be accredited with that chapter of preparedness or response expertise.

Several respondents also felt that UNICEF could learn a great deal from lessons learned reports that would describe the mistakes made and why they were mistakes as well as provide examples of successful emergency experiences and interventions.

Recommendations related to human resources included:

- Putting in place a team that can be called upon whenever there is an emergency in the region and can share lessons learned;
- Involving support staff not only in the office, but also in the field;
- Ensuring that there is better follow-up in sending the resource materials to the country offices so that the staff there can replicate the training;
- Nurturing, fostering and promoting the good planning and commitment required in emergency preparedness and response among senior leadership within the office and organisation.

One observation regarding human resources in emergency was that,

“The main challenge still facing UNICEF in EPR is the management and rapid deployment and redeployment of human resources. We have played with rosters and network lists and with borrowing from one country office to support another in an emergency (this was done a lot with the Tsunami), but none of these approaches have been adequate.”

Overall the consensus seemed to be that there is a need for UNICEF to find ways to ensure that more of its staff gain practical experience in emergency work, either through hands-on experience in a short-term surge capacity deployment or else through increased use of simulations.

## **6.3 Surveys in Other Sectors**

### **Communications**

The number (3) of communications officers having responded to the evaluation team's invitation does not call for a statistical analysis. In specific situations, DRC and Sudan, the material offered during the workshop was considered very useful to answer questions or to write press releases. Among the ways to improve staff's development for emergency, training and staff exchange were emphasized.

### **Health and Nutrition in Emergencies**

An equal number of men and women composed the sample of 10 UNICEF staff having participated in the health and nutrition survey. The main motivation for participating in the course was improvement of skills in the sector. Other reasons included:

- Sharing one's experience;
- Getting insights on UNICEF CCCs in Emergency;
- Being prepared to respond to any emergency, as emergencies always arise when least expected.

In different ways and situations, the material provided was useful. One informant indicated, "Advocate our government counterpart to develop methods of risk assessment and conduct surveys in related natural disasters with the methodologies and concepts learned." Another noted: "Technical knowledge was frequently used in various meeting with government and other NGOs." In this sector, informants offered many suggestions to improve UNICEF's development of emergency strategies such as:

- Deploy the staff who had been trained to emergency areas, so they can practice the knowledge and skills in a real situation;
- Attach staff to emergency posts so that they can learn practically about emergency nutrition during an on going program, such as in Darfur, where staff who have no experience could be attached for at least three months. "I am sure staff who had participated in the training but not been in an emergency situation will never use some of the knowledge gained during that training";
- Encourage staff exchanges and the immersion of staff members into an actual emergency situation for a short time; organize refresher courses and exchange of information;
- Offer short-term rotations in different emergency situations to understand on-the-ground situations and to acquire practical knowledge; provide training on planning; develop a booklet with a check list to respond to different emergency scenarios such as floods, earthquakes, outbreaks of diseases;
- Have in-country training and exchange programmes, take staff for missions to support countries with crisis;
- Conduct this kind of training in an actual emergency country/setting so that participants will learn through on-the-job-training.

### **Monitoring and Evaluation in Unstable and Crisis Situations**

Five men and only one woman replied to the survey on monitoring and evaluation workshops. Five of them wished to develop their skills in the sector with a special mention of networking for one respondent as a motivation. The M & E survey was the only sector where the material was deemed either "adequate" or "needs to be improved". Though the sample was small, the richness of examples given to illustrate the use of skills acquired during training by participants deserves mention. As the respondents themselves wrote:

- “Knowledge of rapid assessment has helped in quick information gathering, while the discussion on preparing situation reports at the training has enhanced country office’s quick feedback to ESARO, NY and other offices.”
- “Contingency planning (definition of scenarios, identification of vulnerability/early warning indicators), designing rapid assessment tools for sectoral programmes.”
- “I usually refer to it when drafting ToRs for rapid assessment. Also, when I make presentations on M & E, I sometimes use the definitions that were included in the folder. Because of this training, I was able to facilitate the Rapid Assessment Module of the Emergency Preparedness and Response Training, conducted in Malawi in 2004.”

Quite obviously, survey respondents had kept in touch with ongoing discussions in HQ as demonstrated in some of the suggestions made for improvement of staff for emergencies in UNICEF:

- “1-Have in each CO, including non-emergency countries, a core team of skilled professionals and capable of coaching the rest of Staff in the field of EPR; 2-Design training methodologies so as to be as close as possible to actual working conditions in unstable situations (e.g. simulation).”
- “By mainstreaming emergency preparedness in country programme and let it be the responsibility of all staff.”

Answers to questions on improvement of understanding were positive and respondents felt they had a better grasp of important M & E issues, but a very technical element was felt to have not been properly dealt with: in response to the question “Did the M & E course help you to adopt an Integrated Monitoring and Evaluation Plan (IMEP) in crisis and unstable contexts?” the response was rather negative.

## **Mine Action**

The high ratio of partners in Mine Action workshops may offer explanations for the low number of respondents (3). As for other surveys, the development of skills was the main motivation. These skills were put to use as one respondent wrote: “I had to organize a review of the data collection system on mine victims in Northern Caucasus, Russian Federation.” And another: “UNICEF Mine Action Strategic framework assisted in the development of MRE component of the national Mine Action plan with the Angolan government, provision of guidance to NGO partners and the positioning of the UNICEF in relation to these areas, following a wider global framework.” In this technical sector, suggestions for improvement covered: “A ‘Reactive’ Mine victim information system is the fundamental base for an adequate Mine Action project. Mine action officers need more training/review/practice about the management of these systems.” And “Further training for staff in particular programmatic areas, sharing of experiences between country programmes through field exchanges.” This latter suggestion echoes the recurrent theme of staff exchange as a means of improving skills through sharing of experiences in the field.

## **Stress Management**

Of the 7 respondents to the PSP/PSV workshops, the four women and three men gave priority to development of skills as the main motivation. The disseminated material was positively evaluated and seems to have facilitated the transition to a newly acquired role as office “listeners”: “Through an “open door policy” in my office and by gaining the trust of colleagues (in terms of wanting to help, being open-minded and maintaining confidentiality), colleagues feel able, should they feel the need, to come to me at any time and to have specific “one on one discussion, sometimes on very sensitive issues,” wrote a respondent. Or more subtly: “I have been learning to recognize symptoms of stress in colleagues, and involving them in casual conversations with them, even though they do not come for any sessions”.

The growing number of conflict-prone regions and the parallel increase in number of staff exposed to the effects of long-term exposure to stressful situations may have encouraged participants in offering a set of rich suggestions for improvement in UNICEF:

- Lessons learned should be shared widely among offices.
- More frequent training and coaching of staff; frequent deployment of staff who received training to assist countries in emergencies; and maybe establish a career path for those who are qualified and willing to work in emergencies as a specialized field.
- "I have always believed that UNICEF needs to invest in a small group of well-trained New York funded staff known as the "emergency flying squad". i.e. specialists in relevant areas such as Emergency Programming / Programme Managers (Health, Education, Protection etc.), External Communications / Finance / HR / Operations / IT / Supply & Logistics. This squad would then move from emergency to emergency, setting up offices / programmes etc. correctly. Their time should be limited (3 - 6 months) before they hand over. This would speed UNICEF's response, increase the impact of the emergency response, aid easier capacity building away from the organization and allow "lessons learned" to be implemented more effectively from emergency to emergency."<sup>57</sup>
- Having PSVs at the field level where there is more conflict-related stress, to catch any frustrations early on; providing orientation to ALL staff on de-stressing techniques.

Participants at these workshops who responded to the survey felt they had been given the right set of tools to deal with most situations, including a capacity for self-assessment.

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<sup>57</sup> N.b. There already exists a five-person Emergency Response Team in UNICEF based in EMOPS, NYHQ. However, along the lines of this recommendation from one respondent, it could be argued that this team should be expanded and better field emergency rosters established.



## 7. Conclusion

Goal 4 of the DFID Capacity Building UNICEF Humanitarian Response project is:

To improve staff competencies for advocacy, programmatic and operational support in emergencies, reflecting the human rights based approach to programming and the normative framework of UNICEF.

The Evaluation Team assessed progress on this goal within the context of UNICEF's overall goal of mainstreaming humanitarian preparedness and response within the organization. To this end, the Team members met with UNICEF officials involved in emergency and in training work at headquarters and in Senegal, the Democratic Republic of the Congo, Congo-Brazzaville, Kenya, Malawi, Madagascar, Jordan and Nepal. They also conducted phone interviews with key personnel in regions as well as with external trainers and advisors involved in this project and sent out approximately 1195 surveys to staff trainers and personnel who had taken part in project-related training or other learning activities. They also observed an EPRT workshop and reviewed numerous related reports and documents. In total, they contacted around 1325 people.

Based on the data compiled from this extensive review it is clear that:

1. UNICEF has been generally successful in increasing staff knowledge and skills necessary for programmatic and operational support in emergencies, particularly amongst international staff.
2. There is still some need to strengthen knowledge and skills in negotiation and advocacy, particularly related to coordination with partners and advocacy with donors.
3. There is also still a need to strengthen national staff knowledge and skills necessary for advocacy, programmatic and operational support in emergencies.
4. There has been a significant increase in the learning opportunities available to staff to develop appropriate competencies, but staff still feel constrained by their workloads from participating freely in the training opportunities that exist.
5. The quality of the learning materials produced by this project has been exceptional. Staff report finding related training sessions to be generally quite practical, interactive and stimulating.
6. Though the joint assessment of Phase I of the Programme of Cooperation had identified weaknesses in the M & E system, and the expected outputs of Phase II had planned both a baseline study of learning needs and an enhanced M & E system, the team has to confirm that no baseline study was organized and that the M & E system could not allow a real-time assessment of the programme's evolution, except in the core sectors thanks to *ad hoc* procedures. This has had a great impact on the accountability and the decision-making processes at all levels: HQ, RO, and CO.

UNICEF was also supposed to ensure that there was regional implementation and oversight of strategies for systematic skills and knowledge development in emergency preparedness and response. This has been a somewhat weaker area for UNICEF. There appears to have been regional strategies and oversight for some training courses and not for others. To some extent this has been influenced by the degree of support that each training area has received from headquarters. For this reason, there has been a much stronger push at the regional level for the EPRT course, for example. The Mine Action programme also stands out as a sector that has taken a strongly integrated and strategic approach and has supported regional work in this area. However, this is not the case in several other sectors, and child protection in particular, has been fairly neglected by UNICEF with regards to resource allocation for staff capacity building and in the development and support of regional strategies. It simply has not been possible with just one Child Protection staff person based in New York to provide this support.

## 7.1 The Direct Training Learning Model

Through this project UNICEF was also supposed to systematically provide all UNICEF staff with access to a wide range of learning opportunities related to emergency preparedness and response. While UNICEF has developed different learning opportunities for its staff in this area, including the development of an emergency-learning portal on the intranet site and of e-learning courses, their main focus has still been on the provision of direct training through workshops.

However, this is an appropriate strategy as UNICEF staff appear to appreciate and respond well to participation in workshops and the direct training format. Given the multiple demands on their time, direct training that takes place off-site or which involves the entire CO is often the only way staff can carve out time to improve their skills and knowledge. It also provides valuable opportunities for collegial exchange and networking and for staff to reflect on their work in a supportive learning environment.

The challenges that still face UNICEF in the application of this learning strategy include the need to:

1. Make a commitment to allocate a high level of investment in humanitarian response training to consolidate the mainstreaming process and to ensure that new staff are fully trained and operational in the related competencies once DFID funding is no longer available.
2. Develop a systematic means of monitoring and evaluating training impact and reach.
3. Develop a systematic means of following up on training to consolidate training results.

## 7.2 The ToT Training Approach

While the direct training model is an effective one for UNICEF, the organization tends to rely heavily on the use of a ToT approach to ensure a wider reach for its training programmes. There are a variety of reasons for this, not the least of which is cost. UNICEF has a small training budget and to compensate for this, it has tended to rely on creating trainers from regular staff. While there are some definite advantages to a ToT system, it works optimally when there is a pairing of experienced and new trainers and when there is systematic support and follow-up with the staff trainers. Selection also needs to be tightened as currently, with a few exceptions, only 50% of those trained to be trainers actually go on to provide training to their colleagues.

This system has worked well when there has been a dedicated staff member with the requisite training and technical skills who has worked closely with and supported the staff trainers, as was the case in ESARO for the EPRT courses led by Tanya Chapuisat, the Regional Emergency Officer. It has also worked well when there has been substantial support and follow-up from headquarters as has been the case for the EPRT course through tireless work by Jenny Wolfson, a Learning Officer from OLDS.

It does not work well when this high level of individual support and follow-up is not available. It also does not work well in regions where the key personnel do not believe that this is an appropriate training model or do not have the time to do systematic follow-up. Consequently, the ToT model has not been applied consistently across the regions. Nor has it been applied consistently across the different training courses offered. It has been heavily used in the EPRT course and to some degree with the PATH training. Regional staff have indicated that a ToT approach would not be possible for the M & E in Crisis and Unstable Situations course and some regions are not too keen on using it for the EPRT either. This diverse range of opinions and experience is a clear indication that UNICEF needs to either re-visit the ToT approach to direct training or else allocate significantly more resources to make it work effectively on a consistent basis.

The one approach that UNICEF has not explored with regard to direct training is to work to strengthen the capacity of local or regional institutions and then to use staff from these organizations to assist with the training process. This was suggested by several staff. It would require the external trainers to spend the time it will take to learn how UNICEF operates and it might still make sense to team external trainers with

a staff trainer. However, this could be a more viable model than the ToT system in the long run. At a minimum, it is worth piloting in one region to see how effective it would be.

### **7.3 Alternative Learning Opportunities**

The alternative learning opportunities that UNICEF has developed through the DFID project include staff exchanges, on-the-job training, lessons learned, contingency planning, shared training with other agencies, and computer-based learning.

- The staff interviewed agree that staff exchanges or deployments to serve in a surge capacity role in an emergency area are a highly effective way to build staff capacity in humanitarian response. The main constraint to the wider usage of staff exchanges appears to be managerial reluctance to either release staff to work elsewhere or to accept newcomers for on-the-job training.
- Lessons-learned has great potential as a strategy for strengthening staff capacity in emergency but has not been fully realized. Feedback from staff in the field indicates that this would be a viable alternative to formal training as a learning strategy. More could be done to tap the wide array of experiences, to document lessons learned (through evaluations, field reviews and exercises) and to disseminate reports in a timely, accessible and effective manner for use by key decision-makers and managers.
- The contingency planning process appears to have been effective in jump-starting the development of EPRPs at the CO level and represents a form of facilitated on-the-job training. Its success has been limited to some extent by the interest and commitment level of individual Country Representatives as it is an exercise that requires significant staff follow-up.
- Shared training with other agencies has been quite successful to date and staff indicated that they would like to do more of this in the future. However, it again appears to depend heavily upon the individual interest and commitment of the staff involved and has not been implemented in a systematic way or in response to UNICEF policy. To avoid dilution of resources, as was stated in the joint assessment of Phase I, UNICEF would be wise to establish a protocol for shared training projects, whether this means sending UNICEF staff to other agencies' workshops or agreeing to have partners attend UNICEF workshops.
- There are mixed results regarding computer-based learning. Response to the Security CD-Rom has been very positive. Feedback about the Orientation and Programme Process courses on CD-Rom has also been very positive, especially from national staff who have less access to training workshops (over 1200 staff have completed the Programme Process course). Nonetheless, staff still indicate that they have trouble finding time to work on any programmes that are longer than a day and self-directed learning is not likely to be adopted on a widespread basis by UNICEF staff due to workload reasons and motivational issues. Some staff have suggested that some of the core training courses should be mandatory; offering some sort of formal certification/recognition and motivation/encouragement through the PER process might also be an incentive for staff to participate in CD-Rom courses.

### **7.4 Final Summary**

Staff interviewed do feel that the project has provided the different regions with a menu of learning options which the ROs and COs have adapted to fit in with their own particular situation. This is also to the credit of the actual regional and CO staff themselves who have demonstrated a great deal of creativity and commitment in addressing humanitarian response capacity building needs in their areas. Their most common complaint was not that they did not have access to materials and resources to build staff capacity, but that they did not have time to carry out this type of training programming as they would like or feel it should be done. UNICEF staff, in general, were quite open to learning new things and indeed, were keen to learn new skills. Several staff also felt that if they could develop more skills related to emergency preparedness and response, it might help their careers. However, everyone noted that staff simply either do not have or have not given much time to spend on alternative learning opportunities.

Another refrain that the Evaluation Team heard frequently is that “UNICEF as an agency is not good at investing in learning. It wants the results without the investment”. Another senior staff member summed up the problem as this:

UNICEF is an organization that has difficulty sustaining training. Staff turnover is very high. However, there is no substitute for just having to do it again and again — there is a belief that you can just do this, you have to keep doing it. We have to have at least a review process whereby staff review what people need to do in an emergency in the context that they work in and the context of their office. No single training can provide that ...UNICEF has had a number of training manuals on emergency over the years. None of this is sustainable unless you have a system — with minimum standards, and make it an obligatory part of any system ...Our systems still tend to be very *ad hoc*”.

A common pattern in any institutional mainstreaming process is for the organization concerned to start the mainstreaming process with an intensive training programme in order to get the institution up to speed and to create a critical mass of personnel who are aware of what they need to do to mainstream a particular issue. Once that intensive training period is over, many people assume that is enough and drop the ball just when the organization is getting up to speed. The challenge that faces UNICEF right now is that to continue the mainstreaming process and to ensure that new staff are brought into this process systematically and effectively, UNICEF needs to make a commitment to continue training its staff on emergency preparedness and response on an on-going basis.

Capacity building is also only just one of many steps required in a mainstreaming process as emergency mainstreaming goes beyond changing people’s attitudes and knowledge levels. It also requires changes in entire systems and how things are done. This became clear with the feedback from staff that there is still a need to integrate the EPRP process with the regular programming planning process. For this reason, any kind of learning strategies developed to promote capacity-building in humanitarian response need to be integrated into the overall mainstreaming process and a feedback system developed to ensure that this integration is taking place in a systematic way.

The other theme that came up throughout the entire evaluation is the critical role of leadership within UNICEF. Senior managers were cited as being pivotal to the success of the emergency mainstreaming process and they themselves indicated that they felt there is a need for management-specific training for senior managers in this area. Much as the EPRT course has worked on changing staff attitudes towards emergency response and preparedness, there is also a need to support UNICEF managers in the change process that is the core of any mainstreaming initiative. Consequently, managerial training needs to take a look at both the technical issues related to the management of emergencies as well as the interpersonal and attitudinal aspects.

Linked with the leadership role of individuals is the leadership role of the agency during emergencies. Several interviewees noted that UNICEF is often called upon or expected to assume a leadership role in sectors that are related to its mandate with children, such as in education, health and nutrition, water and sanitation, or child protection. However, not everyone felt that UNICEF was up to this task and could take on this leadership/coordination role during an emergency. They noted a difference in the expertise needed for technical or sectoral areas versus the skills needed to coordinate, negotiate, develop effective partnerships, and facilitate a humanitarian response. Negotiation, advocacy and coordination skills are therefore areas that also need to be addressed and for which UNICEF is currently considering developing programmes.

For capacity building in humanitarian response to continue to be successful, staff also felt that there needs to be stronger coordinated vision related to learning opportunities from headquarters. A challenge that remains is that during a time of increased mandates and effectively decreasing budgets due to inflation and the weakening US dollar, to finance this vision is going to require making some very hard choices. However, if UNICEF does not find a means to continue funding its own capacity building initiatives through its regular budgets in the future, after several years it is quite likely that the organization will lose some of the many benefits generated by the DFID project.

## **Appendix I. Terms of Reference**

### **Evaluation of UNICEF learning strategy to strengthen staff competencies for humanitarian response 2000-2004**

#### **Background**

The frequency of crises and emergencies and their protracted nature have tested UNICEF's capacity to respond. In September 1998, a meeting of UNICEF representatives from emergency countries was held in Martigny, Switzerland. The meeting produced a set of recommendations to improve UNICEF responsiveness to children in unstable situations, within the context of a mainstreamed programme approach. It was agreed that the organisation should enhance its capacity to predict and effectively respond to a changing global environment, marked by increased frequency and intensity of civil strife, armed conflict and natural disasters. In May 2000, UNICEF presented to its Board a paper that was based on discussions at Martigny and that laid out a minimum set of 'Core Corporate Commitments' (CCCs) in regard to the organisation's initial response to protection and care of children and women in unstable situations. These CCCs comprise commitments in the areas of rapid assessment, coordination, programmes and operations.

Since the Martigny consultations, UNICEF has engaged in an intensive effort to strengthen humanitarian response capacity. This has included embarking on a significant programme of cooperation with United Kingdom's DFID (DFID-UNICEF Programme of Cooperation to Strengthen UNICEF Humanitarian Response Capacity, Phase I 2000-2002 April, and Phase II 2002-2004). Under this Programme of Cooperation, Goal 4 (one of 8 goals) has been "to improve staff competencies for advocacy, programmatic and operational support in emergencies, reflecting the human rights based approach to programming and the normative framework of UNICEF". Activities have been advanced at headquarters, regional and country office level.

Both staffing and training activities have been funded under the Programme of Cooperation. Training modules have included, amongst others: Emergency preparedness and response (including training of trainers); A Principled Approach to Humanitarian Action (including training of trainers); Monitoring and evaluation in crisis and unstable contexts (including training of coaches); Emergency health and nutrition (partly funded under the programme); and Preventing and responding to sexual abuse and exploitation in humanitarian crises.

For Phase II alone (2002-2004), expenditure on Goal 4 has been a total of \$4,248, 200, comprising \$538,000 on staff and \$3,710,200 on training activities.

As this programme comes to its last year, UNICEF and DFID are preparing to assess the overall Programme of Cooperation. It was anticipated from the beginning of Phase II that assessment of the activities under the learning goal would require more new data collection, justifying a separate stand alone evaluation.

Between January-May 2005, UNICEF is to conduct a separate evaluation of the DFID-UNICEF Programme of Cooperation to Strengthen UNICEF Programming as it Applies to Humanitarian Response 2000-2005. The results of this evaluation of the Goal 4 learning strategy will inform the overall evaluation of the Programme of Cooperation.

#### **Purpose**

The results of the proposed evaluation will feed into shaping UNICEF future learning strategies in general and in particular for humanitarian response. The results should serve to galvanise different parts of the organisation around a common analysis. The evaluation results should feed into the overall evaluation of DFID-UNICEF Programme of Cooperation and the upcoming preparations for UNICEF's next Medium Term Strategic Plan 2006-2009.

## **Objective**

The evaluation is intended to provide an assessment of UNICEF efforts to strengthen staff competencies for humanitarian response through learning, specifically focusing on the DFID Phase II Programme of Cooperation.

## **Scope**

The evaluation will address the following key questions:

- How relevant have learning strategies and activities, methods and content been to: the evolving external context including the nature of humanitarian emergencies and the evolving interagency context, UNICEF organisational context and gaps in staff competencies, and UNICEF and interagency policies in humanitarian response?
- How efficient has the overall effort been, including consideration of how different learning strategies were combined and how efforts were decentralised?
- How effective have learning interventions been? What results have been achieved as compared to stated objectives? Have staff competencies changed in the expected areas? What have been the constraints?
- What, if any, have been the outcomes of learning interventions for actual CO performance and for wider humanitarian response with UNICEF partners?
- How sustainable is the overall effort to strengthen staff competencies and what is the nature and level of investment that the organisation will have to expect in the medium term?
- How well has the overall effort been coordinated across sectors and levels of the organisation?
- How can UNICEF learning strategies for developing competencies in humanitarian response be improved?
- What broader lessons can be drawn on learning strategies in general?

There are certain key limitations in the scope of the evaluation. With regard to assessing impact, gaps in baselines and the monitoring systems for training in particular will limit the measurement of results. It is understood that conclusions about the effects of learning strategies on UNICEF and wider humanitarian response will be limited to conclusions about plausible association. Assessment of efficiency will be limited in that data will not permit detailed cost analysis.

## **Process**

The evaluation will have three phases. A preparatory phase will include:

- a thorough review of available documentation which includes: documentation on the evolving humanitarian context, UNICEF and interagency policy references, assessments of UNICEF humanitarian response capacity as well as project monitoring data and reports covering training and other learning activities at global, regional and CO levels as available;
- the review and further development of questions for analysis as necessary;
- the final design of a methodology including development and testing of data collection tools.

The data collection phase will be further elaborated in the methodology development but will include at least:

- questionnaire based survey of CO staff (English and French at least);
- focus groups at HQ, RO and CO levels;
- key informant interviews at HQ, RO and CO levels.

Data collection at RO and CO level will also be supplemented where possible by piggy-backing on selected regional meetings as possible, whether at headquarters or the field.

The analysis and reporting phase will include:

- quantitative and qualitative analysis of data;
- preparation and implementation of a consultation workshop with HQ-based member of the reference group (see below) to analyse and validate findings and conclusions, and elaborate recommendations;
- E-mail and conference call consultation with other reference group members for the same;
- preparation of a draft evaluation;
- circulation of the draft report to reference group members and selected other staff for comment;
- Preparation of the final report.

## **Evaluation Team**

Evaluation team members between them should offer the following experience and skills:

Essential:

- Experience in the evaluation of learning strategies or programmes
- Knowledge of or participation in humanitarian emergency response, including related issues of humanitarian principles and human rights
- Work or consultancy experience in developing countries
- Demonstrated experience in quantitative and qualitative data collection and analysis
- Work or consultancy experience with a UN or major international agency or organisation
- Good communication, negotiation and writing skills.

Desirable:

- Evaluation in the humanitarian emergency sector
- Experience of evaluation in UN or major international agency.
- KAP or learning needs assessment surveys
- Design and facilitation of multi-stakeholder consultations

The evaluation team will be not less than two and not more than four people.

## **Accountabilities**

The evaluation is commissioned by the Evaluation Office and on completion will be presented to the UNICEF Interdivisional Standing Committee on Children in Emergencies.

Under the guidance of UNICEF Evaluation Office, the evaluation team will be responsible for:

- Further developing methodology design
- Development and testing of data collection tools, including questionnaires and interview guides
- Development of any databases needed for processing quantitative and qualitative data;
- Systematic and rigorous implementation of data collection methods planned;
- Data processing;
- Facilitation of any validation workshops or meetings;
- Quantitative and qualitative analysis; and
- Preparation of draft and final reports.

EO will be responsible for:

- Contracting the evaluation team;
- Review and approval of learning needs assessment design and data collection tools;
- Assistance in accessing UNICEF documentation and monitoring data;
- Facilitating consultation with a reference group (see below) and consolidation of their comments;
- Approval of the final report.

A Reference Group will be formed comprising headquarters and regional focal points for the DFID Phase II project. The Reference Group members will be responsible for:

- refining the analytical questions to be addressed in the evaluation
- participating in the validation and analysis of initial findings and conclusions and the development of recommendations.

## **Products, Administration and Logistics**

### **Product**

The final product is a report presenting findings and conclusions vis-à-vis the evaluation questions detailed above, with lessons learned, and proposing recommendations on how to strengthen UNICEF learning strategies in support of UNICEF humanitarian response capacity. The report must meet the UNICEF Evaluation Report Standards, UNICEF Style Guide and further EO specifications on formatting to be provided.

The final report should be provided in hard-copy (1 copy) and electronic version in Microsoft Word. All electronic files will be submitted on CD-ROM.

### **Contract Arrangements**

This evaluation will be undertaken under a lump sum contract. The contract will be issued to an institution, consultancy company or other corporate entity, which will take full responsibility for the conduct of the evaluation and the production of evaluation products. (Individual consultants may only apply where they have formed a team under the team leader's corporate identity). The evaluation team will manage its own travel arrangements.

### **Evaluation Timetable**

The evaluation is expected to take approximately three months. The evaluation team will be selected by the second week of November and the final evaluation report must be submitted by March 31 2005. The evaluation team has flexibility to propose an evaluation timetable within this range.

### **Field Visits**

The evaluation will include three missions to three UNICEF regional offices and a total of four country offices within the three regions. The evaluation team leader must take part in at least two of the three field missions.

### **Working Arrangements**

The consultant will be expected to provide his or her own office space and working equipment. As far as possible, working space will be provided when the evaluation team is visiting UNICEF offices.

### **Reporting/Supervision**

The team will work under the overall supervision of Simon Lawry-White, Senior Evaluation Officer, Evaluation Office.

### **Payment**

Payment is by results. Payment will be made in three allotments corresponding to the completion of preparatory phase, the assessment phase and the submission of the final report. Dates and sums will be negotiated with the consultant.

## **Submission of applications**

Applications must be provided in Microsoft Word format and include:

- A proposal for how the evaluation will be implemented (max 4 sides)
- Curriculum vitae for each team member (max 4 sides per CV), starting with a summary of competencies and experience relevant to this assignment;1
- One sample evaluation report highlighting experience relevant to this evaluation. (The authors of the sample report must include at least one member of the proposed evaluation team).
- A proposed working calendar.
- Full contact details of at least two references from among recent clients;
- A copy of the company/institution's certificate of incorporation
- A budget submission including a breakdown of person days and daily fees for team members. Travel costs should not be included. These will be agreed with the evaluation team during negotiations and included in the lump sum contract.

## ANNEX A: EXTRACT OF PROJECT LOGFRAME

<p><b>GOAL 4: To improve staff competencies for advocacy, programmatic and operational support in emergencies, reflecting the human rights based approach to programming and the normative framework of UNICEF.</b></p>
<p><b>PURPOSE/OBJECTIVES:</b></p> <p><b>4.1 To systematically provide all UNICEF staff with access to a wide range of learning opportunities to enhance their knowledge and skills for emergency preparedness and response, including humanitarian policies and principles, other programmatic and operational areas, and management of assessment, monitoring and evaluation.</b></p>
<p><b>4.2 Ensure regional implementation and oversight of strategies for systematic skills and knowledge development in emergency preparedness and response</b></p>
<p><b>OUTPUTS:</b></p> <p><b>4.1.1 Training materials and learning tools, trainers, trained staff, specifically:</b></p> <ul style="list-style-type: none"> <li>• <i>For EPR training:</i> finalised package; training of in-house and external facilitators (ToF); trained staff (numbers to be determined).</li> <li>• <i>For human rights and humanitarian principles:</i> materials updated to include thematic CAAC issues ,ToF in 5 regions not yet covered; follow-up training events (numbers to be determined)</li> <li>• <i>For training in specific programme areas responding to CAAC and natural disasters -- HIV/AIDS, psychosocial programming, education, health and nutrition, water and sanitation:</i> new modules and materials developed, materials integrated into mainstream training, training workshops in regions</li> <li>• <i>For skills training for CO management of humanitarian response -- stress management, negotiation skills and media management:</i> new modules and materials developed, materials integrated into mainstream training, training workshops in regions</li> <li>• <i>For security and telecommunications :</i> updated training materials, all staff received safety and security related literature in the appropriate language; all staff in COs in crisis and unstable contexts received security awareness training by end 2005</li> <li>• <i>For training in assessment, monitoring and evaluation :</i> ToF of in-house and external facilitators for on-the-job coaching approach; key staff in at least 30 high-priority COs trained; regional training covering selected facets of materials</li> </ul> <p><b>4.1.2 Assessment of links between lessons from case studies, evaluations and other lessons learned exercises</b> (existing and planned) and learning priorities; identification of potential case-based learning materials</p> <ul style="list-style-type: none"> <li>• Links established with existing networks for institutional learning</li> <li>• Regional debriefing systems piloted (Link to regional lessons learned database, Goal 8.1) <i>(Also links with development of Knowledge base, Goal 6, Activity 6.1 and 6.2, and mapping of lessons and gaps for policy development, Goal 8.1 and lessons learned exercises 1.5)</i></li> </ul> <p><b>4.1.3 Distance learning modules available on-line and/or CD on:</b> EPR, humanitarian policies and principles, rapid assessment, monitoring and evaluation as well as programme and operational commitments</p> <p><b>4.1.4 Internal website dedicated to learning on emergency-related issues</b> established and maintained accessible to all staff.</p> <p><b>4.1.5 Staff sent on 2-4 week assignments in emergency duty-station,</b> prioritised based on staff identified as on Emergency Task Force, soon to be deployed to emergency duty-station and unstable duty-stations, and whose self-assessment indicates such need.</p> <p><b>4.1.6 Staff twinned with mentors/coaches with emergency experience</b></p> <ul style="list-style-type: none"> <li>• Guidelines on effective coaching and mentoring</li> </ul> <p><b>4.1.7 Sample survey of staff KAP providing a baseline and measure of progress 2005</b></p> <ul style="list-style-type: none"> <li>• Review of existing related performance data on CO practices, for example from routine audits, annual reports etc.</li> </ul> <p><b>4.1.8 Evaluation of learning materials and strategies undertaken</b></p> <ul style="list-style-type: none"> <li>• Clear assessment of progress provided</li> <li>• Recommendations and lessons identified to improve training strategies and materials</li> </ul> <p><b>4.2 Self-assessment tool to help staff identify own learning needs for emergency preparedness and response</b></p> <ul style="list-style-type: none"> <li>• Guidelines for CO Representative, training focal points and Regional Training Committees to ensure emergency learning needs are considered and integrated</li> <li>• CO training plans systematically address emergency learning needs</li> </ul>

## Appendix II. List of Workshops

### 1. Matrix list of Workshops Received by the Evaluation Team<sup>58</sup>

Title of Workshop	Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
1. Humanitarian Principles & Emergency Prep. Training	8-12 Jul 2000	CARK staff	Almaty	27	Jenny Wolfson Bo Viktor Nylund Everett Ressler	Yes
2. Intro to selected topics on M&E in crisis and unstable contexts	25-26 Oct 2000 Error: in the file 2001	ESARO	Nairobi	30	Mahesh Patel, Karen Allen, Ted Chaiban	Yes
3. Workshop on Psychosocial Programming for Children and Adolescents in Need of Special Protection	19-23 Nov 2000	MENA	Amman	12	Jav van Manen, Francisco Quesney	Yes
4. ToT in Human Rights & Humanitarian Principles	22-29 Jan 2001	MENA RO & CO Staff	Amman	20	Jenny Wolfson, Bo Viktor Nylund	Yes
5. Emergency Preparedness and Response Training	19-23 Feb 2001	ESARO RO & CO Staff	Nairobi	37	Jenny Wolfson, Jeffrey Klenk, Lynne Bethke	Yes
6. SPOOPS (one day for emergencies, 19 March)	11-20 Mar 2001	Senior Programme & Ops Officers	New York	30	Leila Pakkala Jenny Wolfson	Yes
7. JPO (1 day for emergencies, 20 April)	16-27 Apr 2001	JPO's	New York	35	Jenny Wolfson Leila Pakkala	No
8. ToT in Human Rights & Humanitarian Principles	7-11 May 2001	NYHQ & TACRO staff (English)	New York	17	Jenny Wolfson Bo Viktor Nylund	Yes

<sup>58</sup> Colour coding : shaded rows = workshops for which the evaluation team received a list of participants; non-shaded rows = workshops for which no lists of participants was offered.

<sup>59</sup> See Appendix 3 : List of Lists of Participants.

Title of Workshop		Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
9.	Emergency Preparedness & Response Training	30 Sep-5 Oct 2001	ESARO Great Lakes Staff	Mombassa	40	Interworks Jenny Wolfson Ted Chaiban	Yes
10.	Emergency Preparedness & Response Training	29 Oct-2 Nov 2001	Mozambique CO	Maputo	33	Interworks Ted Chaiban	Yes
11.	Nutrition in Emergencies Training	26-30 Mar 2001	ESARO	Nairobi	23	Marjatta Tolvanen, Yvonne Grellety, Annalies Borrel	Yes
12.	Monitoring & Evaluation in Crisis Situation	27-31 Jan 2002	MENA	Amman	20	Kate Alley, Chris Klein Beekman, Nimal Hettiaratchy	Yes
13.	Senior Leaders Course (1 day emergencies 5 Feb)	27 Jan-8 Feb 2002	Senior Leaders	New York	21	Nils Kastberg	Yes
14.	JPO (1 day emergencies 1 March)	27 Feb-8 Mar 2002	JPO's	New York	32	Jenny Wolfson , & others	Yes
15.	Child Protection in Emergencies/Separated and Unaccompanied Children	8-10 Apr 2002	MENA	Amman	9	Jacqueline Peters, Francisco Quesney	Yes
16.	IT/Telecom/Security Training	16-18 Apr 2002	MENA	Amman	7	Deepak Bhaskaran, Raul Castillo	Yes
17.	Management of M&E in emergencies	1-4 May 2002	ESARO	Nairobi	23	Kate Alley, Karen Allen, Mahesh Patel, Ted Chaiban, Charlie Main	Yes
18.	Workshop on Psychosocial Programming for Children and Adolescents in Need of Special Protection	May 2002	TACRO	Cuba	30	Nidya Quiroz CLAMED	No
19.	Country Emergency Preparedness & Response Training	26 Jun 2002	TACRO	Haiti	26	Everett Ressler, Angelica August, Ivette Sandino,	Yes

Title of Workshop		Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
						Fred Spielberg	
20.	ToT in Human Rights & Humanitarian Principles	9-14 Jun 2002	EAPRO/ROSA CO and RO staff	Bangkok	20	Jenny Wolfson	Yes
21.	Emergency Preparedness & Response Training	16-21 Jun 2002	CEE-CIS	Montenegro	35	Jenny Wolfson Interworks	Yes
22.	SPOOPS (1 day emergencies 17 July)	7-19 Jul 2002	Senior Programme & Ops Officers	New York	30	Jenny Wolfson EMOPS	Yes
23.	Emergency Preparedness and Response Training	18-23 Aug 2002	EAPRO CO and RO staff	Phnom Penh	40	Jenny Wolfson Bo Viktor Nylund Rebecca Phillips	Yes
24.	HIV-AIDS in Emergencies	26-29 Aug 2002	Sub-Saharan Africa	Nairobi	24	No information	Yes
25.	Emergency Preparedness & Response Training	25-29 Aug 2002	MENA	OPT	29	Jenny Wolfson, Thomas Davin	Yes
26.	EPR Training	11-15 Sep 2002	Indonesia CO (& Partners)	Jakarta	36	Siddarth Chaterjee	Yes
27.	Stress Management Workshop/Peer Support	27 Sep-1 Oct 2002	MENA	Khartoum	16	Rune Stuvland, Sean Perrin	Yes
28.	JPO Training (Emergency day 1 March)	4 Oct 2002	JPO's	New York	35	Jenny Wolfson Iain Levine	No
29.	Emergency Preparedness & Response Training	7-8 Oct 2002	Pakistan Sub-office	Karachi (Pakistan)	22	Interworks Reiko Nishijima	Yes
30.	Emergency Preparedness & Response Training	10-11 Oct 2002	Pakistan Sub-office	Quetta (Pakistan)	22	Interworks Reiko Nishijima	Yes
31.	ToT in Human Rights & Humanitarian Principles	13-18 Oct 2002	CEE-CIS CO and RO staff	Sarajevo	15	Jenny Wolfson Geeta Narayan	Yes
32.	Emergency Preparedness &	14-15 Oct 2002	Pakistan sub-office	Karachi	29	Interworks Reiko Nishijima	Yes

	<b>Title of Workshop</b>	<b>Date</b>	<b>Target Audience</b>	<b>Location</b>	<b>No. of participants</b>	<b>Facilitators</b>	<b>Participant List<sup>59</sup> made available to evaluation team</b>
	Response Training						
33.	Emergency Preparedness & Response Training	17-18 Oct 2002	Pakistan sub-office	Peshawar (Pakistan)	23	Interworks Reiko Nishijima	Yes
34.	Senior Leaders Training (1 day in Emergencies, 24 October)	24 Oct 2002	Senior Leaders	New York	30	Peter Crowley	No
35.	ToT Psychosocial Support	Dec 2002	MENA	Syria	33	Rune Stuvland, Sean Perrin	Yes
36.	Emergency Preparedness & Response Pilot Training	3 Dec 2002	NYHQ staff	New York	25	Jenny Wolfson	No
37.	Country Emergency Preparedness & Response Training	2003	TACRO	Jamaica	15		No
38.	Country Emergency Preparedness & Response Training	5 Aug 2002	TACRO	Belize	6		Yes
39.	Country Emergency Preparedness & Response Training	26 Aug 2002	TACRO	Panama	6		Yes
40.	Country Emergency Preparedness & Response Training	2 Sep 2002	TACRO	Nicaragua	28		Yes
41.	Country Emergency Preparedness & Response Training	6 Oct. 2002	TACRO	Barbados	10		Yes
42.	Country Emergency Preparedness & Response Training	18 Nov 2002	TACRO	Bolivia	48		Yes
43.	Regional Emergency Preparedness &	26 Apr 2003	TACRO	Mexico	41		Yes

	<b>Title of Workshop</b>	<b>Date</b>	<b>Target Audience</b>	<b>Location</b>	<b>No. of participants</b>	<b>Facilitators</b>	<b>Participant List<sup>59</sup> made available to evaluation team</b>
	Response Training						
44.	Country Emergency Preparedness & Response Training	19 May 2003	TACRO	Guyana	14		Yes
45.	Country Emergency Preparedness & Response Training	2 Jun 2003	TACRO	Dominican Republic			Yes
46.	Country Emergency Preparedness & Response Training	4 Aug. 2003	TACRO	Guatemala	24		Yes
47.	Country Emergency Preparedness & Response Training	6 Oct. 2003	TACRO	Venezuela	18		Yes
48.	Emergency Preparedness & Response Pilot Training	13 Feb 2003	NYHQ staff	New York	25	Jenny Wolfson	No
49.	JPO (one day emergencies 24 February)	18-28 Feb 2003	JPO's	New York	44	Jenny Wolfson Geeta Narayan	Yes
50.	Mine Action Workshop	10-12 Mar 2003	UNICEF Mine Action Focal Points	Geneva	18	Gianluca Buono, Reuben McCarthy, Jennyfer Acton, Polly Brennan	Yes
51.	Global ToT Emergency Preparedness & Response	9-19 Mar 2003	Staff from all regions	New York	20	Jenny Wolfson, Pieter Bult, Rebecca Phillips	Yes
52.	Human Rights & Humanitarian Principles	7-11 May 2003		New York	14	Jenny Wolfson Bo Viktor Nylund	Yes
53.	Public Health and Nutrition in Emergencies.	May 24–31, 2003	UNICEF staff from ROSA	Kathmandu	33	CDC/Columbia/Tufts University UNICEF	Yes
54.	RO/CO ToF on M&E in Emergencies	2-6 Jun 2003	UNICEF staff	New York	18	Kate Alley, Suzanne Taschereau,	Yes

Title of Workshop	Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
					Moira Reddick	
55. EPR Training	16-19 Jun 2003		Hargeisa (Somalia)	27		Yes
56. Vulnerability & Capacity Assessment & Analysis Training	2-4 Jul 2003	ROSA & Govt (facilitated by ADPC)	Nepal	18	Zubair Murshed, Merrick Chatfield, Reiko Nishijima, Soma de Silva	Yes
57. SPOOPS (one day emergencies)	15-27 Jul 2003	Senior Programme & Ops Officers	New York	26	Jenny Wolfson EMOPS	Yes
58. Stress Management & Peer Support Training	21-25 Jul 2003	RO (in coordination with UNSECOORD)	Switzerland	15		Yes
59. Health and Nutrition in Emergencies	9-16 Aug 2003	ESARO	South Africa	41		Yes
60. Emergency Preparedness & Response Training	Aug 2003	Malawi CO	Malawi			No
61. Emergency Preparedness & Response Training	Aug 2003	Lesotho CO	Lesotho			No
62. Emergency Preparedness & Response Training	Aug 2003	Swaziland CO	Swaziland			No
63. Health & Nutrition in Emergencies	Aug 2003	MENA	Nairobi	2	External	Yes
64. Emergency Preparedness & Response Training	24-29 Aug 2003	Occupied Palestinian Territories CO	Ramallah	29	Jenny Wolfson, Thomas Davin	Yes
65. Human Rights & Humanitarian Principles	First week of Sep 2003	CEE-CIS	Uzbekistan		Hanna Singer	No
66. Emergency Preparedness & Response ToT	8-18 Sep 2003	English speaking ESAROWCARO	Kenya	26	Jenny Wolfson, Tanya Chapuisat	Yes
67. ToT Human Rights &	17-19 Sep 2003	Spanish speaking	Panama	18	Alma Jenkins, Fred	Yes

Title of Workshop		Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
Humanitarian Principles			TACRO			Spielberg, Berenice Cordero	
68.	Health & Nutrition in Emergencies	18-26 Sep 2003	EAPRO	Bangkok	23	Tufts/CDC/ Columbia Uni & UNICEF	Yes
69.	EPR Training	22-26 Sep 2003	ESARO	Hargesia	27	Tanya Chapuisat, Rober McCarthy	Yes
70.	EPR Training	22-26 Sep 2003	ESARO	Lilongwe	28	Tanya Chapuisat, Fayoyin Adebayo, Astarakech Anjango, Jacqueline Aligula	Yes
71.	Emergency Preparedness & Response ToT	28 Sep-3 Oct 2003	French speaking WCARO/ESARO	Senegal	18	Andrew Brooks, Adriana Zarrelli	Yes
72.	EPR Training	7-11 Oct 2003	ESARO	Maseru	26	Tanya Chapuisat, Fayoyin Adebayo, Malibuseng Moeketse, Jacqueline Aligula	Yes
73.	Emergency Preparedness & Response Training	17-23 Oct 2003	Maghreb & other MENA French-speaking CO's	Amman			No
74.	Field Epidemiology for Mine Action	27 Oct – 7 Nov 2003	UNICEF mine action focal points	Atlanta	31 Note: The list of participants gives 9 UNICEF participants	Reuben McCarthy, Fiona Galloway (CDC)	Yes
75.	Senior Leaders Course (1 day emergencies, 28 October)	19-31 Oct 2003	Senior Leaders	New York	22	Jenny Wolfson Rebecca Phillips	Yes
76.	Emergency Response: Health & Nutrition	4-6 Nov 2003	UNICEF & partners (including govt)	Addis Ababa	60	Tufts, Columbia, CDC	Yes
77.	Regional Crisis Management and Peer	3-7 Nov 2003	WCARO	Senegal	19	Moussa Ba, Djeneba Coulibaly Youssoupha	Yes

Title of Workshop		Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
Support						Niang	
78.	A Principled Approach to Humanitarian Action (pilot test)	2-4 Dec 2003	NYHQ UNICEF staff	NY	26	Jenny Wolfson Geeta Narayan	Yes
79.	Country Emergency Preparedness & Response Training	27 Feb-5 Mar 2004	WCARO	Benin	31	Adriana Zarrelli and/or Andy Brooks	Yes
80.	Country Emergency Preparedness & Response Training	Mar 2004	TACRO	Costa Rica		Ives Cunill	No
81.	Mine Action Workshop	10-12 Mar 2004	UNICEF Mine Action Focal Points	Geneva	30	Gianluca Buono, Reuben McCarthy, Julie Myers	Yes
82.	Sub-Regional French emergency Preparedness & Response Training	13-18 Mar 2004	MENA/WCARO	Algeria	20	Adrianna Zarrelli, Cherif Benadouda & Thomas Davin	Yes
83.	Country Emergency Preparedness & Response Training	15-17 Mar 2004	ESARO	Comoros			No
84.	Regional EPR & Humanitarian Principles Training for Programme Coordinators	22-24 Mar 2004	CEE-CIS	Geneva		Hanna Singer Geeta Narayan	No
85.	Country Emergency Preparedness & Response Training & mini-ToT	22-25 Mar 2004	MENA	Yemen		Jenny Wolfson Thomas Davin	Yes
86.	Child Soldiers Strategy & Demobilisation Workshop	22-24 Mar 2004	EAPRO and partners	Bangkok	65	Diane Paul Adam Burke	Yes
87.	Country Emergency Preparedness & Response Training	29 Mar-2 Apr 2004	ESARO	Pretoria	36	Tanya Chapuisat	Yes
88.	Country Emergency	2-8 Apr 2004	WCARO	Ghana	26	Adriana Zarrelli and/or	Yes

	<b>Title of Workshop</b>	<b>Date</b>	<b>Target Audience</b>	<b>Location</b>	<b>No. of participants</b>	<b>Facilitators</b>	<b>Participant List<sup>59</sup> made available to evaluation team</b>
	Preparedness & Response Training					Andy Brooks	
89.	Country French Emergency Preparedness & Response Training	6-8 Apr 2004	WCARO	Cameroon	23	Adriana Zarrelli	Yes
90.	Country Emergency Preparedness & Response Training	19-20 Apr 2004	WCARO	Gambia	23	Adriana Zarrelli and/or Andy Brooks	Yes
91.	Country Emergency Preparedness & Response Training	19-23 Apr 2004	ESARO	Namibia	23	Tanya Chapuisat, Geoffrey Ijumba	Yes
92.	ToT: Humanitarian Principles & International Legal & Ethical Standards in Practice	26 Apr-1 May 2004	ESAROWCARO	Kenya	15	Jenny Wolfson, Geeta Narayan	Yes
93.	Country French Emergency Preparedness & Response Training	5-6 May 204	WCARO	Senegal	33	Adriana Zarrelli and/or Andy Brooks	Yes
94.	Regional Stress Counselling & Peer Support Volunteers Training	24-28 May 2004	Regional (ROSA)	Kathmandu	19	Penelope Curling	Yes
95.	SPOOPS	6-18 Jun 2004	Senior Programme & Ops Officers	New York	28	Pieter Bult, Julia Rees, Robin Postel, Judith Hushagen	Yes
96.	Country Emergency Preparedness & Response Training	14-18 Jun 2004	TACRO	Argentina	15	Nidya Quiroz	No
97.	Country Emergency Preparedness & Response Training	21-23 Jun 2004	TACRO	Uruguay	10	Nidya Quiroz	No
98.	Country Emergency	24-26 Jun 2004	TACRO	Paraguay	12	Nidya Quiroz	No

Title of Workshop	Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
Preparedness & Response Training					Amado Lover	
99. Country Emergency Preparedness & Response Training	28 Jun-2 Jul 2004	TACRO	Ecuador	13	Fred Spielberg Ivan Yerovi	Yes
100. Country French Emergency Preparedness & Response Training	5-9 Jul 2004	WCARO	Gabon	17	Andrew Brooks	Yes
101. A Principled Approach to Humanitarian Action ToT (French)	11-16 Jul 2004	WCARO/ESARO	Senegal	18	Jenny Wolfson, Andrew Brooks	Yes
102. EPR Training	26-29 Jul 2004	ESARO	Kigali	53	Tanya Chapuisat, Felicite Mukantabara, Veneranda Kabarere, Jacqueline Aligula	Yes
103. Country Emergency Preparedness & Response Training	4 Aug 2004	ESARO	Angola	26		Yes
104. Emergency Psychosocial Support	1-5 Aug 2004	EAPRO	Tagaytay, Philippines	34	Ernesto Cloma, Les Spence	Yes
105. EPR Training	23-27 Aug 2004	ESARO	Kigali	34	Tanya Chapuisat, Felicite Mukantabara, Veneranda Kabarere	Yes
106. EPR Training	30 Aug-2 Sep 2004	ESARO	Dar es salam	12	Tanya Chapuisat, Hamida Ramadhan, Jacqueline Aligula	Yes
107. Country French Emergency Preparedness & Response Training	30 Aug-2 Sep 2004	WCARO	Mauritania	39	Adriana Zarrelli and/or Andy Brooks	Yes
108. Country Emergency Preparedness & Response Training	20-22 Sep 2004	WCARO	Liberia	17	Adriana Zarrelli and/or Andy Brooks	Yes
109. Country French	4-8 Oct 2004	WCARO	Central	34	Adriana Zarrelli and/or	Yes

<b>Title of Workshop</b>	<b>Date</b>	<b>Target Audience</b>	<b>Location</b>	<b>No. of participants</b>	<b>Facilitators</b>	<b>Participant List<sup>59</sup> made available to evaluation team</b>
Emergency Preparedness & Response Training			African Republic		Andy Brooks	
110. Country Emergency Preparedness & Response Training	Oct/Nov 2004	ESARO	Madagascar			No
111. Senior Leaders Course (1 day emergencies, 28 October)	17-29 Oct 2004	Senior Leaders	New York	25	Jenny Wolfson	Yes
112. Peer Support Training	25 Oct – 3 Nov 2004	TACRO staff & inter-agency staff	Cartagena, Columbia	50 (including 13 UNICEF)	Penelope Curling, UNSECOORD, WFP & consultant	Yes
113. Country French Emergency Preparedness & Response Training	Nov 2004	WCARO	Niger	27	Adriana Zarrelli and/or Andy Brooks	Yes
114. Country French Emergency Preparedness & Response Training	18-20 Oct. 2004	WCARO	Congo	23	Adriana Zarrelli and/or Andy Brooks	
115. Country Emergency Preparedness & Response Training	25-27 Oct 2004	TACRO	Chile	25	Nidya Quiroz	No
116. Country Emergency Preparedness & Response Training	8-10 Nov 2004	ESARO and partners	Eritrea	32 (including 19 UNICEF)		Yes
117. Regional ToT on A Principled Approach to Humanitarian Action (PATH), English	21-26 Nov 2004	ROSA	Nepal	22	Jenny Wolfson Luc Chauvin	Yes
118. Communication Network Meeting: Breaking the mould	17-21 Nov 2003	WCARO	Senegal	37	Many resource persons (23)	Yes
119. Sub-regional Action for	20 Jan 2004	MENARO	Cyprus	32	Krishna Belbase	Yes

Title of Workshop	Date	Target Audience	Location	No. of participants	Facilitators	Participant List <sup>59</sup> made available to evaluation team
the Rights of Children (ARC) workshop on Palestinian Children in the Occupied Palestinian Territory, Jordan, Syria and Lebanon					Geert Cappelaere Buthayna Al-Khatib Predrag Zivkovic	

## 2. Cross Referenced List of Workshops

Theme of workshop	Title of Workshop	Date <sup>60</sup>	Target audience	Location	Source
1. EPRP	Humanitarian Principles & Emergency Preparedness Workshop	July 12, 2000	CARK	Almaty	CARK July 2000 HP & Prep. training.doc
2. Child Protection	Workshop on Psychosocial Programming for Children and Adolescents in Need of Special Protection	November 23, 2000	MENARO	Amman (Jordan)	MENA emergency workshops.xls
3. PATH	ToT on Human Rights and Humanitarian Principles	January 29, 2001	MENARO RO & CO staff	Amman (Jordan)	MENA emergency workshops.xls
4. EPRP	Emergency Preparedness & Response Training	February 23, 2001	ESARO RO & CO Staff	Nairobi (Kenya)	Training_Participant_Database.xls
5. EPRP	Global Management Development Course	March 19, 2001	Senior programme and Operations Officers	New York (USA)	SPOOPS March 01.doc
6. Health and nutrition	Nutrition in Emergencies Training	March 30, 2001	ESARO	Nairobi (Kenya)	ESARO Nutrition Nairobi Mar 01.doc
7. PATH	ToT in Human Rights and Humanitarian Principles	May 11, 2001	NYHQ & TACRO	New York	HR & HP ToT May 2001 NYHQ.doc
8. EPRP	Emergency Preparedness & Response Training	October 5, 2001	ESARO Great Lake staff	Mombasa (Kenya)	EPR Mombasa Oct 01.doc

<sup>60</sup> . For convenience reasons only the workshops' end dates were noted.

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
9. M&E	Introduction to selected topics on M&E in crisis and unstable situations	October 26, 2001	UNICEF M&E Officers	Nairobi (Kenya)	M&E in crisis OCT 01.doc
10. EPRP	Emergency Preparedness & Response Training	November 2, 2001	Mozambique CO	Maputo (Mozambique)	EPR Mozambique Oct 01.doc
11. M&E	M&E in crisis situation	January 31, 2002	MENARO	Amman (Jordan)	MENA emergency workshops.xls & MENA M&E in crisis Jan 02.doc
12. EPRP	Senior leaders course	February 5, 2002	Senior leaders	New York (USA)	Senior Leaders 2002.xls
13. EPRP	Emergency Preparedness & Response Training	March 1, 2002	JPOs	New York (USA)	JPO Participant List 02.doc
14. Child Protection	MENA Workshop on Child Protection in Emergencies / Separated and Unaccompanied Children	April 10, 2002	MENARO	Amman (Jordan)	MENA emergency workshops.xls
15. Telecommunications	IT/Telecom/Security Training	April 18, 2002	MENARO	Amman (Jordan)	MENA emergency workshops.xls
16. M&E	Management of M&E in emergencies	May 4, 2002	ESARO	Nairobi (Kenya)	ESARO M&E in Emerg May 02.doc
17. PATH	ToT in Human Rights and Humanitarian Principles	June 14, 2002	EAPRO/ROSA CO and RO staff	Bangkok	ToT PATH List.xls
18. EPRP	Emergency Preparedness & Response Training	June 21, 2002	CEE-CIS	Montenegro	EPR Montenegro June 02.doc
19. EPRP	Country Emergency Preparedness & Response Training	June 26, 2002	TACRO	Port-au-Prince (Haïti)	EPRP Workshop Participants in TACRO.doc

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
20. EPRP	Global Management Development Course	July 17, 2002	Senior programme and Operations Officers	New York (USA)	SPOOPS July 02.xls
21. EPRP	Country Emergency Preparedness & Response Training	August 5, 2002	TACRO	Belize	EPRP Workshop Participants in TACRO.doc
22. EPRP	Emergency Preparedness & Response Training	August 23, 2002	EAPRO CO and RO staff	Cambodia	Training_Participant_Databas e.xls
23. EPRP	Country Emergency Preparedness & Response Training	August 26, 2002	TACRO	Panama	EPRP Workshop Participants in TACRO.doc
24. HIV-AIDS	HIV-AIDS in emergencies	August 29, 2002	ESARO / WCARO	Nairobi (Kenya)	HIV-AIDS-Participants.xls
25. EPRP	Country Emergency Preparedness & Response Training	September 2, 2002	TACRO	Nicaragua	EPRP Workshop Participants in TACRO.doc
26. EPRP	Country Emergency Preparedness & Response Training	September 15, 2002	EAPRO	Indonesia	Training_Participant_Databas e.xls
27. PSP / PSV	Stress Management Workshop/Peer Support	October 1, 2002	MENARO	Khartoum (Sudan)	MENA emergency workshops.xls
28. EPRP	Country Emergency Preparedness & Response Training	October 6, 2002	TACRO	Barbados	EPRP Workshop Participants in TACRO.doc
29. EPRP	Country Emergency Preparedness & Response Training	October 8, 2002	EAPRO	Pakistan	Training_Participant_Databas e.xls
30. EPRP	Country Emergency Preparedness & Response Training	October 11, 2002	EAPRO	Pakistan	Training_Participant_Databas e.xls

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
31. EPRP	Country Emergency Preparedness & Response Training	October 15, 2002	EAPRO	Pakistan	Training_Participant_Databas e.xls
32. EPRP	Country Emergency Preparedness & Response Training	October 18, 2002	EAPRO	Pakistan	Training_Participant_Databas e.xls
33. PATH	ToT in Human Rights and Humanitarian Principles	October 18, 2002	CEE-CIS	Sarajevo	ToT PATH List.xls
34. EPRP	Country Emergency Preparedness & Response Training	November 18, 2002	TACRO	Bolivia	EPRP Workshop Participants in TACRO.doc
35. PSP / PSV	ToT Psychosocial Support	December 19, 2002	MENARO	Damas (Syria)	Psychosocial training Dec 02 MENA.doc
36. EPRP	Emergency Preparedness & Response Training	February 28, 2003	JPOs	New York	JPO Participant List 2003.doc
37. Mine action	Mine Action Workshop	March 12, 2003	UNICEF Mine Action focal Points	Geneva	Mine Action Workshop March 2003.doc
38. EPRP	Global ToT Emergency Preparedness & Response	March 19, 2003	Staff from all regions	New York (USA)	ToT EPR Global List.xls
39. EPRP	Regional Emergency Preparedness & Response Training	April 26, 2003	TACRO	Mexico	EPRP Workshop Participants in TACRO.doc
40. PATH	ToT in Human Rights and Humanitarian Principles	May 11, 2003	NYHQ	New York	ToT PATH List.xls
41. EPRP	Country Emergency Preparedness & Response Training	May 19, 2003	TACRO	Guyana	EPRP Workshop Participants in TACRO.doc

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
42. Health and Nutrition	Public Health and Nutrition in Emergencies.	May 31, 2003	ROSA (UNICEF staff)	Kathmandu (Nepal)	ROSA H&N Kathmandu May 03.xls
43. EPRP	Country Emergency Preparedness & Response Training	June 2, 2003	TACRO	Dominican Republic	EPRP Workshop Participants in TACRO.doc
44. M&E	RO/CO ToF on M&E in Emergencies	June 6, 2003	RO & CO officers	New York (USA)	ToT M&E in emergencies June 03.xls
45. EPRP	Country Emergency Preparedness & Response Training	June 19, 2003	MENA	Somalia	Training_Participant_Database.xls
46. EPRP	Vulnerability & Capacity Assessment & Analysis Training	July 4, 2003	ROSA and Govt	Nepal	Training_Participant_Database.xls
47. PSP / PSV	Support training Stress Management & Peer Support Training	July 25, 2003	CEE-CIS	Switzerland	CEE-CIS-PSV July03.xls
48. EPRP	Global Management Development Course	July 27, 2003	Senior programme and Operations Officers	New York (USA)	SPOOPS June 03.xls
49. EPRP	Country Emergency Preparedness & Response Training	August 4, 2003	TACRO	Guatemala	EPRP Workshop Participants in TACRO.doc
50. Health and Nutrition <sup>61</sup>	Health & Nutrition in Emergencies	August 16, 2003	MENARO	Nairobi (Kenya)	MENA emergency workshops.xls
51. Health and nutrition	Public Health and Nutrition Training	August 16, 2003	ESARO	South Africa	ESARO H&N Aug03.doc

<sup>61</sup> . No other information could be found concerning a Health and Nutrition workshop in Nairobi for those dates, except in the quoted document.

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
52. EPRP	Emergency Preparedness & Response Training	August 29, 2003	Occupied Palestinian Territories CO	Ramallah (OPT)	MENA emergency workshops.xls & OPT EPR Aug03.doc
53. EPRP	Emergency Preparedness & Response Training ToT	September 18, 2003	ESARO & WCARO (English speaking)	Nairobi (Kenya)	List of Participants ToT Nairobi.xls & ToT EPR Africa Sept 03.doc
54. PATH	ToT Human rights & Humanitarian Principles	September 19, 2003	TACRO	Panama	HP & HR ToT TACRO Sept 03.doc
55. EPRP	Country Emergency Preparedness & Response Training	September 26, 2003	ESARO	Hargesia (Somalia)	ESARO Trainings database (EPR).xls
56. EPRP	Country Emergency Preparedness & Response Training	September 26, 2003	ESARO	Lilongwe (Malawi)	ESARO Trainings database (EPR).xls
57. Health and nutrition	Public Health, Nutrition and WES in Emergencies	September 26, 2003	EAPRO	Bangkok (Thailand)	EAPRO H&N Sept 03.doc
58. EPRP	Emergency Preparedness & Response ToT	October 3, 2003	WCARO & ESARO	Dakar (Senegal)	WCARO Trainings.doc
59. EPRP	Country Emergency Preparedness & Response Training	October 6, 2003	TACRO	Venezuela	EPRP Workshop Participants in TACRO.doc
60. EPRP	Country Emergency Preparedness & Response Training	October 11, 2003	ESARO	Maseru (Lesotho)	ESARO Trainings database (EPR).xls
61. EPRP	Senior leaders course	October 28, 2003	Senior leaders	New York (USA)	Senior Leaders 2003.doc
62. Health and nutrition	Emergency Response: Health and Nutrition	November 6, 2003	ESARO	Addis Ababa (Ethiopia)	Emergency response H&N Ethiopia Nov03.xls

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
63. Mine Action	Field epidemiology for mine action	November 7, 2003	UNICEF mine action focal points	Atlanta (USA)	Field Epidemiology participation list Oct 03.xls
64. PSP / PSV	Regional training workshop on Crisis management and peer support	November 7, 2003	WCARO	Dakar (Senegal)	Hard-copy received in Dakar February 15, 2005 and Psychosocial training Nov 03 WCARO.doc
65. Communications	Communication Network Meeting: Breaking the mould	November 21, 2003	WCARO	Dakar (Senegal)	Hard-copy received in Dakar February 15, 2005 and WCARO Communication 03.doc
66. PATH	A principled approach to humanitarian action (pilot test)	December 4, 2003	HQ	New York (USA)	PATH pilot test NY Dec 03.doc
67. Child Protection	Sub-regional Action for the Rights of Children (ARC) workshop on Palestinian Children in the Occupied Palestinian Territory, Jordan, Syria and Lebanon	January 20, 2004	MENARO	Cyprus	MENARO Palestinian children 04.doc
68. EPRP	Country Emergency Preparedness & Response Training	March 5, 2004	WCARO	Cotonou (Benin)	WCARO Trainings.doc & WCARO_EPRP PARTICIPANT MASTER.xls
69. Mine action	Mine Action Workshop	March 12, 2004	UNICEF Mine Action focal Points	Geneva	Mine Action workshop participation list Mar 04.xls
70. EPRP	Sub-Regional French emergency Preparedness & Response Training	March 18, 2004	MENARO / WCARO	Algeria	MENA-WCARO March 2004 EPR.xls

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
71. DDR	Child Soldiers Strategy & Demobilisation Workshop	March 24, 2004	EAPRO and partners	Bangkok (Thailand)	EAPRO DDR workshop March04.doc
72. EPRP	Country Emergency Preparedness & Response Training & mini-ToT	March 25, 2004	MENA	Yemen	EPR Yemen Mar 04.doc
73. EPRP	Country Emergency Preparedness & Response Training	April 2, 2004	ESARO	Pretoria (RSA)	ESARO Trainings database (EPR).xls
74. EPRP	Country Emergency Preparedness & Response Training	April 4, 2004	WCARO	Ghana	WCARO_EPRP PARTICIPANT MASTER.xls
75. EPRP	Country Emergency Preparedness & Response Training	April 6, 2004	WCARO	Cameroon	WCARO Trainings.doc & WCARO_EPRP PARTICIPANT MASTER.xls
76. EPRP	Country Emergency Preparedness & Response Training	April 20, 2004	WCARO	Banjul (Gambia)	WCARO Trainings.doc & WCARO_EPRP PARTICIPANT MASTER.xls
77. EPRP	Country Emergency Preparedness & Response Training	April 23, 2004	ESARO	Windhoek (Namibia)	ESARO Trainings database (EPR).xls
78. PATH	ToT: Humanitarian Principles & International Legal & Ethical Standards in Practice	May 1, 2004	ESARO / WCARO	Mombasa (Kenya)	PATH ToT ESARO May04.doc
79. EPRP	Country Emergency Preparedness & Response Training	May 6, 2004	WCARO	Dakar (Senegal)	WCARO_EPRP PARTICIPANT MASTER.xls
80. PSP / PSV	Regional Stress Counselling & Peer Support Volunteers Training	May 24, 2004	ROSA (regional)	Kathmandu (Nepal)	PSV Workshop Kathmandu-Participants List.doc & PSV Workshop Kathmandu-Participants List.xls

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
81. EPRP	Global Management Development Course	June 18, 2004	Senior programme and Operations Officers	New York (USA)	SPOOPS June 04.xls
82. EPRP	Country Emergency Preparedness & Response Training	June 24, 2004	TACRO	Ecuador	EPRP Workshop Participants in TACRO.doc
83. EPRP	Country Emergency Preparedness & Response Training	July 9, 2004	WCARO	Libreville (Gabon)	WCARO Trainings.doc & WCARO_EPRP PARTICIPANT MASTER.xls
84. PATH	A Principled Approach to Humanitarian Action ToT (French)	July 16, 2004	WCARO & ESARO	Dakar (Senegal)	ToT PATH WCARO July 04.doc & WCARO Trainings.doc
85. EPRP	Country Emergency Preparedness & Response Training	July 29, 2004	ESARO	Kigali (Rwanda)	ESARO Trainings database (EPR).xls
86. EPRP	Country Emergency Preparedness & Response Training	August 4, 2004	ESARO	Luanda (Angola)	EPR Angola Aug04.doc
87. PSP / PSV	Emergency Psychosocial Support	August 5, 2004	EAPRO: 7 + Partners: 27	Tagaytay (Philippines)	EAPRO Psychosocial Aug04.doc
88. EPRP	Country Emergency Preparedness & Response Training	August 27, 2004	ESARO	Kigali (Rwanda)	ESARO Trainings database (EPR).xls
89. EPRP	Country and partners Emergency Preparedness & Response Training	September 2, 2004	ESARO	Dar es Salam (Tanzania)	ESARO Trainings database (EPR).xls
90. EPRP	Country Emergency Preparedness & Response Training	September 2, 2004	WCARO	Nouakchott (Mauritania)	WCARO_EPRP PARTICIPANT MASTER.xls

<b>Theme of workshop</b>	<b>Title of Workshop</b>	<b>Date<sup>60</sup></b>	<b>Target audience</b>	<b>Location</b>	<b>Source</b>
91. EPRP	Country Emergency Preparedness & Response Training	September 22, 2004	WCARO	Monrovia (Liberia)	WCARO_EPRP PARTICIPANT MASTER.xls
92. EPRP	Country Emergency Preparedness & Response Training	October 7, 2004	WCARO	Bangui (Central African Republic)	WCARO_EPRP PARTICIPANT MASTER.xls
93. EPRP	Country Emergency Preparedness & Response Training	October 20, 2004	WCARO	Brazzaville (Congo)	WCARO_EPRP PARTICIPANT MASTER.xls
94. EPRP	Senior leaders course	October 28, 2004	Senior leaders	New York (USA)	Senior Leaders 2004.xls
95. PSP / PSV	Peer Support Training	November 3, 2004	TACRO	Cartagena (Columbia)	TACRO Peer Support Oct 04.xls
96. EPRP	Country Emergency Preparedness & Response Training	November 10, 2004	ESARO	Asmara (Eritrea)	EPR Eritrea Nov04.doc
97. PATH	Regional ToT on A Principled Approach to Humanitarian Action (PATH), English	November 26, 2004	ROSA	Pokhara (Nepal)	ToT PATH Nepal Nov04.doc
98. EPRP	Country Emergency Preparedness & Response Training	December 2, 2004	WCARO	Niamey (Niger)	WCARO_EPRP PARTICIPANT MASTER.xls

## Appendix III. List of informants

### 1. List of Key Informants

Name	Position	Date
<b>First New York Mission</b>		
Simon Lawry-White	Senior Programme Officer Evaluation Office	December 13, 2004
Jenny Wolfson	Learning Officer Organization Learning and Development Section Division of Human Resources	December 13, 2004
Anders Pettersson	Human Resources Officer – Emergency Career Development Section Division of Human Resources	December 13, 2004
Afshan Khan	Principal Adviser Office of Emergency Programmes	December 13, 2004
Isabelle Roy	Project Officer Office of Emergency Programmes	December 13, 2004
Hazel DeWitt	Policy Unit	December 13, 2004
Peter Bult	Learning Officer Organizational Learning and Development Section Division of Human Resources	December 14, 2004
Kate Alley	Project Officer Evaluation Office	December 14, 2004
Peter Crowley	Chief Office of Public Partnerships	December 14, 2004
<b>Second New York Mission</b>		
Ruben McCarthy	Project Officer Landmines and Small Arms Office of Emergency Programmes	January 19, 2005
Valid International	Consultants	January 19, 2005
Suzie Villeneuve	Consultant Nutrition Section	January 19, 2005
Jenny Wolfson	Learning Officer Organizational Learning and Development Section Division of Human Resources (Follow-up meeting)	January 19, 2005
Pernille Ironside	Project Officer Justice and Rule of Law Humanitarian Policy	January 19, 2005
Samuel Momanyi	Programme Officer Division of Policy and Planning	January 20, 2005
Manuel Fontaine	Senior Advisor	January 20, 2005

<b>Name</b>	<b>Position</b>	<b>Date</b>
	Programme Division	
Jens Larsen	Security Officer Office of Emergency Programmes	January 20, 2005
Afshan Khan	Principal Advisor Office of Emergency Programmes (Follow-up meeting)	January 20, 2005
Isabelle Roy	Out-going Project Officer Office of Emergency Programmes (Follow-up meeting)	January 20, 2005
Melissa Fernandez	Incoming Project Officer Office of Emergency Programmes	January 20, 2005
Massimo Zuca	Consultant Programme Division	January 20, 2005
<b>Field Trip: Nairobi</b>		
Tanya Chapuisat	Regional Project Officer Emergency	February 3-4, 7-11, 2005
Rumishael Shoo	Regional Health Officer	February 3, 2005
Karen Allen	Regional Officer M & E	February 3, 2005
Robert McCarthy	Emergency Officer Somalia Support Centre	February 3, 2005
Roger Pearson	(CO) Senior Programme Officer & Emergency Focal Point	February 4, 2005
Maniza Zaman	(CO) Head, Nutrition Section & Focal Point for Emergencies	February 4, 2005
Siddharth Chatterjee	Senior Programme Officer Somalia Support Centre	February 7, 2005
Heimo Laakkonen	Resident Representative Kenya Country Office	February 7, 2005
Ben Akpera	Human Resources Officer	February 7, 2005
Veronica Luard	Regional Human Resources Officer	February 7, 2005
Sara Norton-Staal	Project Officer – Children Affected by Armed Conflict	February 7, 2005
Beatrice Karanja	(RO) Assistant Communications Officer HIV/AIDS	February 10, 2005
Geoff Wiffin	Regional Adviser Emergency	February 10, 2005
Victor Chinyama	Regional Communications Officer	February 10, 2005
Patrick Macharia	(CO) Water & Sanitation Officer	February 10, 2005
<b>Field Trip: Lilongwe</b>		
Aida Gomira	Resident Representative	February 10, 2005
Runar Soerensen	Deputy Representative	February 10, 2005
Jacqueline Aligula	Assistant Emergency Officer - Kenya/Trainer	February 11, 2005
Astarekech (Astar) S. Anjajo	Emergency Officer	February 11, 2005

<b>Name</b>	<b>Position</b>	<b>Date</b>
<b>Field Trip: Kinshasa</b>		
Hervé Périès	Senior Programme Officer	February 7, 2005
Chrystian Rahajaminina Solofo-Dimby	Planning Officer	February 7, 2005
John Egbe Agbor	EPI Project Office	February 7, 2005
Sandra Lattouf	Nutrition Officer	February 7, 2005
Frédéric Unterreiner	Monitoring & Evaluation	February 7, 2005
Doudou Luemba Luvungu	Administrator Emergency	February 7, 2005
Trish Hiddleston	Child Protection Programme Officer	February 9, 2005
<b>Field trip: Brazzaville</b>		
Jean Michel Ndiaye	Representative	February 8, 2005
Isabelle Mouyokani	Administrator Nutrition Project	February 8, 2005
Lisile Ganga	Monitoring and Evaluation Officer	February 9, 2005
<b>FieldTrip: Dakar</b>		
Andrew Brookes	Regional Emergency Planning Officer	February 14, 2005
François Ducharme	Project Officer Emergency	February 14, 2005
Adriana Zarrelli	Regional Emergency Officer	February 15, 2005
Léopoldine Djopwo	Regional Learning Focal Point	February 15, 2005
Kent Page	Regional Communication Officer	February 15, 2005
Jean-Claude Legrand	Regional Child Protection Officer	February 15, 2005
Avril Slade	Regional Human Resources Officer	February 16, 2005
<b>Field Trip: Amman</b>		
Thomas McDermott	Regional Director	February 19, 2005
Geert Cappalaere	Regional Child Protection Adviser	February 19, 2005
Krishna Belbase	Regional Monitoring and Evaluation Adviser	February 19, 2005
Nasser Moeini	(CO) Programme Coordinator	February 19, 2005
Raul Castillo	Regional IT Adviser (phone conversation)	February 20, 2005
Thomas Davin	UNICEF Djibouti Programme coordinator (phone conversation)	February 20, 2005
Sylvie Fouet	Project Officer Humanitarian Response	February 20, 2005
Azimur Rahman	Regional Human Resources Officer	February 20, 2005
Anne Skatvedt	(CO) Representative	February 20, 2005
Jacqueline Peters	Regional Emergency Adviser (phone conversation)	February 21, 2005
Geeta Verma	(ISCA) Learning Focal Point	February 21, 2005
Roger Wright	(ISCA) Representative	February 21, 2005
Wisam Al Tammimi	(ISCA) Health and Nutrition	February 21, 2005

<b>Name</b>	<b>Position</b>	<b>Date</b>
	Officer (phone conversation)	
Sallama Alwan	(ISCA) Principal Assistant to Representative (phone conversation)	February 21, 2005
<b>Field Trip: Antananarivo</b>		
Bashige Bashizi	Programme Coordinator & Focal Point for Emergencies, Madagascar Country Office	February 28, 2005
Dina Rakotoharifetra	Assistant Project Officer, Water and Sanitation, Madagascar Country Office	February 28, 2005
<b>Field Trip: Kathmandu</b>		
Rupa Joshi	Assistant Communication Officer, Nepal Country Office	March 31, 2005
Robin Giri	Assistant Communication Officer, Nepal Country Office	March 31, 2005
Susan Aitken	Communication Officer, Chief, Communication, Advocacy and Life Skills Section, Nepal Country Office	March 31, 2005
Bhanu Pathak	Assistant Project Officer, Child Protection Unit, Nepal Country Office	April 8, 2005
Suomi Sakai	Representative, Nepal Country Office	April 15, 2005
Daniel Toole	Director, Office of Emergency Programmes, New York HQ (on field trip to Nepal)	April 15, 2005
Luc Chauvin	Regional Planning Officer (Emergency), ROSA	April 16, 2005
<b>Phone Interviews</b>		
Sybille Gumucio	Health expert UNICEF-HQ Health and Nutrition section	March 31, 2005
Rebecca Phillips	Instruction and Training Design Consultant	April 5, 2005
Tamar Renaud	Consultant, Programme Division, HIV-AIDS at HQ	April 5, 2005
Helen Young	Consultant, Tufts University, Head of the external training team CDC/Columbia/Tufts for H&N training	April 6, 2005
Penelope Curling	Human Resources Office at HQ	April 7, 2005
Michael Bickel	Human Resources Officer, OLDS	April 8, 2005
Pamela Shifman	Consultant, Program Division at HQ	April 11, 2005
Geetanjali Narayan	Program Officer HQ	April 11, 2005

<b>Name</b>	<b>Position</b>	<b>Date</b>
Nils Kastberg	Regional Director – Latin America and Caribbean	April 13, 2005
Pilar Aguilar	Project Officer, Education – HQ	April 13, 2005
Everett Ressler	Senior Project Officer Emergency, EPRP, Geneva Office	April 14, 2005

## 2. Lists of Participants in Focus Groups

Participants' Focus Groups

Date: 3 February 2005

City: Nairobi

Total number of participants: 5

First name	Last name	Position
1. Scholastica	Madowo	Senior Administrative Assistant
2. Fredrick	Donde	Chief, Water & Environmental Sanitation Section
3. Zachariah K.	Njunga	Assistant Finance & Budget Officer
4. Timothy	Takona	Head, Strategic Planning, Monitoring & Evaluation Section
5. Penina	Muli	Project Officer, Nutrition

Control Focus Groups<sup>62</sup>

Date: 4 February 2005

City: Nairobi

Total number of participants: 6

First name	Last name	Position
1. Chris	Ouma	PMTCT Program Officer
2. Sara	Cameron	Communications Officer
3. Mohamed	Issa	Supply/Logistics Officer
4. Iyabode	Olusanmi	Chief, Health Section
5. Alfred	Kenyamito	EPI Health Project Officer
6. Marie	Nzungize	Project Officer, Nutrition in Emergencies

Participants' Focus Groups

Date: 8 February 2005

City: Brazzaville

Total number of participants: 9

First name	Last name	Position
1. Liliane	Tumba	EAE-AF Project Manager
2. Marius	Biyekele	Child Protection Adviser
3. Isabelle	Mouyokani	Nutrition Project Manager
4. Jean Marie Samuel	Ouenabio	Assistant Communication Officer
5. John Muhindo	Maluhe	Assistant Supply Officer
6. Edine H.	Kimbouala	Assistant Program Officer
7. Emmanuel	Gasinzigwa	Operations Administrator
8. Lisile	Ganga	Monitoring and Evaluation Officer
9. Rose	Musuambababadi	Assistant Finance Officer

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<sup>62</sup> . The participants to this focus group had undergone no training and were therefore part of a control group approach.

Participants' Focus Groups  
 Date: 10 February 2005  
 City: Lilongwe (Malawi)  
 Total number of participants: 5

<b>First name</b>	<b>Last name</b>	<b>Position</b>
1. Catherine	Chirwa	Project Officer
2. Beatrice	Sabola	Secretary
3. Moses	Sichawo	Assistant Supply Officer
4. Hastings	Samute	Senior Communications Assistant
5. Alessandra	Dentice	Project Officer – Child Protection

Control Focus Groups<sup>63</sup>  
 Date: 11 February 2005  
 City: Lilongwe (Malawi)  
 Total number of participants: 3

<b>First name</b>	<b>Last name</b>	<b>Position</b>
1. Lilian	Gondue	Senior Finance Assistant
2. Regina	Kumwenda	Secretary
3. Ken	Warren	Assistant Project Officer

Participants' Focus Groups  
 Date: 16 February 2005  
 City: Dakar (Sénégal)  
 Total number of participants: 11

<b>First name</b>	<b>Last name</b>	<b>Position</b>
1. Isabelle	Austin	Senior professional officer
2. Sacoura	Badiane	Supply and logistics officer
3. Pape Oumar	Cissé	Assistant IT officer
4. Aïda Diagne	Dia	Senior programme budget assistant
5. Sidy K.	Diagne	Administrative assistant
6. Carmen	Garrigos	Sub-Bureau Casamance
7. Flavie	Guidetti	Administrator health and nutrition
8. Ibahima	Mbodj	Assistant to communication section for the programmes
9. Amadou	Mbodj	Information center manager
10. Amadou	Seck	Education: Adolescent project
11. Khady	Sow	Assistant to coordination programme

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<sup>63</sup> . The participants to this focus group had undergone no training and were therefore part of a control group approach.



## Appendix IV. Survey Tools

### 1. Training of Trainers Questionnaire

#### 1. Background questions

First name

Last name

Gender        male    female

Where are you presently posted?

What is your position in the UNICEF office?

Do you confirm that you participated in an emergency related training of trainers workshop?

Yes    No

#### 2. Training

What type of Training of Trainers did you participate in?

Name of Training

Month

Year

Location

EPRT

PATH /Humanitarian Principles

Psycho-social support

Health in Emergencies

Monitoring and Evaluation in Emergencies

Did you benefit from any other type of learning opportunity through Unicef?

If so, Please list the last three learning opportunities.

Topic of Training

Month

Year

Location

What is the main reason you took part in this ToT workshop?

(Please rank the importance of each factor below, with 1 being most important to 5 as the least important)

I was interested in improving my skills as a trainer, in enhancing my understanding of certain issues, and in becoming a resource for the CO and/or RO

It is part of my job description

Participation in the ToT was required by my supervisor

Participation in the training was encouraged by my supervisor and/or the emergency officer.

The ToT represented an opportunity for career advancement.

Other reason (please specify):

What aspects of the ToT training do you feel worked well?

The subject matter was adequately covered

The content was what I needed to train others.

Material received was useful.

Participants were encouraged to take an active part.

Other aspect (please specify):

What needed(s) strengthening?

### **3. Practice**

After your participation in this program's ToT workshop, have you trained or participated in training anyone else?

If yes, what type of training was it?

Emergency Preparedness and Response

PATH (Human Rights and Humanitarian Principles)

Health and Nutrition in Emergencies

HIV/AIDS

Monitoring and Evaluation in Emergencies

Child Protection in Emergencies

Stress Management/Peer Support

Mine Action

Disarmament, Demobilization, Reintegration and Rehabilitation

Psycho-social programming

Communications/Security in Emergencies

Vulnerability and Capacity Assessment and Analysis

Other training (please specify): :

If yes, which specific training sessions did you participate in?

If no, what are the constraints to your conducting training sessions post-ToT?

Has UNICEF provided you with access to sufficient resources to conduct the follow-up training and related actions effectively?

What are the main skills/knowledge sets you feel that you have acquired through the training of others?

Adult learning theory

Group facilitation skills

Increased understanding of emergency/humanitarian issues

Public speaking and presentation skills

Other skill/knowledge (please specify):

### **4. Sustainability**

Have you observed any changes in UNICEF office's capacity to train staff to respond to humanitarian emergencies?

Do you think UNICEF has increased through this program its capacities to participate in inter-agency emergency trainings?

Have any systems been put in place to facilitate additional and on-going staff training in topics related to emergency humanitarian assistance?

If yes, what systems were put in place?

If no, why do you think this is the case?

## 2. EPR and PATH Participants' Questionnaire

### Instructions:

If you participated in any session of the Emergency Preparedness and Response Training programme, please fill out sections I - III.

If you participated in any session of the "A Principled Approach to Humanitarian Action" or the "Humanitarian Principles" training, fill out sections I, II & IV

If you participated in both sets of this training, please fill out all four sections.

### I. Identification

Sex    Male    Female

Where are you presently posted?

What is your position in the UNICEF office?

### II. Questions for trainees: motivation

1. What were your reasons for participating in the workshop(s)?  
(Please rank the importance of each factor below, with 1 being most important to 5 as the least important)

I was/am interested in improving my skills and capacities to respond to humanitarian crises, and in increasing my understanding of certain issues.

Participation in the training was required by my supervisor.

Participation in the training was encouraged by my supervisor and/or the emergency officer.

The training/workshop represented an opportunity for career advancement.

Other reason (please specify):

### III. Questions for trainees:

1. Do you confirm that you participated in an Emergency Preparedness Response Training?
2. Following the EPRT training do you feel that you are better prepared to plan for and respond to emergency situations that have the potential to impact girls, boys and women?
3. How would you rate the quality of the training materials presented during this training?
4. How often have you made use of the reference materials and package you were given during the training session?
5. By the end of the EPRT did you feel that you had gained a better understanding and appreciation of the approach you and your colleagues need to take regarding:
  - i) Programme policies, systems, tools, language and priorities in an emergency?
  - ii) Operational policies, systems, tools, language, and priorities to be used in an emergency situation?
6. Has the Emergency Preparedness and Response Training increased your capacity to:
  - a. Undertake Rapid Assessment
  - b. Apply Security guidelines
  - c. Create an Emergency Profile Matrix
  - d. Programme for Humanitarian Crisis
  - e. Handle Supplies and Logistics in emergencies
  - f. Plan and implement measures to protect children and women against sexual abuse and exploitation
  - g. Understand and implement the UNICEF Core Commitments for Children in Emergencies
  - h. Work effectively in emergencies with UNICEF colleagues

- i. Work effectively in emergencies with partners, UN agencies and Government
- j. Handle Finance and Administration in Emergencies
- k. Understand Stress Management
- l. Strengthen Country Office Preparedness
- m. Work with the Media
- n. Mobilise resources for emergencies

7. Following the EPRT do you feel that you have a greater appreciation and understanding of UNICEF's approach to emergency preparedness and response?
8. Please give one or more examples of how you have put your training into practice
9. In what ways do you think that UNICEF could improve its staff development for emergency preparedness, planning and response?

**IV. Questions for "A Principled Approach to Humanitarian Action" and the "Humanitarian Principles" trainees \***

1. Do you confirm that you participated in a "A Principled Approach to Humanitarian Action or Humanitarian Principles" Training?
2. To what extent did this workshop enhance your understanding of UNICEF's mission, role and priorities in complex emergencies?
3. To what extent did this workshop enhance your understanding of how UNICEF applies its rights-based approach to programming in emergency contexts?
4. Through the "A Principled Approach to Humanitarian Action" or "Humanitarian Principles" training, do you feel that you have become familiar with the international and legal ethical standards (normative framework) which provide protection to children and women affected by conflict?  
Please indicate for each of the following:
  - a) International Humanitarian Law
  - b) International Human Rights Law
  - c) International Criminal Law
  - d) Refugee Law and the Guiding Principles on Internal Displacement
  - e) Security Council Resolutions on Children Affected by Armed Conflict
  - f) Humanitarian Principles
  - g) Prevention of Sexual Abuse and Exploitation/Core Principles of a Code of Conduct
5. Following the training on "A Principled Approach to Humanitarian Action" or "Humanitarian Principles", do you feel that you had gained a better understanding and appreciation of how the normative framework provides the foundation for UNICEF's assistance, protection and advocacy work in complex emergencies?
6. Has the training on "A Principled Approach to Humanitarian Action" or "Humanitarian Principles" improved your knowledge about the practical challenges/dilemmas related to protection and assistance of children and women affected by complex emergencies?
7. Do you now feel better equipped to apply the normative framework and humanitarian principles in the following sectors:
  - a) Negotiating humanitarian access
 Feel better informed/prepared:  
 Have applied learning to my work:
  - b) Working with non-state entities

Feel better informed/prepared:  
Have applied learning to my work:  
c) Preventing sexual exploitation and abuse

Feel better informed/prepared:  
Have applied learning to my work:  
d) Protecting refugees and IDPs

Feel better informed/prepared:  
Have applied learning to my work:  
e) Preventing the recruitment and use of child soldiers

Feel better informed/prepared:  
Have applied learning to my work:

8. Please give one or more examples of how you have put your training into practice?
9. In what ways do you think that UNICEF could improve its staff development for emergency preparedness, planning and response?

### 3. Communications' Training Questionnaire

#### I. Identification

First name \_\_\_\_\_ Last name \_\_\_\_\_

Gender Male  Female

Where are you presently posted?

What is your position in the UNICEF office?

Do you confirm that you participated in the communication workshop in Dakar? Yes  No

#### II. Questions for trainees: motivation

1. What were your reasons for participating in the workshop? (Please rank the importance of each factor below, with 1 being most important to 5 as the least important)
  - a. I am interested in improving my skills and capacities to respond to humanitarian crises, and in increasing my understanding of certain issues. Select
  - b. Participation in the training was required by my supervisor. Select
  - c. Participation in the training was encouraged by my supervisor and/or the emergency officer. Select
  - d. The training/workshop represented an opportunity for career advancement. Select
  - e. Other reason (please specify): Select
2. How would you rate the quality of the training materials presented during this training? Select
3. How often have you made use of any reference materials and package you were given during the training session? Select
4. Please give one or more examples of how you have put your training into practice?
5. In what ways do you think that UNICEF could improve its staff development for emergency preparedness, planning and response?

#### III. Questions for trainees: objectives

6. After the Dakar training do you feel that you are better prepared to understand what is meant by the terms crisis management and crisis communication? Select
7. Do you feel that you are better prepared to understand the importance of being able to develop a crisis communication plan? Select
8. Did the training help you improve your relationship with the media? Select
9. Since the training have you been able to prepare a media strategy? Select  
In what way? (brief response)
10. Do you feel that you are better prepared to understand UNICEF's Core Commitments for Children? Select

11. Since the training have you been able in emergency situations to:
- a. Write press releases Select
  - b. Manage the office's media strategy Select
  - c. Do television interviews Select
  - d. Develop relationships with the local media Select
  - e. Develop relationships with the international media Select

## 4. Health and Nutrition Training Questionnaire

### I. Identification

First name \_\_\_\_\_ Last name \_\_\_\_\_

Gender Male  Female

Where are you presently posted?

What is your position in the UNICEF office?

### II. Questions for trainees: motivation

1. What were your reasons for participating in the workshop? (Please rank the importance of each factor below, with 1 being most important to 5 as the least important)
  - a. I am interested in improving my skills and capacities to respond to humanitarian crises, and in increasing my understanding of certain issues. Select
  - b. Participation in the training was required by my supervisor. Select
  - c. Participation in the training was encouraged by my supervisor and/or the emergency office Select
  - d. The training/workshop represented an opportunity for career advancement. Select
  - e. Other reason (please specify): Select
2. How would you rate the quality of the training materials presented during this training? Select
3. How often have you made use of any reference materials and package you were given during the training session? Select
4. Please give one or more examples of how you have put your training into practice?
5. In what ways do you think that UNICEF could improve its staff development for emergency preparedness, planning and response?

### III. Questions for trainees: objectives

6. Following the H&N training do you feel that you are better prepared to recognize and understand the evolving health and nutrition needs in emergencies? Select
7. Do you feel that you now know how these needs should be assessed and monitored? Select
8. Did the H&N workshop help you in prioritizing UNICEF intervention strategies in line with UNICEF Core Corporate Commitments? Select
9. Since the workshop have you ever engaged in key technical and policy and decision-making forums in the health and nutrition sectors during emergencies? Select
10. If yes explain briefly:
11. Did the H&N workshop help you implement programs according to internationally accepted standards of good practice? Select
12. Did the H&N workshop help you develop a professional network through which you have been able to strengthen your skills and knowledge related to health and nutrition in emergencies? Select

## 5. Monitoring and Evaluation Training Questionnaire

### I. Identification

First name \_\_\_\_\_ Last name \_\_\_\_\_

Gender Male  Female

Where are you presently posted?

What is your position in the UNICEF office?

### II. Questions for trainees: motivation

1. What were your reasons for participating in the workshop? (Please rank the importance of each factor below, with 1 being most important to 5 as the least important)
  - a. I am interested in improving my skills and capacities to respond to humanitarian crises, and in increasing my understanding of certain issues. Select
  - b. Participation in the training was required by my supervisor. Select
  - c. Participation in the training was encouraged by my supervisor and/or the emergency officer. Select
  - d. The training/workshop represented an opportunity for career advancement. Select
  - e. Other reason (please specify): \_\_\_\_\_ Select
2. How would you rate the quality of the training materials presented during this training? Select
3. How often have you made use of any reference materials and package you were given during the training session? Select
4. Please give one or more examples of how you have put your training into practice?
5. In what ways do you think that UNICEF could improve its staff development for emergency preparedness, planning and response?

### III. Questions for trainees: objectives

6. Do you feel that, having participated in this M&E course, you better understand the distinction and complementarities between assessment, monitoring and evaluation, and how these three are linked in crisis and unstable contexts? Select
7. Do you better understand why and how the programme cycle is different in unstable/crisis contexts? Select
8. Has the workshop helped you to understand the characteristics of crisis and unstable contexts and their implications for the planning and design of M&E activities? Select
9. Was the M&E course helpful in allowing you to identify and understand good practices for managing M&E and the adaptations necessary in crisis and unstable contexts? Select
10. Did the M&E course help you to adopt an Integrated Monitoring and Evaluation Plan (IMEP) in crisis and unstable contexts? Select

11. How successful was the training in preparing you to handle the following with regards to M&E, with particular reference to crisis and unstable contexts?
- a.) Selecting indicators Select
  - b.) Preparing Terms of References (ToRs) Select
  - c.) Adapting and using logframes Select
  - d.) Understanding stakeholder participation, including children's participation in M&E activities Select
  - e.) Ensuring effective M&E in unsafe areas Select
  - f.) Understanding conceptual frameworks and causal trees Select
  - g.) Analyzing vulnerabilities and capacities Select
  - h.) Understanding the SPHERE project and Minimum Standards and their relevance for UNICEF programmes Select
  - i.) Defining the profile of an M&E team Select
  - j.) Understanding the benefits and challenges of joint and multi-partite evaluations Select
  - k.) Appreciating the constraints and concerns in data collection Select
  - l.) Using emergency rapid assessment checklists Select

## 6. Mine Action Training Questionnaire

### I. Identification

First name \_\_\_\_\_ Last name \_\_\_\_\_

Gender Male  Female

Where are you presently posted?

What is your position in the UNICEF office?

### II. Questions for trainees: motivation

- a. What were your reasons for participating in the workshop? (Please rank the importance of each factor below, with 1 being most important to 5 as the least important)
  - a. I am interested in improving my skills and capacities to respond to humanitarian crises, and in increasing my understanding of certain issues. Select
  - b. Participation in the training was required by my supervisor. Select
  - c. Participation in the training was encouraged by my supervisor and/or the emergency officer. Select
  - d. The training/workshop represented an opportunity for career advancement. Select
  - e. Other reason (please specify): \_\_\_\_\_ Select
  - b. How would you rate the quality of the training materials presented during this training? Select
  - c. How often have you made use of any reference materials and package you were given during the training session? Select
  - d. Please give one or more examples of how you have put your training into practice?
5. In what ways do you think that UNICEF could improve its staff development for emergency preparedness, planning and response?

### III. Questions for trainees: objectives

Since participating in the mine action workshop:

- 6, Do you feel better able to coordinate your response to immediate and long-term problems posed by landmines? Select
- 7, Do you feel able to support and build upon the collective mine action efforts of the international community in your country or region more effectively? Select
- 8, Do you feel able to access mine action information and human resources in the region and from UNICEF HQ more effectively? Select
9. To what degree have you maintained contact with the other Mine Action workshop participants and workshop resource people? Select

9. Have you been able to integrate your assessment of mine victims into a regional approach to mine action victim assessment? Select
10. Have you been involved in the development of a regional advocacy strategy for the signing, ratification and compliance with the Ottawa Treaty? Select
11. Does your region now have a regional advocacy strategy for the signing and ratification of as well as compliance with the Ottawa Treaty? Select

## 7. Peer Support Programme / Peer Support Volunteer Training Questionnaire

### I. Identification

First name \_\_\_\_\_ Last name \_\_\_\_\_

Gender Male  Female

Where are you presently posted?

What is your position in the UNICEF office?

### II. Questions for trainees: motivation

1. What were your reasons for participating in the workshop? (Please rank the importance of each factor below, with 1 being most important to 5 as the least important)
  - a. I am interested in improving my skills and capacities to respond to humanitarian crises, and in increasing my understanding of certain issues. Select
  - b. Participation in the training was required by my supervisor. Select
  - c. Participation in the training was encouraged by my supervisor and/or the emergency officer. Select
  - d. The training/workshop represented an opportunity for career advancement. Select
  - e. Other reason (please specify): Select
2. How would you rate the quality of the training materials presented during this training? Select
3. How often have you made use of any reference materials and package you were given during the training session? Select
4. Please give one or more examples of how you have put your training into practice?
5. In what ways do you think that UNICEF could improve its staff development for emergency preparedness, planning and response?

### III. Questions for trainees: objectives

6. Following the PSP / PSV training do you feel that you are better prepared to identify and cope with the main types of stress? Select
7. Do you feel you are better prepared to recognize the symptoms of accumulative stress? Select
8. Have you been able to identify the causes of stress in your own life during emergency situations? Select  
In what why? (brief explanation)
9. Do you feel that you are better prepared to recognize the factors that aid in effective stress management? Select
10. How often have you used stress management techniques in emergency situation? Select



## Appendix V. Survey Data

**Table 6.2: Distribution by Sector of Training Received by ToT Workshop Participants**

Sector of ToT training	Number	%
EPRT	10	37.0
PATH	11	40.7
H&N in emergencies	1	3.7
HIV/AIDS	3	11.1
M&E in emergencies	1	3.7
Stress Management	1	3.7
<b>TOTAL (N=23)</b>	<b>27</b>	

**Table 6.3: Distribution of motivations for taking the ToT training on a scale from 1 to 5**

Statements of motivation/Scale	1	2	3	4	5	Total
Interested in improving skills and becoming resource	17	1	1	0	4	23
It is part of the job description	6	5	4	4	4	23
Participation required by the supervisor	6	2	3	4	8	23
Participation encouraged by supervisor/emergency officer	5	6	2	6	4	23
ToT represented an opportunity for career	6	3	6	5	3	23
<b>TOTAL</b>	<b>41</b>	<b>19</b>	<b>19</b>	<b>23</b>	<b>28</b>	

**Table 6.4: Distribution of positive appreciation of workshops on a Scale from 1 to 5**

Aspects of the workshops that worked well/scale	1	2	3	4	5	Total
Subject matter adequately covered	16	3	0	3	1	23
Content was what they needed to train others	15	3	1	2	2	23
Material received was useful	18	1	0	0	4	23
Participants were encouraged to take active part	19	0	0	0	4	23

**Table 6.5: Distribution of workshops in which trainers trained or participated in training others**

	Total	Trained in ToT	Not Trained	T/Total ratio (%)
EPRT	15	9	6	60
PATH	6	4	2	67
H&N	1	0	1	0
HIV/AIDS	1	1	0	100
M&E	3	1	2	33
Child Protection	5	1	4	20
Stress Management	1	1	0	100
Mine Action	1	0	1	0
DDR	1	0	1	0

	Total	Trained in ToT	Not Trained	T/Total ratio (%)
Psycho-social programming	0	0	0	0
Commun. And security	2	1	1	50
Vulnerability	3	1	2	33
Other training	5			
Total 1	39	19	20	49
Total 2	44			

**Table 6.6: Skills/knowledge acquired by ToT participants**

Skills/knowledge acquired	Number of responses
Adult learning theory	14
Group facilitation skills	17
Increased understanding of emergency issues	18
Public speaking and presentation skills	17
Other skills	3
TOTAL	69

**Table 6.7: Distribution of motivations for taking the workshop(s) on a scale from 1 to 5**

Statements of motivation/Scale	1	2	3	4	5	Total
I was/am interested in improving my skills and capacities to respond to humanitarian crises, and in increasing my understanding of certain issues	78	14	4	5	21	122
Participation in the training was required by my supervisor.	21	16	29	23	36	125
Participation in the training was encouraged by my supervisor and/or the emergency officer	19	33	37	18	25	132
The training/workshop represented an opportunity for career advancement	23	23	30	31	20	127
Other reasons	28	9	4	8	9	58
Total	169	95	104	85	111	

**Table 6.8: Appreciation of participants' preparedness**

Following the EPRT training do you feel that you are better prepared to plan for and respond to emergency situations that have the potential to impact girls, boys and women?	Number	%
Much better prepared	61	47
Prepared	44	34
Somewhat prepared	25	19
Total	130	

**Table 6.9: Rating of training material**

<b>How would you rate the quality of the training materials presented during this training?</b>	<b>Number</b>	<b>%</b>
Excellent	32	25
Good	81	62
Adequate	14	11
Needs improvement	3	2
Total	130	

**Table 6.10: Frequency of use of material**

<b>How often have you made use of the reference materials and package you were given during the training session?</b>	<b>Number</b>	<b>%</b>
Very frequently	7	5
Frequently	52	40
Occasionally	68	52
Not at all	3	2
Total	130	

**Table 6.11: Level of understanding of emergency approach**

<b>By the end of the EPRT did you feel that you had gained a better understanding and appreciation of the approach you and your colleagues need to take regarding:</b>	<b>Number</b>	<b>%</b>
1. Programme policies, systems, tools, language and priorities in an emergency?		
Greatly increased	49	38
Increased	71	55
Somewhat increased	10	8
Total	130	
2. Operational policies, systems, tools, language, and priorities to be used in an emergency situation?		
Greatly increased	42	33
Increased	72	56
Somewhat increased	12	9
No increase	3	2
Total	129	

**Table 6.12: Level of understanding of UNICEF's approach to emergency**

<b>Following the EPRT do you feel that you have a greater appreciation and understanding of UNICEF's approach to emergency preparedness and response?</b>	<b>Number</b>	<b>%</b>
Greatly increased	52	40
Increased	65	50
Somewhat increased	11	8
No increase	2	2
Total	130	

**Table 6.13: Development of Capacities**

<b>Has the Emergency Preparedness and Response Training increased your capacity to:</b>	<b>Yes</b>	<b>%</b>	<b>No</b>	<b>%</b>	<b>Total</b>
1. Undertake Rapid Assessment	115	88	15	12	130
2. Apply Security guidelines	118	91	11	9	129
3. Create an Emergency Profile Matrix	104	81	24	19	128
3. Programme for Humanitarian Crisis	105	82	23	18	128
4. Handle Supplies and Logistics in emergencies	94	74	33	26	127
5. Plan and implement measures to protect children and women against sexual abuse and exploitation	97	76	31	24	128
6. Understand and implement the UNICEF Core Commitments for Children in Emergencies	124	96	5	4	129
7. Work effectively in emergencies with UNICEF colleagues	124	96	5	4	129
8. Work effectively in emergencies with partners, UN agencies and Government	113	87	17	13	130
9. Handle Finance and Administration in Emergencies	85	66	43	34	128
10. Understand Stress Management	102	79	27	21	129
11. Strengthen Country Office Preparedness	121	94	8	6	129
12. Work with the Media	93	73	35	27	128
13. Mobilise resources for emergencies	91	72	36	28	127

**Table 6.14: Level of understanding of UNICEF's mission**

<b>To what extent did this workshop enhance your understanding of UNICEF's mission, role and priorities in complex emergencies?</b>	<b>Number</b>	<b>%</b>
Excellent	20	45
Good	18	41
Adequate	4	9
Needs improvement	2	5
<b>Grand Total</b>	<b>44</b>	
<b>To what extent did this workshop enhance your understanding of how UNICEF applies its rights-based approach to programming in emergency contexts?</b>	<b>Number</b>	<b>%</b>
Excellent	12	27
Good	24	55
Adequate	5	11
Needs improvement	3	7
<b>Grand Total</b>	<b>44</b>	

**Table 6.15: Level of familiarity with the normative framework of conflict situations**

<b>Through the "A Principled Approach to Humanitarian Action" or "Humanitarian Principles" training, do you feel that you have become familiar with the international and legal ethical standards (normative framework) which provide protection to children and women affected by conflict?</b>		
<b>1. International Humanitarian Law</b>	Number	%
Very familiar	16	38
Familiar	19	45
Somewhat Familiar	7	17
Total	42	
<b>2. International Human Rights Law</b>	Number	%
Very familiar	16	37
Familiar	20	47
Somewhat Familiar	7	16
Total	43	
<b>3. International Criminal Law</b>	Number	%
Very familiar	4	10
Familiar	22	52
Somewhat Familiar	12	29
Not at all familiar	4	10
Total	42	
<b>4. Refugee Law and the Guiding Principles on Internal Displacement</b>	Number	%
Very familiar	10	23
Familiar	21	49
Somewhat Familiar	11	26
Not at all familiar	1	2
Total	43	
<b>5. Security Council Resolutions on Children Affected by Armed Conflict</b>	Number	%
Very familiar	15	35
Familiar	17	40
Somewhat Familiar	10	23
Not at all familiar	1	2
Total	43	
<b>6. Humanitarian Principles</b>	Number	%
Very familiar	20	48
Familiar	19	45
Somewhat Familiar	3	7
Total	42	
<b>7. Prevention of Sexual Abuse and Exploitation/Core Principles of a Code of Conduct</b>	Number	%
Very familiar	22	52
Familiar	16	38
Somewhat Familiar	3	7
Not at all familiar	1	2
Total	42	

**Table 6.16: Improvement in staff's knowledge of challenges related to complex emergencies**

<b>Has the training on "A Principled Approach to Humanitarian Action" or "Humanitarian Principles" improved your knowledge about the practical challenges/dilemmas related to protection and assistance of children and women affected by complex emergencies?</b>	<b>Number</b>	<b>%</b>
Greatly Improved	17	40
Improved	19	45
Somewhat Improved	6	14
Grand Total	42	

**Table 6.17: Abilities to apply the normative framework**

<b>Do you now feel better equipped to apply the normative framework and humanitarian principles in the following sectors:</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Total</b>
1. Negotiating humanitarian access				
a). Feel better informed/prepared	38	4	1	43
b). Have applied learning to my work	28	8	6	42
2. Working with non-state entities				
a) Feel better informed/prepared	39	2		41
b). Have applied learning to my work	26	7	6	39
3. Preventing sexual exploitation and abuse				
a). Feel better informed/prepared	41	1		42
b). Have applied learning to my work	29	9	4	42
4. Protecting refugees and IDPs				
a). Feel better informed/prepared	38	3	1	42
b). Have applied learning to my work	23	12	7	42
5. Preventing the recruitment and use of child soldiers				
a). Feel better informed/prepared	39	3	1	43
b). Have applied learning to my work	25	9	8	42

## Appendix VI. Lists of Documents

### 1. List of Lists of Participants

1. UNICEF. 2004. Angola List of Participants 2004 EPRP Training.
2. UNICEF. 2004. Children Involved in Armed Conflict in East Asia and the Pacific. Workshop on Disarmament, Demobilisation, Reintegration and Rehabilitation. 22-24 March 2004, Landmark Hotel Bangkok.
3. UNICEF. 2004. Emergency Preparedness and Response Training. Conducted from 8-10 November 2004 in Asmara.
4. UNICEF and CDC. 2003. Field Epidemiology for Mine Action Course (FEMAC). 27 October - 7 November 2003, Atlanta, Georgia. Participation List.
5. UNICEF and Save the Children. 2004. Sub-regional Action for the Rights of Children (ARC) workshop on Palestinian Children in the Occupied Palestinian Territory, Jordan, Syria and Lebanon.
6. UNICEF. 2003. ToT in Humanitarian Principles and Human Rights Latin America and Caribbean.
7. UNICEF. 2003. Training for Improved Practice: Public Health and Nutrition in Emergencies. CDC/Columbia/Tufts University UNICEF ROSA, Katmandu, Nepal. May 24-31, 2003.
8. UNICEF. 2001. Training of Trainers in Human Rights and Humanitarian Principles. Participants' List.
9. UNICEF. 2003. UNICEF EAPRO CDC/Columbia/Tufts Training for Improved Practice: Public Health, Nutrition and WES in Emergencies Workshop in Bangkok, Thailand. September 18 - 26, 2003.
10. UNICEF. 2003. UNICEF Emergency Response in Ethiopia: 4-6 November 2003.
11. UNICEF and Regional Emergency Psychosocial Support Network (REPSN). 2004. Workshop on Evolving Capacities in Emergency Psychological Support in the East Asia-Pacific Region. Directory of Participants.
12. UNICEF.CEE/CIS RO. 2003. CEE/CIS Support Training Stress Management & Peer Support Training 21-25 July 2003.
13. UNICEF.ESARO. 2003. ESARO Public Health and Nutrition Training. South Africa 9-16 August 2003.
14. UNICEF.ESARO. 2002. Nairobi HIV/AIDS in Emergency Setting. List of participants.
15. UNICEF. Organizational Learning and Development Section. 2003. A Principled Approach to Humanitarian Action. 2-4 December 2003, New York. Participant List.
16. UNICEF. Organizational Learning and Development Section. 2003. CEE/CIS Support Training. August - October 2003.
17. UNICEF. Organizational Learning and Development Section. 2002. Emergency Preparedness & Response Training, Montenegro, 17-21 June 2002. Participant List.
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19. UNICEF. Organizational Learning and Development Section. 2003. Emergency Preparedness Response Training of Trainers. 8-18 September 2003.
20. UNICEF. Organizational Learning and Development Section. 2003. Emergency Preparedness and Response Training of Trainers. 8- 18 September 2003. Nairobi, Kenya.

21. UNICEF. Organizational Learning and Development Section. 2004. ESARO Trainings database (EPR). Excel file.
22. UNICEF. Organizational Learning and Development Section. 2003. Global Management Development Course (SPOOPS). 15-27 June 2003. List of Participants.
23. UNICEF. Organizational Learning and Development Section. 2001. Global Management Workshop for Programme and Operations Officers. 11-23 March 2001.
24. UNICEF. Organizational Learning and Development Section. 2000. Humanitarian Principles & Emergency Preparedness Workshop. Almaty, 08-12 July 2000. CARK Country Offices.
25. UNICEF. Organizational Learning and Development Section. 2002. JPO Global Orientation, New York, 25 February to 8 March 2002. Listing of UNICEF Participants.
26. UNICEF. Organizational Learning and Development Section. 2002. List of Participants in the Psychosocial Training Course. 17-19 December 2002.
27. UNICEF. Organizational Learning and Development Section. 2002. List of Participants. Global Management Development Course. July 7 - 19, 2002.
28. UNICEF. Organizational Learning and Development Section. 2004. List of Participants. Global Management Development Course. June 6-18 2004.
29. UNICEF. Organizational Learning and Development Section. 2002. M&E in Crises and Unstable Situations Workshop, 1-4 May (2002), Nairobi.
30. UNICEF. Organizational Learning and Development Section. 2004. MENA-WCARO. Liste des participants et facilitateurs.
31. UNICEF. Organizational Learning and Development Section. 2003. MENA emergency workshops. Participant Lists. Excel file.
32. UNICEF. Organizational Learning and Development Section. 2002. MENA Workshop on Monitoring and Evaluation in Crisis and Unstable Contexts. Amman, Jordan, January 27-31, 2002. List of Participants.
33. UNICEF. Organizational Learning and Development Section. 2003. OPT. List of Participants in the Emergency Preparedness and Response Training, August 24-29, 2003.
34. UNICEF. Organizational Learning and Development Section. 2003. Participant Lists from Workshops, 1999-2003. Excel File.
35. UNICEF. Organizational Learning and Development Section. 2004. Participant List. The PEER Support Programme (PSP) & PEER Support Volunteer (PSV), 2004. Word file.
36. UNICEF. Organizational Learning and Development Section. 2004. Participant List. The Regional Training of Trainers (ToT) on A Principled Approach to Humanitarian Action (PATH). 22-26 November 2004, Pokhara, Nepal.
37. UNICEF. Organizational Learning and Development Section. 2004. Participant List. PATH ToT (French). Dakar, Senegal 11-16 July 2004.
38. UNICEF. Organizational Learning and Development Section. 2001. Participants of the East and Southern Africa Region. Nutrition in Emergencies Training held in Nairobi 25-30 March 2001.
39. UNICEF. Organizational Learning and Development Section. 2003. Participants, JPO Global Orientation, New York, 18-28 February 2003.
40. UNICEF. Organizational Learning and Development Section. 2004. PSV Workshop Kathmandu-Participants List. Excel file.
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42. UNICEF. Organizational Learning and Development Section. 2002. Senior Leadership Development Course. 27 January - 8 February 2002.
43. UNICEF. Organizational Learning and Development Section. 2003. Senior Leaders Course. 19 October - 7 November 2003. List of Participants.
44. UNICEF. Organizational Learning and Development Section. 2004. Senior Leaders Course. 17 October - 29 October 2004.
45. UNICEF. Organizational Learning and Development Section. 2004. TACRO PSV Pledges. October 2004.
46. UNICEF. Organizational Learning and Development Section. 2004. Training of trainers: Humanitarian Principles and International Legal and Ethical Standards in Practice. 26 April - 01 May 2004. Mombasa, Kenya. List of Participants.
47. UNICEF. Organizational Learning and Development Section. 2003. UNICEF Mine Action Workshop. Geneva, March 10-12, 2003.
48. UNICEF. Organizational Learning and Development Section. 2003. UNICEF Staff Trained to Deliver Human Rights & Humanitarian Principles Training.
49. UNICEF. Organizational Learning and Development Section. 2003. UNICEF Trained Staff to Deliver Emergency Preparedness & Response Training Programme.
50. UNICEF. Organizational Learning and Development Section. 2004. UNICEF Workshop Participation. 10-12 March 2004, Geneva.
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53. UNICEF. Organizational Learning and Development Section. 2004. WCARO EPRP Participants Master List. Excel file.
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56. UNICEF.TACRO. 2005. EPRP Workshops in TACRO 2002-2004: Dates and Participants.
57. UNICEF.WCARO. 2004. EPRP Participants, Master List.
58. UNICEF.WCARO. 2003. Regional Training Workshop on Crisis Management and Peer Support. List of Participants. November 2003 - Dakar.
59. UNICEF.WCARO. 2003. WCARO Crisis Communication Workshop. List of Participants.

## 2. List of Documents

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<http://www.rsc.ox.ac.uk/PDFs/workingpaper7.pdf>
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6. CDC, Columbia University, and Tufts University. 2003. Final Report on the UNICEF EAPRO CDC/Columbia/Tufts, Training for Improved Practice: Public Health, Nutrition and WES in Emergencies Workshop in Bangkok, Thailand. September 18-26th, 2003. New York: UNICEF.
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