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American Red Cross



CENTRAL ASIAN DEVELOPMENT PROGRAM

FINAL PROGRAM REPORT
Submitted to World Learning

THE AMERICAN RED CROSS

In cooperation with:
THE SWEDISH RED CROSS
THE FINNISH RED CROSS
THE INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT
SOCIETIES

Help Can't Wait

Erratum

The quotation cited on pp. 58-59 regarding principal-agency loss is wrongly attributed to Persson, et al. The passage is, in fact, drawn from Biergegard, et al. We regret the error.

List of Abbreviations

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| ARC | American Red Cross |
| CADP | Central Asian Development Program |
| ECHO | European Community Humanitarian Office |
| EIL | Experiment in International Living |
| EU | European Union |
| FRC | Finnish Red Cross |
| IAI | Institutional Assessment Instrument |
| ICRC | International Committee of the Red Cross |
| ID | Institutional Development |
| IFRC | International Federation of Red Cross and Red Crescent Societies |
| KzRCS | Kazakh Red Cross and Red Crescent Society |
| KgRCS | Kyrgyz Red Crescent Society |
| NGO | Non-Government Organization |
| OFDA | Office of U.S. Foreign Disaster Assistance |
| ONS | Operating National Society |
| PERDCA | Project on Economic Reform and Democracy in Central Asia |
| PNS | Participating National Society |
| PVO | Private Voluntary Organization |
| QUANGO | Quasi-Non-Governmental Organization |
| RD | Resource Development |
| SIDA | Swedish International Development Agency |
| SOE | State Owned Enterprise |
| SRC | Swedish Red Cross |
| TjRCS | Tajik Red Crescent Society |
| TrRCS | Turkmen Red Crescent Society |
| URCS | Uzbek Red Crescent Society |
| USAID | U.S. Agency for International Development |
| USDA | U.S. Department of Agriculture |
| USSR | Union of Soviet Socialist Republics |
| WL | World Learning, Inc. |

EXECUTIVE SUMMARY:

The CADP has achieved a marginal degree of success in fulfilling its comprehensive mandate of offering NGO support to the five ONS of Central Asia through technical assistance, institutional development and strengthening their organisational capacities.

Nevertheless, the major conclusions of this report are as follows:

- (1) Much like state-owned enterprises, the national societies of Central Asia suffer from tremendously weak incentives. The CADP largely failed to address issues of governance, incentives and hard budget constraints, so sustainability must be questions. Nevertheless, this conclusion clearly points to areas where policy improvements may be made.
- (2) ONS activities tend to be in extremely low-specificity sectors, such as health and social welfare. Because of the time required to demonstrate improvements in low-specificity sectors, it is unlikely that change can be sustained without a more comprehensive institutional commitment. Competition surrogates may be effective in altering this in the future.
- (3) The CADP was implemented by five ONSs, three PNSs, the Federation and at least four different donors. As a result, it never found a clear organizational framework, resulting in a major principal-agency loss problem.
- (4) Because the CADP remained throughout the grant period on the periphery of Federation operations in the region, it was never fully integrated into the program portfolio. As a consequence, an opportunity to reinforce learned skills with real-world activity was largely squandered. Furthermore, ongoing relief operations in some cases served to catalyze the ID process. In the majority of cases however, concurrent operations retarded this process. In the future, ID programs will need to control and adjust for confounding and intervening phenomena.
- (5) In some cases, other policies served as direct disincentives to performance. The most notorious of these programs was the unconditional funding the region's visiting nurse programs through 1994. This unconditional cash softened the budget constraint at each ONS at precisely the time that strong external incentives were required to ensure the appropriate impact of the CADP.

II. Introduction

Purpose:

This report is to specify the activities, significance and conclusions of the Central Asian Development Programme (CADP) under the terms of a grant from World Learning, Inc., a contractor with United States Agency for International Development (USAID), from 20 October 1992 through 21 August 1995.

Background:

With the collapse of the Soviet Union in 1991, the former Alliance of Soviet Red Cross and Red Crescent Societies was dissolved, bequeathing as its legacy fifteen newly independent national societies with few resources and little expertise in management or resource development. As components of the Alliance, each national society--like every other element of civil society in the USSR--had been subsumed by the State, becoming little more than a *de facto* transmission belt for the Ministry of Health. At a time when the region's economy had been devastated by the collapse of interrepublican trade, the five Red Cross and Red Crescent Societies of Central Asia watched as their traditional sources of funding and volunteers withered. Thus, sudden independence found each society exceedingly ill-prepared to face the looming challenges of self-finance and self-governance. The CADP was designed as a stopgap measure to train the five National Societies in management and resource development, thereby aiding them in negotiating this difficult transition period, preparing them ultimately to perform the community-based social service functions for which the International Red Cross and Red Crescent Movement is known worldwide.

By strengthening the capacities of each national society, and facilitating an evolution of government-NGO relations in each republic in the process, the CADP was conceived ultimately as a means of helping to initiate the creation and evolution of civil society in Central Asia. Yet the atomization of society that had been a direct result of the Soviet system could not be reversed overnight. Clearly, the CADP would serve only as the beginning of a much longer process.

In early 1992, the American Red Cross (ARC), contacted the International Federation of Red Cross (Federation) in Geneva with news of an imminent RFP from World Learning. Subsequently ARC and Federation personnel in Washington, Geneva, Moscow and Ashgabat, Turkmenistan collaborated to draft a proposal to enhance the capacities of the fifteen successor national societies in the areas of management, financial development, disaster response, volunteer development and home nursing. After a series of negotiations, this proposal ultimately resulted in a \$500,000 USAID grant through World Learning, Inc. to conduct a series of training seminars in Central Asia. The Kazakhstan Red Crescent/Red Cross, the Kyrgyzstan Red Crescent, the Tajikistan Red Crescent, the Turkmenistan Red Crescent, and the Uzbekistan Red Crescent would be the primary recipients of the training.

The purpose of these seminars was twofold: first, the management capacities of the region's five

Operating National Societies (ONSs) would be broadened and enhanced through an institutional development program. Second, building on the skills and concepts of the institutional development module, a second series of seminars would be implemented to build the capacities of each ONS in the areas of financial development and financial management.

A follow-up programme, funded entirely by the Federation through its membership, will mobilize financial and in-kind resources to enhance the capacities of the ONS and assist them in implementing the skills and knowledge gained throughout the seminars.

Activities: The project was built around two key areas, financial development and institutional development. At the time the original proposal was being written, the Federation was completing work on two major programmatic initiatives designed to facilitate development in these two areas. The first, the Institutional Development (ID) Program, was designed to serve as a guideline for effective institutional development in the Movement's Operating National Societies (ONS). The second, the Resource Development Program, which had been developed largely as a result of a USAID-funded American Red Cross project, focused on methods of fundraising and financial development. Together with the structure and expertise of the Movement in Central Asia, these two programs would serve as the key inputs into the programs.

Using this set of inputs, two training modules were developed, each based on one of the Federation's programs. A series of four training courses were developed and introduced into the region, ultimately producing a large cadre of trained personnel in each of the region's ONS.

These outputs produced a series of outcomes, each of which was to contribute to the development of the region's national societies. These included a common approach to identifying beneficiaries, programming strategies, government relations and management. The inclusion of both NHQ staff and *oblast'* level personnel in the training courses ensured a common language at all levels of each organization, and was to facilitate both vertical and horizontal communication. Similarly, it was foreseen that each agency would become increasingly decentralized. The image of each ONS, badly damaged by years of association with the Soviet authorities, would be enhanced as well, the result of improved public relations and better service delivery. Finally, the program would help to transform the relationship between governments and ONS in the region, providing a model for independent non-governmental service provision at the nationwide level in each of the five republics.

Significance of Activities: It is evident from the numerous internal evaluations and assessments and particularly from the external Final Evaluation Report (attached as Appendix A) that the CADP has achieved a marginal degree of success in fulfilling its comprehensive mandate of offering NGO support to the five ONS of Central Asia through technical assistance, institutional development and strengthening their organisational capacities. At the local level the project has shown greater success. Many of the community branches of these National Societies have demonstrated success in implementing new activity in the areas of service programming, fundraising, volunteer recruitment, and media/public relations.

Nevertheless, the program has not been a tremendous success. As designed, the CADP did nothing to address the problem of weak incentives. As implemented, the effectiveness of the program was undermined by a major principal-agent loss problem, and confusion over the project's role within the Federation's regional portfolio periodically resulted in insufficient attention being paid to its activities. These observations are explored in greater detail in the following sections.

III. The Methodological Approach of this Evaluation

To date, no fewer than four separate evaluations of this program have been conducted, each different in its scope and its methodological approach. Due to differences in approach, results have varied dramatically. Thus, for the purpose of this final report, we have endeavored to define clearly the evaluation criteria, and the methodology utilized. By clarifying from the outset both the scope of work and the variables to be evaluated, we hope to address the inconsistencies in the four previous evaluations.

The World Learning Institutional Assessment Instrument (IAI)

We have elected to utilize as a foundation the instrument provided in the fall of 1995 by World Learning. This model identifies six major components within an NGO, and provides a scale against which to evaluate progress over time. The model is attached as Annex A.

Developed as a means of effectively capturing the development level of an NGO, the instrument serves several purposes, such as establishing baseline indicators, determining institutional maturity, monitoring and evaluating progress, and providing useful information to guide additional programming.

The instrument identifies the following components as critical to the institutional development of a non-profit organization: governance; operations and management systems; human resources; financial resources; service delivery; and external relations. Each of these components is, in turn, further broken down to identify key characteristics of an organization over time. Finally, because this is placed in the context of a time scale, progress towards institutional sustainability can be charted. The model identifies four stages of development: start-up; development; expansion and consolidation; and sustainability.

Using the institutional self-assessments produced by the national societies of Kazakhstan, the Kyrgyz Republic, Turkmenistan and Uzbekistan, we have been able to produce a portrait of each national society at the outset of the program.¹ By utilizing the same evaluation criteria at the program's conclusion, we can determine the progress made towards achieving the overall goals of the program. The results are discussed below, in section V.

There are, nevertheless, three inherent weaknesses to this approach. First, there is the problem of subjectivity. By relying on institutional self-assessments for baseline data, we are accepting each national society's subjective assessment of its own strengths and weaknesses. This potential weakness is compounded by the subsequent subjective evaluation of progress upon the project's completion. This latter evaluation was conducted--albeit using the same evaluation criteria--three

¹ Tajikistan was mired in a civil war at the beginning of the project, and the national society was subsequently unable to produce the institutional self-assessment at the outset. It is therefore impossible to evaluate progress in anything but an anecdotal fashion.

years later by different individuals. Rather than relying on each national society to evaluate itself again, we elected instead to rely on external observation (which also has inherent flaws). This process was undertaken by the Development Delegate, the American Red Cross Project Manager, and the Federation's Desk Officer. Although the instrument contains very clear benchmarks, the process utilized herein to gauge progress remains nonetheless very subjective.

The second major weakness is that the evaluation criteria themselves have been applied externally, and are not necessarily built into the program. In fact, because of the way both the initial Request for Proposals and the actual program proposal were written, the project itself remains very vague about its success indicators. Thus, the "goodness of fit" of the individual variables used as indicators may, at times, be rather unclear. Nevertheless, we believe that this approach represents the best method of capturing the information we seek, despite flaws in the initial project design.

Finally, this method does not necessarily guarantee that intervening and/or confounding variables can be accounted for. For example, while a comparison of baseline and completion data may suggest that substantial improvements in service delivery or beneficiary targeting had been achieved during the course of the project, there is no way of determining whether these improvements resulted, at least partially, from concurrent operations or programs.² In the future, evaluations will have to adjust for concurrent phenomena. Nevertheless, we have, whenever possible, attempted to identify possible phenomena which may have reduced or accelerated the impact of the program.

Despite these notable shortcomings, we believe that, within the context of initial program design, this represents the best approach to determining overall impact. When possible, we have attempted to discuss possible confounding and/or intervening phenomena that may have blunted, catalyzed or accelerated the impact of the program. Although this method has its flaws, we believe the results to be useful in measuring impact and suggesting possible follow-on programming strategies.

The Federation's Institutional Development Program

Nearly two years after this project began, the Federation released guidelines for institutional development programs conducted on behalf of operating national societies worldwide. While the underlying methodology shares several attributes with that detailed above, we believe the Federation's approach to be too vague and indirect to be of direct relevance in an evaluation. Nevertheless, we have attempted to cross reference the two approaches when possible, thus

² It must also be considered that concurrent operations and/or programs may have had a confounding effect. Insofar as concurrent operations create competing priorities, the possibility that an individual national society may have been forced periodically to refocus its energy on other issues must be addressed. This is an issue explored in greater detail in the evaluation of the program produced by the Swedish Red Cross and attached here as Annex B.

identifying areas where improvements can be made.³

A major shortcoming of the Federation's approach is its vagueness. Perhaps to facilitate universal applicability of the model, the approach does not include easily identifiable criteria for evaluating performance over time. Although the Federation's Strategic Workplan for the Nineties stresses the relief-development continuum, there is surprisingly little attention paid in the ID model to the development continuum over time. In addition, because much of the work of the Movement is in low-specificity sectors such as health, education and social services, incentives to efficient performance are notoriously weak. This situation is exacerbated in many countries of the world that must contend with an aggregate bureaucratic environment characterized by statist inefficiency. In economies such as those of Central Asia, the absence of real competition and micro-level marketization further undermines the effort to improve the optimality of resource utilization. It is our belief that the Federation's institutional development approach fails to address the external environment in which many ONS are forced to operate. In cases where economies remain state-dominated and reform of the state sector lags behind efficiency gains in the newly privatized sectors, there exists little impetus for efficiency improvements.

Since the collapse of the USSR, the ARC and the Federation have differed over the direction of programming policy in the successor republics. We believe that the failure to understand properly the broader changes extant in each of these countries has led directly to poor results in development projects. Furthermore, because each ONS in the former USSR maintains an important relationship with its respective government, the failure to capitalize on this and to effect policy changes at the national level is all the more apparent.

Previous Evaluations

Berkowitz (1995)

In May 1995, ARC sent Mr Allen Berkowitz, Director of Corporate Planning at the American Red Cross, to Central Asia to conduct a preliminary impact assessment. Although he was to have been accompanied by an external evaluator, thus satisfying the mid-term evaluation requirement, the external evaluator was forced to cancel at the last minute. Mr Berkowitz went ahead with the mission, providing ARC with valuable information regarding the direction and scope of future programming opportunities.

Berkowitz utilized a basic series of interviews with participants from the Kazakh and Kyrgyz Red Crescent Societies, using a predetermined questionnaire. Most of the interviews were conducted in person, although when scheduling difficulties required it, some were conducted over the phone. The interview instrument had three specific purposes: to compare the expectations of the participants for the training program before and after the training; to have participants assess the

³ ARC is currently working to revise the ID model to capture maturation over time, and to ensure that incentive structures are analyzed properly.

quality and content of instructions; and to understand what actions the participants were contemplating based on the training program.

The primary conclusions of his study (attached as Annex C) were as follows:

- The training materials were well designed, the facilitators performed well, and in most cases met participants' expectations;
- In Kazakhstan, many of the participants were transferred into other positions, and were never asked to participate in later trainings. Similarly, the participants in the later trainings had not been involved in the early trainings. Although this phenomenon was not evident elsewhere, it did limit the impact of the program in Kazakhstan;
- The approach taken in the Finnish training module was largely inappropriate to the specificity of the regional situation. Because the financial development module drew so heavily on the Federation's *Resource Development Handbook*, it captured most of that document's flaws. These include an inapplicability to transitional environments, and a preoccupation with government-granted monopoly rights in fundraising. Thus, a more region-specific approach would have been more appropriate.

Berkowitz's study was limited in its scope to the participants and their impressions of and reactions to the training. While this was a useful method of determining the extent to which messages and lessons had been absorbed, it was not broad enough to capture impact on institutional maturity.

Persson, et al. (1995)

The Swedish Red Cross Folk College conducted its own evaluation of its component upon completion of Swedish training activities in 1994. This report covered the process through which the Folk College prepared and implemented the Institutional Development and Leadership Training Module, and provided both a series of observations and a set of conclusions regarding overall progress and the experience in implementation. This report is attached as Annex B.

The conclusions of the Folk College are summarized below:

- The institutional development training program should be looked upon as an attempt, among others, to support and/or assist the National Societies in an acute situation. This means that the ideal conditions for an institutional development program were never in place. In a best-case scenario, a National Society should have a development plan for its future activities in place, from which training needs can be identified⁴;

⁴ It should be stressed that at the outset, both ARC and the Federation sought short-term triage rather than comprehensive development as a means to ensure survival

- Apart from sufficient practical support, there emerged among Swedish facilitators a sense that the program was an isolated effort, not fully integrated into Federation activities in the region. There was no attempt to integrate, through a specific regional strategy, the program in a fashion that would have catalyzed the development of the National Societies. There was no connection between the training program and other Federation operations in the region, a fact that served to isolate the development initiative from ongoing relief activities. Thus, efforts to realize returns from the relief-development continuum were sub-optimal;
- With the exception of Tajikistan, the program may be viewed as a "relief-development" program, meaning that it provided the developmental impact of the training courses served as emergency measures to help each National Society survive the immediate effects of the transitions underway in the region. As a result, each National Society now stands a better chance of finding a new foundation for itself, amid often incomprehensible change. In this sense, such programs can serve as initial starting points for broader institutional development programs when the conditions are more appropriate; and
- It is essential for the successful outcome of the institutional development training courses that a common and concordant view between different participating National Societies (PNSs), Federation Delegations and ONS personnel regarding means, methods and goals. In addition, a shared understanding of the connection between relief assistance and development assistance is imperative.

We believe that the comments and observations of the Folk College have significant merit. Most notably, the observation that the program's role within the Federation portfolio never seemed to acquire sufficient definition is telling. The absence of universal agreement regarding what role and scope the program would play, and how it would be integrated into ongoing relief operations, served ultimately to blunt the effectiveness of the program's message and efficacy. We agree with Persson, et al, that greater agreement and coordination on the part of the involved PNS would have contributed to a more effective operation.

Mandel (1995)

In fulfillment of a contractual obligation to World Learning, ARC engaged the services of independent consultant Ruth Mandel to conduct a final impact evaluation of the program. Ms Mandel undertook her work in July and August of 1995. Her report (appended here as Annex D) has previously been forwarded to World Learning under separate cover.

The survey instrument was a questionnaire combining both binary type and open-ended questions. As is often the case, often very different results emerged from the two formats. The answers to

during the initial transition period.

the binary questions (yes-no, satisfactory-unsatisfactory) generally tended to conform to culturally conditioned normative expectations (eg. conditioned to be favorable, respondents generally gave positive answers). When asked about the same topic in an open-ended format, however, there was a much higher degree of critical, negative response.

Mandel's overall conclusion was extremely, perhaps overly, positive:

This report shows that the four training sessions evidenced a high degree of success. They fulfilled their mandate of offering NGO support through technical assistance, institutional development and strengthening of organizational capacities within the time frame set to carry this out. Most importantly, as a result of the training, many branches of the National Societies have begun to carry out new projects in the fields of fundraising, publicity and volunteer recruitment.

While this is a positive read, we are not satisfied with the methodological approach utilized. While the instrumentation designed and used by Ms Mandel may have captured accurately the attitudes of participants to the program, it was unsuccessful in gauging overall developmental impact. Because Mandel, based on discussions with the Almaty delegation, viewed the program more as an adult learning effort, rather than as an institutional development initiative, her queries attempted to measure impact of andragogical methods, rather than institutional performance and progress towards institutional maturity and sustainability. Thus, while we can, based on her work, assume that the methods employed by the Folk College were received well, we cannot accurately assess the impact of these methods on institutional management and performance.

Biergegard, et al (1995)

The fourth, and final, evaluation of the program was organized by the Federation and undertaken in September of 1995. Although replete with factual and chronological errors,⁵ the report did seek to evaluate what took place, rather than precise measurements of participants' reactions. A series of semi-structured interviews and checklists, rather than binary-type questionnaires, was chosen in order to obtain qualitative, rather than quantitative data. This evaluation is appended

⁵ Among these errors, the most glaring was the following: "ARC wanted the program to be implemented through the Federation. The Federation which--apart from discussions with the American Red Cross--had not really been part of the preparation of the program was somewhat concerned that the program might be too much of a desk product from Washington. Discussions with ARC eventually resulted in an acceptance of the idea to make use of the experiences of Russia and engage the Folk College." While ARC does not argue with the assertion that it sought to implement the program through the Federation--the matching requirement necessitated such an approach--the project was, in fact, a joint effort, written collaboratively by the Federation Delegation's office in Moscow and ARC. Efforts by the Federation to paint this as a program foisted upon it without warning plagued implementation throughout the first year and a half, significantly corroding operational relations in the process.

as Annex E.

The primary conclusion of Biergegard, et al, was that the program had largely failed to achieve its objectives. Some of the salient points advanced in support of this conclusion are as follows:

- The program never found a clear organizational and management framework. Roles and responsibilities were not clear. The program could probably better be described as a collection of bilateral projects or activities more or less loosely connected. This phenomenon characterized the program throughout its implementation. The absence of a managerial control resulted in slow or no action when such was suggested by feedback. For example, when reports suggested that some of the Finnish trainers were not up to standards, no action was taken;
- The training courses would have benefited from focusing on a few priority issues of the participants and by building learning around these issues into a logical whole where each part supports the other. As implemented, curricula were overly broad, and lacked sufficient understanding of the specificity of the Central Asian situation;⁶
- The training courses did have some impact in relation to the learning objectives (notably activity planning, budgeting and image improvement);⁷ and
- In this model, training is a means of secondary importance. Training may prove useful when a particular, usually technical, skill is to be enhanced. However, training should only be used when specific training needs have emerged in the institutional development process.⁸

In general, these observations, while not flattering, do capture some important weaknesses in the

⁶ It should be noted that from the outset, ARC fought a losing battle with the Federation and its other implementing partners to change the curricula to reflect post-Soviet realities. In particular, after the February 1994 evaluation of the Folk College program in Russia, ARC made a series of recommendations that were never adopted. Worse still, the Finnish materials were never sufficiently field tested to ensure applicability. This reflects weak managerial control over programmatic implementation, an issue we will return to later.

⁷ Biergegard, et al, cannot gauge the extent of this impact, due to a failure to include baseline data in the assessment. In this sense, the observation appears a concession.

⁸ It should again be stressed that the "institutional development process" to which Biergegard, et al, refer had not been devised at the time of the program's design, and was not released until implementation was well under way. While we do not discount the validity of this assertion in general, its value is limited given the chronological reality of the situation. Nevertheless, the andragogical priority of both Berkowitz and Mandel placed too great an emphasis on the training, rather than the outcome.

program, weaknesses that will be addressed in the conclusions of this report. Nevertheless, the survey is not, itself, without serious weaknesses. Most notably, the failure to include baseline data in the evaluation dramatically undermines its credibility. Given that this information was readily available, its absence in the evaluation methodology is all the more obvious. Because no attempt was made to compare current practices with 1993 practices, it is impossible for Biergegard, et al, to assess impact over time.

Second, in preparing the terms of reference for the evaluation, too broad an objective was selected. Rather than focus on the CADP exclusively, the Federation team chose instead to evaluate all Federation institutional development programs in the former USSR (Central Asia, European Russia, and the Russian Far East). Because each of these programs was driven by a different donor and was predicated upon often vastly different methodological assumptions, the attempt to evaluate each as part of a common whole is inappropriate. The goodness of fit of many of the evaluation team's approaches may, therefore, be considered questionable.

The attempt to bind three different programs into a single evaluation is all the more troubling when one considers that each donor sought to achieve different goals. In the case of the World Learning-funded CADP, the overall objective was to enhance organizational capacity of each of the region's national societies as part of a broader process of civil society development. This objective is wholly ignored in the Biergegard, et al, study. Given that ARC did include in the project design several--albeit vague--benchmarks related to civil society development, the failure to address them in the survey misses an important objective of the program. It may be assumed that the other donors to institutional development programs in the former USSR--the governments of Japan and Sweden--had their own objectives that were similarly ignored.

An additional failing is the simple absence in the report of the survey instrumentation and results. Descriptions and analysis are not backed up with data or results. Given the negative conclusions reached by Biergegard, et al, the absence of both data and instrumentation appears a glaring deficiency, which greatly undermines credibility.

Finally, from the vantage of ARC, the failure of the evaluation team to spend more than 20 minutes discussing program design and objectives with ARC personnel (particularly the program manager and principal author) suggests that insufficient credence was given important issues. Given the myriad chronological errors in the report (each of which, incidentally, results in the Federation's absolution, largely at the expense of SRC and, to a lesser extent, ARC), it would appear that insufficient time and effort was expended to ensure that lessons were drawn from accurate information.

Nevertheless, we believe that, notwithstanding the methodological weaknesses characteristic of Biergegard, et al, the conclusions are generally valid.

IV. SUMMARY OF ACTIVITIES

The following is a description of the Agreement's activities from its inception:

American Red Cross awarded \$500,000 grant from World Learning, Inc. to undertake the Central Asian Development Program. American Red Cross Project Manager makes first field visit to Central Asia in November-December 1992, liaising with Federation Regional Delegation in Almaty, and with Federation Secretariat in Geneva.

After the first of the year 1993, the Federation's desk officer in Geneva, Mr Richard Grove-Hills, then serving as Acting Head of Delegation in Moscow, announced that the Federation was deeply concerned about major flaws in program design. This came as a complete surprise to the American Red Cross for not only was Mr Grove-Hills unable to identify these specific flaws, he himself had actively participated in the drafting of the proposal, providing at the very end of the negotiating process critical support for the program. At that time, he wrote to the American Red Cross that, "I think the basic concept is sound, that the areas for training are absolutely appropriate (with some reservations about the emphasis on volunteerism given the current economic situation) and that we should press ahead. We have to start somewhere, doing nothing is not an alternative." Mr Grove-Hills went on to say that, "I am sure EIL will ask why these reservations were not expressed earlier. Very simply, as already stated, we [the Federation] have always accepted the concept as sound but it is only in the light of our experience over the past months...that we are now in a position to appreciate the potential practical problems."

Subsequent to this, Mr Per Goran Persson was hired as a Development Delegate for the Federation's Moscow Regional Delegation. Based on discussions with Mr Persson regarding the deficiencies in the program's design, ARC subsequently presented the following information to World Learning:

The ARC, unlike many other PVOs and NGOs in the United States, has a counterpart organization in nearly every country around the world. The existence of such relationships gives the American Red Cross a unique advantage when undertaking a relief or development program in another country. For example, because there already exists at least a rudimentary organizational structure, programs can be designed rather easily, according to need.

Recent field experience has shown, however, that the converse is also true. For, although a number of benefits accrue from these relationships, there exist certain disadvantages as well. In the case of this capacity-building program, we have found that the leaderships (distinct from the rank-and-file) of some of the Central Asian Red Crescent societies do not share our interpretation of their needs. Yet, because of these preexisting relationships, the American Red Cross and the Federation are compelled to work with them.

This disagreement reflects the fact that, for most of the Soviet period, the Red Cross and Red Crescent societies of the constituent republics were simply extensions of the central

government. In fact, there existed in the Soviet Union a tacit division of labor in which the Ministry of Health was responsible for specific public health functions, the Ministry of Social Protection (or Social Welfare) was responsible for other public health functions, and the Red Cross or Red Crescent responsible for still other functions. As a result, the leaderships of republican Red Cross and Red Crescent societies were generally co-opted into the Soviet system.

The International Red Cross Movement includes among its seven Fundamental Principles both impartiality and independence, neither of which was realizable under the Soviet system. Since the dissolution of the USSR as a political unit, certain individual Red Cross and Red Crescent societies have maintained their old relationships with the government. Moreover, many of the individuals who remain in leadership positions do not fault the system for the myriad problems facing their societies, but simply the Soviet extension of Russian colonial rule. While the American Red Cross does not wish to make value judgements, it has been determined that because many of the old relationships remain in effect, specific elements of the capacity-building program will require revision.

Most specifically, we have determined that the Management Exchange Program will require extensive reworking. We had initially hoped to select promising, young mid-level managers from each of the five Central Asian Red Crescent societies and bring them to the West for three month stays. It was hoped at the time that these exchanges would provide valuable exposure that would augment the academic approach of the module training. A selection committee consisting of the Program Manager, the Head of Delegation in Alma-Ata, and the Regional Development Delegation in Moscow would select the participants from a pool of individuals who had participated in module training and had subsequently been nominated by their society.

The experience of both the Head of Delegation in Alma-Ata and the Regional Development Delegate in Moscow has shown that such an approach is unfeasible. It is unlikely, for example, that the Red Cross and Red Crescent societies will, at this time, allow us adequate control over the selection process. In addition, we have determined that it will not serve our long-term interests to make program participation contingent upon strict adherence to our implementation plan. Since we continue to seek a coequal relationship with our regional partners, we cannot simply dismiss them.

Because the leaderships of most of the Central Asian Red Crescent societies maintain their old relationships with their respective governments, most have not grasped the necessity of management reform. As a result, most leaders see themselves as the logical candidates for management exchanges. While in some cases, notably Turkmenistan, the leadership would benefit immensely from such an exchange, we have determined that in the majority of cases, the leaderships would simply take the opportunity to see the West, all expenses paid, care of USAID. Such a situation would in no way contribute to the achievement of the goals outlined in the program.

We have subsequently amended the program so that the first phase of the Management Exchange Program has been eliminated outright. Although such a move is regrettable, we do not feel that we possess sufficient control over the selection process to ensure that qualified candidates will be included. The second phase of the Exchange Program, in which consultants from participating donor societies are brought to Central Asia, has been retained.

Thus, the program was revised considerably from that outlined in the proposal and the cooperative agreement. World Learning agreed to the changes.

A three day introductory workshop was held in Lake Issyk-Kul, Kyrgyzstan to initiate the Central Asia Development Programme. Attending the workshop were representatives from the five Central Asia National Societies, the ICRC, the Swedish Red Cross, and the Federation. At this meeting the curricular components for the seminars were suggested by the representatives of the five Operating National Societies (ONS) of Central Asia to include financial development or fundraising, strategic planning, budgeting, media relations, and volunteer management.

The focus areas agreed to in the August workshop became the basis of a request for proposal (RFP) that was distributed to Federation membership soliciting their participation in the design, development and implementation of two training modules for the mid-level managers of the ONS. Although a number of the Federation membership responded to the RFP, the Finnish and Swedish Red Cross Societies were awarded the project based upon their past accomplishments with similar trainings in the Russian Federation and former Soviet Union.

The Training Modules and their Curricula

SRC: Institutional Development and Leadership

SRC had been conducting institutional development and leadership training in the Russian Federation since 1993. In February 1994, ARC participated in Federation assessment of the SRC training program in the Russian Federation. Among the conclusions were the following salient points:

- The Swedish Red Cross methodology was excellent, and widely praised by program participants. It has been able to stimulate substantial critical assessment and thinking at all levels of the Russian Red Cross. The emphasis placed on strategic planning and the prioritization of program areas led the Russian Red Cross to establish program priorities for 1994 that correspond to real life, a notable departure from the past.
- The main elements missing from the Swedish Red Cross program in Russia are the following: (a) fundraising and financial management; and (b) adequate support and follow-up. The program, as designed for Russia, aids in the development of strategic plans and the identification of priorities, but does not facilitate the translation of those priorities into financial development strategies. Similarly, the absence of adequate

follow-up essentially undermines the reinforcement of new concepts in the working environment.

The course curriculum presupposed a high level of activity on the part of the participants. The methodology underlying participatory training emphasizes that learning is an active process. A problem-oriented approach in which the participant produces a list of problems and challenges under the guidance of a facilitator has the effect of imparting to the participant the kind of knowledge that is currently relevant, practical and best fitted his/her needs.

The course consisted of seven different components which as a whole are directed towards the overall goal of improving performance. These components are as follows:

The International Red Cross and Red Crescent Movement: This component aims at providing greater familiarity with the Movement and its fundamental principles, as well as its traditional activities. Contents include the idea, the basic principles and the goals of the organization; its history; international decisions that have an impact on national activities; the Red Cross today; and the organizational structure. The emphasis on the Geneva Conventions, the emblem and the Fundamental Principles was designed to focus on mission, an area rendered purposefully vague by Soviet authorities.⁹

National Red Cross and Red Crescent Societies: This component aims to disseminate knowledge concerning the organizational structures and activities of various national Red Cross and Red Crescent societies. Building on the broad mission explored earlier, this section emphasized that each National Society had to work in accordance with local needs and conditions. By focusing on specific and often country-specific vulnerabilities, National Societies would be performing their roles as conceived under the Fundamental Principles.

The Voluntary Organization: The component was designed to foster the dynamic development of the national society's structure and organization. Contents included members and membership, recruitment and motivation of volunteers; practical influence on the activities of the members; organizational structure and development; and comparisons between various types of organizations (eg. state, private and non-governmental). By emphasizing that the recruitment of skilled volunteers required clearly defined roles and effective human resource management, this section sought to replace the traditional Soviet-era view of volunteers.

Needs Assessment and Activity Planning: This component sought to enhance the ability of each ONS in identifying the most vulnerable groups in their respective societies and

⁹ During the Soviet period, the Fundamental Principles were considered sufficiently dangerous to warrant an ideological rethink. The seven principles were reduced to a mere four, including peace and health, the latter, of course, being less a principle than a sector of operations.

also to plan, based on the needs of these groups, for short- and long-term activities. A particular emphasis is placed on capacities and vulnerabilities analysis, thus ensuring that local capacities are utilized in targeting vulnerabilities. The process of activity planning was defined as commencing with capacity and vulnerability analysis, and continuing through the stages of goal formulation, activity design, implementation and feedback/control. By emphasizing that planning is an ongoing process, programs could be understood as dynamic, rather than centrally-run static institutions.

Leadership and Group Dynamics: This component was designed both to increase awareness of the role of both the staff leader and the volunteer leader with regard to dynamic organizational development and to enhance the ability of leaders to provide guidance and support to the members of the organization. Contents included the role of staff and volunteer leaders; the leader and the group; staff recruitment, training and development; and organizational dynamics. Emphasis was placed on creating an environment that ensured organizational development and maturation.

Training planning: This component sought to enhance the ability of trainees to provide internal training to their colleagues at all levels of each ONS. Particular emphasis was placed on the methodology of instruction, planning and evaluation, as well as the organization of work and its linkage to staff development.

Evaluation: Provided a knowledge of evaluation and facilities for practicing various evaluation techniques. Emphasis is placed on the utilization of evaluation as an instrument of activity development, and both quantitative and qualitative evaluation methods.

FRC: Resource Development and Financial Management

The Financial Resource Development Module was conceptualized as a means to contribute to the satisfaction of the following objectives:

- (1) Further strengthening the participants' awareness of membership and participation in the International Red Cross and Red Crescent Movement; and
- (2) The enhancement and improvement of the participants' skills in managing resource development, thus providing tools to develop greater financial autonomy at different levels of each Central Asian ONS.

As a result of the training, it was envisioned that the trainees would manage both short- and long-term financial planning and understand its relationship to activity planning. Trainees would become familiar with the basics of budgeting, financial management and book-keeping and understand the importance of control. They would understand the role of volunteers in resource development, as well as image, public relations and marketing. The trainees would learn to examine different forms of fundraising, and will be able to develop fundraising campaigns.

The curriculum consisted of the following components:

The Aims and Goals of Resource Development Training: By starting with a broad overview of the subject matter to be covered, this component clearly delineated steps in a larger process. This ensured that participants viewed each component of resource development as part of an integrated whole.

Planning: This step, building on the planning component of the SRC module, also emphasized that planning was a process. Here, however, the focus was on resource and financial planning, as opposed to specific activities.

Financial Management: This section provided a basic overview of budgeting and financial planning—broken down into its component parts: bookkeeping, cash flow management, financial control and such instruments as journals, ledgers and statements.

Resource Development: By focusing on all of the components of resource development, this section was designed to provide an integrated, comprehensive approach to the process. Human resources, particularly volunteers, as well as the structural mechanics (committee, unit, etc) were all addressed.

Image and Public Relations: Placed great emphasis on positive public image as a means of ensuring continued public support. Participants were introduced to such topics as media access, audience definition and internal communications. Examples of useful tools were provided, such as press releases and press conferences.

Fundraising: The final component discussed the actual activities and their planning. Examples of successful fundraising activities from other National Societies were used as examples. Finally, the concepts of ratios (resources expended v. resources earned) and impact evaluation were explored.

The Resource Development Module drew heavily on the Federation's recently released *Resource Development Handbook*, large sections of which were translated into Russian and distributed.

A Retrospective Note on the IAI

It must be stressed that when the CADP was designed, the IAI and its component parts had not yet been presented to subgrantees. Thus, it may appear that some areas critical to sustainability were not given sufficient attention in the CADP. Conversely, other areas ignored by the IAI were, in fact, of considerable importance to the CADP. In particular, the emphasis placed on the International Red Cross and Red Crescent Movement and its National Societies did not conform to the areas identified by the IAI. Nevertheless, because of the unique role played worldwide by both the Movement and its National Societies, this emphasis served to illustrate the important mission and role of each ONS. Moreover, because Soviet authorities had worked diligently to emasculate the Movement's influence in the USSR by subverting grass-roots needs

to political whim in Moscow, the emphasis placed on the Movement and its unique role served an important informational function, as well.

The particular emphasis placed on the Movement notwithstanding, the component parts of a successful, sustainable NGO, as defined by the IAI, are as follows:

- A. Governance
 - A1. Board
 - A2. Mission
 - A3. Constituency
 - A4. Leadership

- B. Operations and Management
 - B1. Management of Information Systems
 - B2. Administration
 - B3. Personnel
 - B4. Planning
 - B5. Program Management/Development
 - B6. Development of Procedures

- C. Human Resources
 - C1. Staff Roles
 - C2. Work Organization
 - C3. Performance Management/Staff Development
 - C4. Salary Administration
 - C5. Team Development/Conflict Resolution
 - C6. Communications
 - C7. Diversity

- D. Financial Resources
 - D1. Accounting
 - D2. Budgeting
 - D3. Financial Control
 - D4. Audit/External Control
 - D5. Food Management
 - D6. Resource Base
 - D7. Legal Status

- E. Service Delivery
 - E1. Sectoral Expertise
 - E2. Community Ownership
 - E3. Impact Assessment
 - E4. Program Management/Development

- F. External Relations
 - E1. Public Relations
 - E2. Constituency Relations
 - E3. Government Collaborations
 - E4. NGO Collaboration
 - E5. Local Resources

Of these areas, service delivery and governance were not directly targeted in the CADP. Governance--particularly through board development--has subsequently become the focus of considerable attention within both the Federation and American Red Cross, and efforts to focus more attention on the issue in development projects are underway.¹⁰ Although service delivery benefited from secondary and tertiary effects of improved planning, it was not, by itself, the subject of the project.¹¹

¹⁰ A major report of this report concerns the critical need to use governance to effect a strengthening of otherwise weak internal incentive structures.

¹¹ As conceptualized at the outset, the CADP sought to provide triage that would rationalize the program mix in Central Asia. As a result, the Visiting Nurse Program has emerged as the most important activity in four of the five republics (in Tajikistan, conflict and disaster relief takes precedence). Now that the service has been identified as critical in Kazakhstan, the Kyrgyz Republic, Turkmenistan and Uzbekistan, efforts to enhance the quality of service delivery can be developed as follow-on operations.

SIGNIFICANCE OF AGREEMENT ACTIVITIES

Background

As noted previously, the CADP consisted of two modules, designed to effect changes in existing ONS behavior in two areas: institutional management and financial development.

Results

Anecdotal evidence culled from various evaluations of the program suggest that improvements in performance were, in fact, achieved:

This [the ARC and the Federation] is one of the first non-governmental organizations to have attempted to carry out such comprehensive work on institutional development in Central Asia. Compared to the much easier work environment in Russia and some of the other former Soviet Republics, the five Central Asian Republics contain their own unique and imposing challenges...

When compared to many other training programs sponsored by foreign NGOs in the Central Asian Republics, this one merits special recognition for its unqualified success with the incorporation of innovative teaching techniques in the sessions. Other training programs often encounter resistance and lack of co-operation on the part of trainees in the face of techniques such as role playing, small break-out workshops, individual projects, discussion, and the like. That these techniques worked so effectively, and elicited such categorical enthusiasm from the participants says a great deal in terms of the skill and professionalism of the trainers.

They fulfilled their mandate of offering technical assistance, institutional development and the strengthening of organisational capacities within the time frame set to carry this out. The Central Asian Red Crescent/Red Cross Societies, as indigenous NGOs yet with US partners, perfectly fulfils the criteria set out by the USAID/World Learning Contract. *The training programmes discussed here have made enormous strides towards achieving the long-term goal of institutional self-sufficiency and viability by providing support and assistance to local NGOs.* (Mandel, 1995, Emphasis added).

Anecdotal evidence such as this, however, does not capture the longer-term effects of the program's impact, nor does it address the optimality of resource use. Furthermore, the methodological shortcomings of most of the previous studies of the CADP undermine the credibility of their observations and conclusions. For this reason, this report has sought to incorporate as much data as possible, thereby enhancing the statistical rigor of its methodological foundation. Below, we have analyzed time series data as a means of determining the extent to which the CADP resulted in clear performance improvements within each ONS.

An Evaluation of Time Series Data, 1993-95

This section will analyze the performance of the National Societies of Kazakhstan, the Kyrgyz Republic, Turkmenistan and Uzbekistan. Due to the civil war, Tajikistan is not included, for baseline data was never available and there exists no reasonable means of comparison. For reference, the IAI is attached as Annex A. Each rating is explained in greater detail therein.

Kazakhstan: baseline data (1993)

What follows below is an assessment of the developmental level of the Kazakh Red Cross and Red Crescent Society. The information is drawn from its responses to an institutional self-assessment conducted in early 1993. Where additional information was required, we have relied on notes from assessment missions conducted in 1992 and 1993.

| Function | Sub-Category | Rating | | | |
|----------------------------|---|----------|------------|-----------|------------|
| | | Start-Up | Developing | Cons./Exp | Sustaining |
| A. Governance | A1. Board | X | | | |
| | A2. Mission | | X | | |
| | A3. Constituency | | X | | |
| | A4. Leadership | X | | | |
| B. Operations & Management | B1. Management of Info Systems | X | | | |
| | B2. Administration | | X | | |
| | B3. Personnel | | X | | |
| | B4. Planning | | X | | |
| | B5. Program Management Development | X | | | |
| | B6. Procedure Development | | X | | |
| C. Human Resources | C1. Staff Roles | | X | | |
| | C2. Work Organization | | X | | |
| | C3. Perf Mgmt /Staff Dev | | X | | |
| | C4. Salary Administration | X | | | |
| | C5. Team Development/ Conflict Resolution | X | | | |

| | | | | | |
|------------------------|--|---|---|--|--|
| | C6. Internal Communication | X | | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | X | | | |
| | D2. Budgeting | X | | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/External Financial Review | X | | | |
| | D5. Fund Management | X | | | |
| | D6. Resource Base | X | | | |
| | D7. Legal Status | | X | | |
| E. Service Delivery | E1. Sectoral Expertise | | X | | |
| | E2. Community Ownership | X | | | |
| | E3. Impact Assessment | X | | | |
| | E4. Program Management and Development | X | | | |
| F. External | F1. Public Relations | | X | | |
| | F2. Constituency Relations | X | | | |
| | F3. Government Collaboration | | X | | |
| | F4. NGO Collaboration | X | | | |
| | F5. Local Resources | X | | | |

Although it had been in operation for nearly seventy years, the Kazakh ONS largely resembled a start-up organization. Much of this reflected the fact that sudden independence and the imperative of survival in a rapidly changing, often incomprehensible environment had caught the National Society by surprise. In addition, many of the practices, procedures and standards that had characterized the National Society's operations for the previous seventy years were suddenly rendered inappropriate given the new context. As such, while many of these procedures and practices may have evolved and gained both legitimacy and support over time, their applicability effectively vanished overnight, placing the ONS in the difficult position of being both Kazakhstan's most developed nongovernmental agency and one of the organizations least prepared to manage the transition.

This perception is reinforced by the ossified, Soviet-era leadership. There were, in 1992-93,

a very limited number of decisionmakers, and most important decisions were made at the top, without much input from below. Procedures had been developed during the Soviet period and became, almost overnight, wholly antiquated. More alarming, because of the leadership's inertia in responding to sudden change, the National Society lost its preferential tax status, due largely to poor relations with the government and an inability to make a case for the continuation of this status. Although the government-ONS relationship quickly began to evolve in late 1992, it was still very much a top-down one. The National Society, accustomed to serving as a transmission belt for the Ministry of Health, was slow to reformulate its relationship with the Kazakh government. Furthermore, given its traditional reliance on the government for funding (through direct contributions and mandated donations), the loss of its tax status and the economic collapse in the republic effectively wiped out the organization's resource base, necessitating dramatic service cuts.

A final note regarding service delivery is also required. Although the National Society continued to provide urgently needed assistance to myriad beneficiaries, its *de facto* monopoly on, for example, the provision of home care was no longer to be taken for granted. Thus, faced with a collapsing resource base and an ossified management structure, reliance on traditional lines of service as a *raison d'être* was no longer a guaranteed survival strategy. Furthermore, if the Russian case was any example, the Visiting Nurse Service--the National Society's core service--would face competition from state and non-state agencies. Service delivery and quality would subsequently have to improve. Yet years of near-total state domination had undermined the public support for the organization, contributing to a negative image among a number of elements of society. Service delivery would have to continue and improve, despite macroeconomic and other challenges, if this image was to improve. Without a positive public image, the development of a sustainable resource base will be extremely difficult.

Kazakhstan (1995)

Three years later, the Kazakh Red Cross and Red Crescent Society has made several improvements and is somewhat further along the developmental continuum. Evaluation indicators are as follows:

| Function | Sub-Category | Rating | | | |
|---------------|------------------|----------|------------|-----------|------------|
| | | Start-Up | Developing | Cons./Exp | Sustaining |
| A. Governance | A1. Board | | X | | |
| | A2. Mission | | X | | |
| | A3. Constituency | | X | | |
| | A4. Leadership | | X | | |

| | | | | | |
|------------------------------|-------------------------------------|---|---|---|--|
| B. Operations and Management | B1. Management of Info Systems | | X | | |
| | B2. Administration | | X | | |
| | B3. Personnel | | X | | |
| | B4. Planning | | | X | |
| | B5. Program Mgmt Development | X | | | |
| | B6. Development of Procedures | X | | | |
| C. Human Resources | C1. Staff Roles | X | | | |
| | C2. Work Organization | | X | | |
| | C3. Performance Mgmt/Staff Dev | X | | | |
| | C4. Salary Administration | | X | | |
| | C5. Team Dev/Conflict Resolution | X | | | |
| | C6. Internal Communication | | X | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | | X | | |
| | D2. Budgeting | | X | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/External Financial Review | | X | | |
| | D5. Fund Management | | X | | |
| | D6. Resource Base | | X | | |
| | D7. Legal Status | X | | | |
| E. Service Delivery | E1. Sectoral Expertise | | X | | |
| | E2. Community Ownership | | X | | |
| | E3. Impact Assessment | X | | | |
| | E4. Program Management/Development | | X | | |
| F. External | F1. Public Relations | | X | | |
| | F2. Constituency Relations | | X | | |

| | | | | |
|------------------------------|--|---|---|--|
| F3. Government Collaboration | | X | | |
| F4. NGO Collaboration | | | X | |
| F5. Local Resources | | X | | |

Based on this data set, it is clear that the Kazakh National Society has made some progress towards sustainability. However, the data must be adjusted to control for external phenomena that may have lessened or exaggerated the impact of the CADP.

Although improvements in the governance of the National Society are clearly evident at the program's completion, to a significant extent these have resulted less from the program itself than from simple attrition.² Much of the ossified leadership inherited from the Soviet Alliance has left the organization, allowing some changes in management to take place. Upon the death of Secretary General Konakbaev in late 1993, the National Society selected Dr Erkebek Argymbaev as its leader. A former deputy Minister of Health with ties to the Nazarbaev government, Dr Argymbaev had previously participated in a USAID-sponsored exchange. He has worked very effectively to reintroduce the National Society to both the government and the public at large. For this reason, the National Society has made considerable progress in moving along the development continuum. Much work remains nevertheless.

Daily operations remain something of a mixed bag for the National Society. At the local and regional level, the National Society has shown considerable improvements in its ability to leverage local resources. Personnel interviewed by the ARC Project Manager in mid-1994 stated that although conditions remained extremely difficult, they had been able to find support from local governments and businesses. Many stated that the small bit of information on fundraising contained in the SRC module had been useful, but that more was needed. They looked forward to additional training in this area.

The primary service of the KzRCS was identified as its visiting nurse service. This service provides basic medical and social services to isolated elderly, invalids and pensioners who cannot obtain these services on their own. The nursing service, a traditional component of Soviet (and pre-revolutionary Russian) Red Cross work, was after 1933 funded entirely by the state. After 1991, however, state funding evaporated but the National Society was still expected to provide the service. Due to funding cuts, the service has been reduced sharply, and many nurses have left for better-paying jobs in other sectors.

Because of the prominence of the service within the portfolio of the KzRCS, most local committees have devoted most of their resources to its continued support. The strategic planning component of the SRC module has resulted in lists of priorities in which the nursing service is the overwhelming priority, and most fundraising efforts have been organized around this service.

As a result of the Central Asian Development Program, the KzRCS has achieved the following with regard to this service:

- The identification of the Visiting Nurse Program as the single most important priority of the National Society at both national and local levels;
- The identification of a need to market the program through news stories in the print and broadcast media, as well as through basic advertising; and
- The development of basic links between service delivery and fundraising at the local level, thereby linking services delivered within the community to local financial and in-kind support.

Although each of these achievements is rather rudimentary, they demonstrate considerable improvement in the operations of the society, particularly at the local level. They represent a slow but steady decentralization of both policy setting and fundraising as a result of the SRC module. Most importantly, because this service is the most important to the National Society, its role as a model during the application of skills acquired from the module training serves to reinforce the real-world utility of the curriculum.

Kyrgyz Republic (baseline)

The information that follows is drawn from an institutional self-assessment conducted by the National Society in 1992-93.

| Function | Sub-Category | Rating | | | |
|-------------------------------|--|----------|----------------|-----------|------------|
| | | Start-Up | Developin g | Cons./Exp | Sustaining |
| A. Governance | A1. Board | X | | | |
| | A2. Mission | X | | | |
| | A3. Constituency | X | | | |
| | A4. Leadership | X | | | |
| B. Operations & Management | B1. Management of Info Systems | X | | | |
| | B2. Administration | | X | | |
| | B3. Personnel | X | | | |
| | B4. Planning | X | | | |
| | B5. Program Management and Development | X | | | |
| | B6. Development of Procedures | | X | | |

| | | | | | |
|------------------------|--|---|---|---|--|
| C. Human Resources | C1. Staff Roles | | X | | |
| | C2. Work Organization | X | | | |
| | C3. Performance Mgmt/Staff Dev | | X | | |
| | C4. Salary Administration | X | | | |
| | C5. Team Development Conflict Resolution | X | | | |
| | C6. Internal Communciation | X | | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | X | | | |
| | D2. Budgeting | X | | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/ External Financial Review | X | | | |
| | D5. Fund Management | X | | | |
| | D6. Resource Base | X | | | |
| | D7. Legal Status | | | X | |
| E. Service Delivery | E1. Sectoral Expertise | | X | | |
| | E2. Community Ownership | X | | | |
| | E3. Impact Assessment | X | | | |
| | E4. Program Management/ Development | X | | | |
| F. External Relations | F1. Public Relations | | | X | |
| | F2. Constituency Relations | | X | | |
| | F3. Government Collaboration | | X | | |
| | F4. NGO Collaboration | X | | | |
| | F5. Local Resources | | X | | |

The pathologies that had characterized the Kazakh National Society were very much in evidence in the Kyrgyz Republic. The suddenness of unexpected independence caught the National

Society largely off guard. Moreover, the Kyrgyz economy was one of the weakest in the region, largely devoid of the valuable natural resources like gas and oil that would serve to cushion the shocks in Uzbekistan, Kazakhstan and Turkmenistan. As a consequence, the National Society found itself in perhaps a more difficult environment than its regional counterparts (Tajikistan, the obvious exception).

Yet the leadership in the Kyrgyz Red Crescent at the time was among the most rigidly centralized in the region, and largely unprepared for the challenges that would face the National Society. Most operations, as well as human and financial resource management practices, were entirely inappropriate for the new environment. Weak governance, combined with, at best, a mediocre image, undermined ties to the community. Despite a strong legal status, the National Society also suffered from a very lopsided relationship with its government.

The continued absence of preferential tax status, however, remains very worrisome. Without such status, the ONS continues to pay heavy taxes, and there exists no financial inducement to support the nongovernmental sector nationally. Nonetheless, the national society has continued its fundraising efforts, holding a Christmas fundraising concert; several more are planned on national holidays. A mail fund appeal to embassies and foreign businesses in Kazakhstan has continued. Plans to reorganize the structure of the Society to make it more cost efficient and to establish business enterprises such as bakeries and drug stores to generate income are being developed. The ARC is working with the national society to explore income generating options.

Kyrgyz Republic (1995)

Three years later, the Kyrgyz Red Crescent Society has made several improvements and is further along the developmental continuum. Evaluation indicators are as follows:

| Function | Sub-Category | Rating | | | |
|----------------------------|--------------------------------|----------|------------|-----------|------------|
| | | Start-Up | Developing | Cons./Exp | Sustaining |
| A. Governance | A1. Board | | X | | |
| | A2. Mission | | X | | |
| | A3. Constituency | X | | | |
| | A4. Leadership | X | | | |
| B. Operations & Management | B1. Management of Info Systems | X | | | |
| | B2. Administration | | X | | |
| | B3. Personnel | | X | | |
| | B4. Planning | | | X | |

| | | | | | |
|------------------------|--------------------------------------|---|---|---|--|
| | B5. Program Mgmt/Development | X | | | |
| | B6. Devel of Procedures | | X | | |
| C. Human Resources | C1. Staff Roles | X | | | |
| | C2. Work Organization | | X | | |
| | C3. Performance Mgmt/Staff Dev | X | | | |
| | C4. Salary Administration | | X | | |
| | C5. Team Dev/Conflict Resolution | X | | | |
| | C6. Internal Communication | | X | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | | X | | |
| | D2. Budgeting | | X | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/ External Financial Review | | X | | |
| | D5. Fund Management | | X | | |
| | D6. Resource Base | | X | | |
| | D7. Legal Status | | X | | |
| E. Service Delivery | E1. Sectoral Expertise | | X | | |
| | E2. Community Ownership | | X | | |
| | E3. Impact Assessment | X | | | |
| | E4. Program Management/ Development | | X | | |
| F. External Relations | F1. Public Relations | | X | | |
| | F2. Constituency Relations | X | | | |
| | F3. Government Collaboration | | | X | |
| | F4. NGO Collaboration | | | X | |
| | F5. Local Resources | | X | | |

Led by Dr Raissa Ibraimova, the KgRCS appeared in 1992 totally confused and overwhelmed by the transition. At the national level, Dr Ibraimova still maintains close contact with the Ministries of Social Protection and Welfare, thus gaining access to valuable information about vulnerability (to a considerable extent, this facilitated the development of the USDA-funded ARC Social Welfare Support Program). Nevertheless, the National Society does not possess yet the skills necessary to utilize this information. By mid-1994 training had had some impact at the national level, particularly in terms of the establishment of national priorities. As in Kazakhstan, the Visiting Nurse Program emerged as the chief priority.

By the end of 1995, the Kyrgyz Red Crescent had opened a home for elderly people, a drug store, and a shoe repair shop as income generating activities. One *oblast* has been able to achieve a self-financing status from these activities and fund 10 staff in its Visiting Nurses Program. The KgRCS has developed plans to open used clothing stores, open other pharmacies in large *oblasty*, establish a wholesale syringe business, and initiate an ambulance service. The ONS was able to double their income from FY 1993 to FY 1994, but, due to inflation, this represents no increase in real spending power.

Overall, the Kyrgyz Red Crescent has made some improvements, particularly in terms of loosening the stranglehold of Bishkek over the National Society's activities. The development of greater horizontal communication, and the fact that planning is now viewed as a society-wide activity suggests that the National Society has turned an important corner. Of critical importance, however, will be the follow-on activities, and how they build on and reinforce the decentralization of vulnerability assessment and planning.

The National Society has expressed considerable interest in pursuing some sort of revenue generation activity on a national scale, through the broader development of initiatives like the drug store and the shoe repair shop. It is critical at this stage that any income generation initiative reinforce core principles, and not be allowed to divert attention away from key service priorities. In addition, initiatives should be designed to ensure that market-driven efficiency incentives are replicated throughout the organization, not merely the income generating component.

Turkmenistan (baseline)

In early 1992, the ARC and the Turkmen Red Crescent collaborated on two bilateral operations. The first, a \$4.2 million pharmaceutical operation funded by USAID, was designed to respond to the supply-side shock experienced by the Turkmen health sector in the wake of the collapse of interrepublican trade following the USSR's demise. The second, a \$14 million feeding program funded by USDA, provided an opportunity for the ARC and the ONS to collaborate on a comprehensive relief project. This led directly to improvements in beneficiary targeting, logistics, program management and relations with the government. By late 1992, the ONS had classified itself as follows:

| | | |
|--|--|--------|
| | | Rating |
|--|--|--------|

| Function | Sub-Category | Start-Up | Developing | Cons./Exp | Sustaining |
|----------------------------|--------------------------------------|----------|------------|-----------|------------|
| A. Governance | A1. Board | X | | | |
| | A2. Mission | | X | | |
| | A3. Constituency | | X | | |
| | A4. Leadership | X | | | |
| B. Operations & Management | B1. Management of Info Systems | X | | | |
| | B2. Administration | | X | | |
| | B3. Personnel | | | X | |
| | B4. Planning | X | | | |
| | B5. Program Mgmt/ Development | | X | | |
| | B6. Development of Procedures | | X | | |
| C. Human Resources | C1. Staff Roles | | X | | |
| | C2. Work Organization | | X | | |
| | C3. Performance Mgmt/Staff Dev | | X | | |
| | C4. Salary Administration | | X | | |
| | C5. Team Dev/Conflict Resolution | | X | | |
| | C6. Internal Communications | X | | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | X | | | |
| | D2. Budgeting | X | | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/ External Financial Review | X | | | |
| | D5. Fund Management | X | | | |
| | D6. Resource Base | | X | | |
| | D7. Legal Status | | | X | |
| E. Service Delivery | E1. Sectoral Expertise | | X | | |
| | E2. Community Ownership | X | | | |

| | | | | | |
|-----------------------|--|---|---|---|--|
| | E3. Impact Assessment | X | | | |
| | E4. Program Management and Development | | X | | |
| F. External Relations | F1. Public Relations | | | X | |
| | F2. Constituency Relations | | X | | |
| | F3. Government Collaboration | | | X | |
| | F4. NGO Collaboration | | | X | |
| | F5. Local Resources | | X | | |

The Turkmen ONS showed several comparative advantages when contrasted with its regional counterparts. Several of these were attributable to the leadership, Secretary General Zhura K. Ellieva. Ellieva had been instrumental in effecting necessary changes during the USDA-funded ARC bilateral feeding program. Many of these changes, particularly in terms of personnel selection and management, as well as public relations, have been critical elements of the development of the ONS since 1992. Additionally, the ties between the ONS and the community were already comparatively strong, based on the nationwide targeting done prior to the USDA operation. This had led, by late 1992, to dramatically improved public support for the ONS.

Nevertheless, the governance structure remained very underdeveloped, and there existed no mechanism through which the community could voice its interests. The absence of a board drawn from key external stakeholders is indicative of the extent to which Soviet-era practices still characterized the Turkmen Red Crescent. This phenomenon was also clearly visible in daily operations and management, human resources, financial resource management and service delivery.

Turkmenistan (1995)

By the end of the program in August 1995, the Turkmen Red Crescent had made several improvements, and was further along the continuum towards sustainability:

| Function | Sub-Category | Rating | | | |
|---------------|------------------|----------|------------|-----------|------------|
| | | Start-Up | Developing | Cons./Exp | Sustaining |
| A. Governance | A1. Board | | X | | |
| | A2. Mission | | X | | |
| | A3. Constituency | | X | | |
| | A4. Leadership | | X | | |

| | | | | | |
|----------------------------|--------------------------------------|---|---|---|--|
| B. Operations & Management | B1. Management of Info Systems | X | | | |
| | B2. Administration | | X | | |
| | B3. Personnel | | X | | |
| | B4. Planning | | | X | |
| | B5. Program Mgmt Development | | X | | |
| | B6. Development of Procedures | X | | | |
| C. Human Resources | C1. Staff Roles | X | | | |
| | C2. Work Organization | | X | | |
| | C3. Performance Mgmt/Staff Dev | X | | | |
| | C4. Salary Administration | | X | | |
| | C5. Team Dev/Conflict Resolution | | X | | |
| | C6. Internal Communication | | X | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | | X | | |
| | D2. Budgeting | | X | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/ External Financial Review | | X | | |
| | D5. Fund Management | | X | | |
| | D6. Resource Base | | X | | |
| | D7. Legal Status | | | X | |
| E. Service Delivery | E1. Sectoral Expertise | | X | | |
| | E2. Community Ownership | | X | | |
| | E3. Impact Assessment | X | | | |
| | E4. Program Mgmt Development | | X | | |
| F. External Relations | F1. Public Relations | | | X | |

| | | | | |
|------------------------------|--|---|---|--|
| F2. Constituency Relations | | X | | |
| F3. Government Collaboration | | X | | |
| F4. NGO Collaboration | | | X | |
| F5. Local Resources | | X | | |

A great deal of improvement was visible in the society's governance. Although a board, as defined in Western terms, still did not exist, steps had been taken to improve constituency representation in the society's strategic planning and management. Through savvy public relations, including but not limited to favorable press coverage, the image of the ONS continued to improve, reinforcing ongoing improvements in general constituency relations and community ownership.

Nevertheless, efficiency gains in operations and management, human resource management and financial management followed the general regional trend of lagging behind other changes. In Turkmenistan, this trend was compounded by unique governmental controls on currency holdings, financial transfers and other relevant transactions. The Niyazov government's "Decade of Prosperity" has, in effect, reinforced several Soviet-era practices and has made it more difficult for the leadership to improve performance. Although currency and exchange rate regulations have hardened budget constraints, they have also limited the social and commercial space available to the ONS. It is, as a consequence, somewhat unclear how best to work within the framework imposed by the Niyazov government's domestic economic policies. Overall, Turkmenistan represents a case where both internal and external incentive structures remain very weak.

The ONS has demonstrated a continued willingness to improve performance, despite structural challenges imposed by government policies. For example, using its own funds, the ONS bought material and sewed blankets to stockpile emergency materials for disaster victims. In January 1995, the TrRCS arranged with the Ministry of Public Education to initiate a course on the history of the Red Cross and International Humanitarian Law in the public schools using volunteer instructors. It opened a charity house to provide food and clothing and medical services to ten elderly people. Although its limited resources prevent expanding such services to broader segments of the population, this program, when combined with ongoing outreach and public relations efforts, has helped to reinforce the image of the national society as an effective provider of social services. In a similar vein, it has initiated charity canteens to provide lunches to the elderly on low pensions.

In terms of resource development, the ONS has used its tax-exempt status to start some income generating enterprises, including a parking lot, and to solicit business enterprises. Much remains unclear regarding the domestic economic environment, but both the ARC and IFRC are working with the national society to explore some income generation projects, including microenterprise.

Uzbekistan (baseline)

The Uzbek Red Crescent Society was one of the most developed national societies in Central Asia, owing, at least in part, to the historical dominance of the region by the Uzbeks. The Uzbek RCS emerged from the wreckage of the Soviet alliance as the most important and, arguably, best prepared of the five ONSs in Central Asia. The results of its 1992 self-assessment are as follows:

| Function | Sub-Category | Rating | | | |
|----------------------------|--------------------------------------|----------|------------|-----------|------------|
| | | Start-Up | Developing | Cons./Exp | Sustaining |
| A. Governance | A1. Board | X | | | |
| | A2. Mission | | X | | |
| | A3. Constituency | | X | | |
| | A4. Leadership | X | | | |
| B. Operations & Management | B1. Management of Info Systems | X | | | |
| | B2. Administration | | X | | |
| | B3. Personnel | | X | | |
| | B4. Planning | X | | | |
| | B5. Program Mgmt Development | | X | | |
| | B6. Development of Procedures | | X | | |
| C. Human Resources | C1. Staff Roles | | X | | |
| | C2. Work Organization | | X | | |
| | C3. Performance Mgmt/Staff Dev | | X | | |
| | C4. Salary Administration | | X | | |
| | C5. Team Dev/Conflict Resolution | X | | | |
| | C6. Internal Communication | | X | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | | X | | |
| | D2. Budgeting | X | | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/ External Financial Review | X | | | |
| | D5. Fund Management | X | | | |

| | | | | | |
|-----------------------|------------------------------|---|---|---|--|
| | D6. Resource Base | X | | | |
| | D7. Legal Status | | | X | |
| E. Service Delivery | E1. Sectoral Expertise | | X | | |
| | E2. Community Ownership | X | | | |
| | E3. Impact Assessment | X | | | |
| | E4. Program Mgmt/Development | X | | | |
| F. External Relations | F1. Public Relations | | | X | |
| | F2. Constituency Relations | | X | | |
| | F3. Government Collaboration | | X | | |
| | F4. NGO Collaboration | | X | | |
| | F5. Local Resources | X | | | |

Regional trends in management and governance are replicated in Uzbekistan, as well as the general Soviet-era practices common throughout the former USSR. Nevertheless, the URCS displayed a more cohesive national structure, with a comparatively superior grasp of the ONS's financial situation. Approaches to challenges posed by independence tended to be more centered in service delivery and ties to beneficiary needs. This is an important phenomenon that was reinforced throughout the duration of the CADP.

Uzbekistan (1995)

| Function | Sub-Category | Rating | | | |
|----------------------------|--------------------------------|----------|------------|-----------|------------|
| | | Start-Up | Developing | Cons./Exp | Sustaining |
| A. Governance | A1. Board | | X | | |
| | A2. Mission | | X | | |
| | A3. Constituency | | X | | |
| | A4. Leadership | X | | | |
| B. Operations & Management | B1. Management of Info Systems | | X | | |
| | B2. Administration | | X | | |
| | B3. Personnel | | X | | |
| | B4. Planning | | | X | |

| | | | | | |
|------------------------|--------------------------------------|---|---|---|---|
| | B5. Program Mgmt Development | | X | | |
| | B6. Development of Procedures | X | | | |
| C. Human Resources | C1. Staff Roles | | X | | |
| | C2. Work Organization | | X | | |
| | C3. Performance Mgmt/Staff Dev | X | | | |
| | C4. Salary Administration | | X | | |
| | C5. Team Dev/Conflict Resolution | X | | | |
| | C6. Internal Communication | | X | | |
| | C7. Diversity | | X | | |
| D. Financial Resources | D1. Accounting | | | X | |
| | D2. Budgeting | | X | | |
| | D3. Financial Control | | X | | |
| | D4. Audit/ External Financial Review | | X | | |
| | D5. Fund Management | | X | | |
| | D6. Resource Base | | X | | |
| | D7. Legal Status | | | X | |
| E. Service Delivery | E1. Sectoral Expertise | | | X | |
| | E2. Community Ownership | | X | | |
| | E3. Impact Assessment | X | | | |
| | E4. Program Mgmt Development | | X | | |
| F. External Relations | F1. Public Relations | | | X | |
| | F2. Constituency Relations | | | X | |
| | F3. Government Collaboration | | | X | |
| | F4. NGO Collaboration | | | | X |
| | F5. Local Resources | | | X | |

Even as early as mid-1994, the URCS stood alone as the most advanced and developed National

Society in the region, both at the national and local level. During a mid-term mission to Central Asia by the ARC Project Manager, the most impressive observations came in the Andizhan *oblast'* in the Fergana Valley. The region, characterized by declining industrial dinosaurs, dreadful environmental conditions, and enormous family sizes, had been devastated by the collapse of the USSR. Nevertheless, the local Red Crescent committee has undertaken a number of important activities designed to meet local needs. Moreover, most activities were self-financed through local fundraising activities.

Family size in the city of Andizhan averages just over five; in the rural areas it is nearly twelve. The local committee, entirely on its own, immediately saw a link between family size and poverty and set out to take some action. The committee has begun an outreach program providing basic information in family planning. Since Andizhan is a very traditional region, the committee provided information to men and women separately, hiring male staff members to disseminate this information in factories and other places of work. The program received financial support from the local government and local enterprises and was implemented with the support of local Muslim religious leaders.

The local committee also developed its own basic first aid instruction materials and began providing first aid training in factories and enterprises on a fee-for-service basis, charging enterprises for the training. Money generated through this process has been used to finance the visiting nurse program. Thus, the local committee has succeeded in the following:

- The identification of a market for a service or product, in this case the dreadfully high rate of workplace accidents in the former USSR and the subsequent need for first aid training;
- The development of materials designed specifically for this market;
- The introduction of fee-for-service products into the community, thus generating operating funds for the Red Crescent; and
- The utilization of funds from one high-income service to support another less-profitable service.

At the national level, the URCS continues to enjoy autonomy almost inconceivable in Uzbek society. At a meeting with the Ministry of Health, Secretary General Oktamkhon Vakhidova emphasized that independence was imperative for the national society. The Minister of Health responded by stating that based on the Fundamental Principles of the International Red Cross and Red Crescent Movement, the government did not feel that it could tell the national society how to conduct its business. It is testament to the success of Uzbek RC dissemination activities.

Perhaps most impressive was the fact that when offered an entire hospital by the government, Vakhidova declined, stating that the operation of hospitals was not a priority of the national society and that it possessed neither the finances nor the knowledge necessary to operate such a

facility. The management and planning components of the SRC module had clearly taken root in Uzbekistan.

By the end of the program, the URCS had made considerable progress in its resource development efforts. The National Society held a national fundraising drive in December 1994 with support from the Cabinet of Ministers in the form of a Special Resolution. By appealing to business enterprises and targeted individuals, the URCS raised UZS 4,921,000 (approximately 196,840 USD). A national lottery, in which seven million tickets were sold did not generate much income, however, due to inflation and the length of time that elapsed from the printing to the sale of the tickets.

The URCS restructured its Visiting Nurses Program to improve cost efficiency and enhance service effectiveness by opening a pilot "Medical/Social Center" in March in a highly populated, low income housing project where there are no medical centers within walking distance. The initial goal was to provide medical assistance to 360 elderly persons. Similarly, in the course of the National Society's outreach work, it identified 22 children, aged 10 to 14, suffering from cerebral palsy who were not attending school and whose families were not receiving government subsidies. In response, the the URCS assisted the families in completing the application for assistance and started a school for the children in the Center using volunteer teachers.

The ONS bought material and sewed blankets to stockpile emergency materials for disaster victims. In January, the society arranged with the Ministry of Public Education to initiate a course on the history of the Red Cross and International Humanitarian Law in the public schools using volunteer instructors. A charity house was opened to provide food and clothing and medical services to ten elderly people, and charity canteens were created to provide lunches to the elderly on low pensions. The ONS has used its tax-exempt status to start some income generating enterprises and to solicit business enterprises.

Some Notes on Tajikistan

Although baseline and end-of-project data is unavailable, some anecdotal evidence suggests that general trends in CADP-induced performance have been replicated in Tajikistan. The Tajik Red Crescent Society has held a meeting of National Society leadership and adopted a work plan for 1995. It has drafted appeal letters to businesses, individuals and embassies and held 156 fundraising events in 1994 (no breakdown is available yet for 1995) including television marathons, fairs, exhibits, and use of additional holidays for fundraising. It succeeded in raising 203 million rubles in 1994, compared with 19 million rubles in 1993.¹² In conjunction with the ARC development delegate, the ONS used developed a disaster appeal and was successful in obtaining \$7,000 from the Iranian Red Crescent, as well as tents and blankets valued at \$2,600, from the Netherlands Red Cross.

The national society provided disaster relief to over 32,000 disaster victims in 1994 and has been

¹² No information was given on inflation and its impact on real spending power.

highly praised by the Tajik government for its disaster work. Despite dreadful socioeconomic conditions in the country, the national society has involved youth volunteers in its Visiting Nurses Program and has initiated a 16 hour curriculum in the schools related to this activity. Youth have been targeted as a priority program focus. To this end, a contract with the Ministry of Education concerning youth education has been drafted and is being discussed.

Some General Observations

Staff knowledge and skills

A total of 487 ONS mid-level staff attended the 20 week-long seminars for an average attendance level of 24 participants per seminar. The following table shows the total number of participants attending all four seminars and the average attendance by each ONS:

| ONS | Total Participants All 4 Seminars | Average No. Participants |
|--------------|-----------------------------------|--------------------------|
| Turkmenistan | 92 | 23 |
| Uzbekistan | 106 | 27 |
| Kazakhstan | 110 | 28 |
| Kyrgyzstan | 92 | 23 |
| Tajikistan | 87 | 22 |

Although every attempt was made to ensure that the same participants attended all four seminars, the rate of staff turnover made this impossible. As new staff assumed leadership positions at the *oblast'* level, they were invited to attend the seminars.

There were homework exercises to be completed by the participants during the three to four month gap between the seminars and these became a good indicator of the learning that had taken place. Although the Swedish RC instructors had given an assignment at the end of their seminar (Module 2) to be completed and discussed during the Finnish RC seminar (Module 1), only a few participants in each ONS completed the assignment. They had been asked to make a plan of action for a certain programme or operation and develop a budget for it. The author of this report was not present when the Swedish RC gave the assignment and can not comment upon how well it was understood or accepted by the participants. However, during the Finnish RC seminar (Module 1) when the class was asked to present their homework, very few (one to three persons per ONS) had completed the assignment. The reason for the poor response is unknown--the assignment may not have been clear, or was insufficiently challenging. Alternately, it may have been that in the absence of a Regional Development Delegate during the intervening months, the participants were unsure whether or not the seminars would continue, and momentum was lost.

At the end of the Finnish RC seminar (Module 1), participants again were given homework that consisted of planning and executing a fundraising campaign. At two conferences, the Development Delegate reminded the regional leaderships of the importance of the homework assignment and followed up with a memo to each ONS asking for a report on how many *oblasty* had completed the assignment. During the Finnish RC seminar (Module 2) both the Regional Development Delegate and the instructors were pleased with the high number of participants that had successfully completed this assignment - only a few participants in each ONS had not completed a task that was more difficult than the homework assigned by the Swedish RC.

The decision-making environment that the participants had been party to prior to the initiation of the CADP merits special mention. During the initial visits to Oblast offices by the Regional development Delegate, it was noted that the Central Committee Chairperson dominated the sessions and answered any questions directed to the potential participants. This had been the norm for decision-making during the Soviet period. Decision-making and budgeting were centralized in Moscow, and the role of the *oblast* staff was simply to carry out the orders from above, with little or no input. With the collapse of this system and the emergence of five independent National Societies, the authority to make decisions and dispense funds became the sole prerogative of the Central Committee Chairperson. One of the primary aims of the seminars was to promote a more transparent and participatory form of decision-making within the ONS with the identification of priority services and target groups taking place both at the service delivery and national headquarters levels. Sections of the Swedish and Finnish RC seminars dealt with these issues of strategic planning, needs assessment and programme development, as well as the fundraising efforts needed to fund the service delivery.

In her evaluation report, Dr. Ruth Mandel commented:

Many trainees enthusiastically commented on how for the most part they were treated with dignity and respect...that this was the first such experience they had with training where they and their opinions were taken seriously and were treated on an equal level.

Group discussions, role plays and small group work was a radical departure from their former learning experiences and demonstrated how they could work together effectively as equals.

In Dr. Berkowitz's evaluation report, he states of the Kyrgyz participants that he interviewed that:

...all the participants had attended all the training sessions offered to date, and, based on the interviews, clearly had retained knowledge of the content of the material, by displaying a strong knowledge of strategic planning, methods of working in groups and developing financial development ideas. Furthermore, I was impressed by the participants' further dissemination of the content of the training materials with other staff who were not selected for the training.

It must nonetheless be emphasized that, to a not inconsiderable extent, each chair was presented with a *fait accompli*. Insofar as economic shock forced *oblast* committees to innovate and raise funds directly, there appears to have been a *de facto* decentralization, a phenomenon that seemed ultimately to reinforce several of the key concepts included in the CADP.

Recruitment of volunteers

Under the Alliance, Red Cross "volunteers" were defined and primarily limited to those individuals who were coerced by the state to donate their time to a sanctioned charity organization. In addition, one method of fundraising was to deduct from each individual's salary between 30 and 120 kopeks a year, depending upon an individual's salary. Since during the Soviet period, a single kopek was valued--officially, that is--at just over one U.S. cent, this did not constitute a large sacrifice on the part of the individual. All such contributors of kopeks and labour were considered as "volunteer members" of the Red Cross. As such, the term "volunteer" still carries a strongly negative connotation with the general public. In a discussion with the Turkmenistan Red Crescent Chairperson in November 1994, the Regional Development Delegate was informed that volunteer programming would not be successful in Central Asia due to "backlash" from the public concerning past Alliance practices.

Despite this negative side to their history, ONS participants have been able to make significant progress in the area of volunteer recruitment as a result of the seminars. Dr. Mandel reports that 100% of the Uzbek, Tajik and Turkmen participants reported that they were able to recruit new volunteers as a result of the trainings. For Kazakhstan and Kyrgyzstan, these figures were 75% and 80% respectively.

Although they report progress in the recruitment of this "new" type of volunteer, it is not as easy as in western countries with a cultural history of philanthropy and stable economies and a standard of living that allow individuals the freedom to engage in voluntary activity. Nevertheless, even the Tajik Red Crescent, faced with tremendous exogenous shocks, has been able to recruit and utilize volunteers. As part of a program undertaken in conjunction with the ICRC to disseminate international humanitarian law in Tajikistan, the ONS has recruited several volunteer instructors, and has used them repeatedly. Much of this can be traced to the enhanced image of the organization, as well as the importance of the work being done.

New fundraising efforts

As mentioned earlier, the funding of the former Soviet Alliance of Red Cross Societies came through the government and its levying a tax on all workers. These funds were disbursed from the Central Committee in Moscow to finance those activities they saw as being necessary. With the dissolution of the Alliance, the newly formed ONS of Central Asia found themselves in a very precarious financial situation - having to raise funds on their own, with no developed skills or history and in a weak economic climate with a declining workforce.

Although this segment of the training needs the most redesign work (a significant number of

participants felt that many of the fundraising examples discussed in class were not realistic in light of their culture, economic environment, or capabilities), 100% of the participants in three of the five ONS stated that they had been able to use the fundraising methods they learned in the training. The failure of the training was that only 50% of the participants from Kyrgyzstan and Uzbekistan felt that they were able to make use of this component of the seminars.

Participants were often critical of the appropriateness of the fundraising sections:

They tried to put us in their shoes, but they were the wrong size for us.

We were taught to work in an ideal world--not ours.

...going around the city with collection boxes is not possible here--nor is taking collection boxes to holiday celebrations.

We had the impression that the trainers did not understand our economic situation and our mentality...Our emerging business people earn money for their own pocket--not for charity.

...the difference between the situation in their countries [Sweden and Finland] and the situation here is like the difference between Heaven and Earth. For example, their president is involved in Red Cross activities. The president here is not.

Dr. Mandel comments on the social mores that produce this mindset. "In this part of the world, begging, and anything and anyone associated with begging, carries a harsh social and moral stigma. Apparently the trainers strongly had encouraged this method of fundraising, but in the Central Asian context, this method is entirely inappropriate." However, there are reports on file that show that these methods of fundraising can be successful in Central Asia:

The Chairman of the Gorno Badakshan Autonomous Oblast, in the Pamir Mountains of Tajikistan--an area that has suffered severe economic problems due to the recent civil war - has recently reported great financial success using youth volunteers in a door-to-door collection campaign for the Red Crescent.

While it is not known if the Red Crescent suffered any moral stigma by using methods, similar to the Finnish RC collection boxes, the important fact is that these participants were successful in finding a way to obtain the support of their President and make the collection box fundraising method work in their culture. With more seminar time allowed for discussion of how to adapt western fundraising events to the Central Asian reality, this critical element of the project would be more successful. Other examples of new fundraising activities initiated by the participants as a result of the seminars are found on pages 27 and 33-34 of Dr. Mandel's report.

Enhancing the image of the ONS

The poor public image of the newly formed National Societies, discussed in 3.2.2, is an area in which the participants reported the greatest success: 100% of those attending from Kyrgyzstan, Uzbekistan, Tajikistan and Turkmenistan and approximately 87% of Kazakhstan participants stated that they carried out public relations activities as a result of the training.

At all of the Finnish RC seminars, the ONS invited the media - television, radio and newspaper reporters - to observe the training and interview the instructors and the Regional Development Delegate. Copies were made of several videos depicting Red Cross activities around the world and shown during the 40 minute time block donated by the Uzbek national television station to the Uzbekistan Red Crescent Society.

While a longitudinal public opinion poll would need to be conducted to demonstrate the degree of success realised from their public relations activities, the number and variety of their efforts is a distinct improvement over the past.

Development of new service projects

In the late 1960's, the decision was made through the Central Committee in Moscow to co-operate with the Ministries of Health in establishing a Red Cross visiting nurses program to provide basic health care and home services, such as shopping and cleaning, to home-bound invalids and the single elderly. Over the next three decades, the program became the primary activity of the Alliance in Central Asia. In 1992 more than 3,000 nurses were active in this program across Central Asia. During 1993 and 1994 the Federation, through a donation from the Swedish RC, funded the salaries for this activity. However, in January 1995 this funding ceased and the programme became dependent upon the fundraising efforts of the ONS. As a result, less than 1,000 nurses remain in this program today.¹³

Other service activities provided at a lesser level by the ONS were in the areas of disaster relief and ad hoc services, usually in the form of money, clothing, and/or food, to poor, large families and other vulnerable populations.

With an rapidly declining funding base, a poor public image, few active volunteers, and a paid staff limited in planning and programming skills, it comes as no surprise that this element of the seminars produced the least results over the last 12 months. Participant responses to the query of specific projects initiated as a result of the trainings ranged from a low in Kyrgyzstan of 50% to a high in Tajikistan of 100%. Responses of participants from Uzbekistan, Kazakhstan and Turkmenistan were 85, 75, and 72% respectively.

¹³ The initial decision to support the VNP throughout the former USSR was taken almost immediately after the dissolution of the Alliance. The absence, however, of any strategy for effecting a gradual transition to self-financing appears, with the benefit of hindsight, to have been a colossal error. Swedish funding simply prolonged the inevitable, and left the ONSs of the former USSR no better prepared for the transition than before.

The true measure of success in this area is probably not how many new activities have been initiated, but rather how well they assess existing needs, prioritise their programmes and perform services . This has been reinforced in strategic planning exercises with the Chairpersons during regional conferences and with Oblast leaders during both the Swedish and Finnish RC seminars. One respondent reported:

....as a result of the training they now have a much more realistic set of projects. Prior to the training courses, they had a list of fifty measures they wanted to pursue. After the course, they realised they needed to focus their energy, and they have narrowed that list down to three main projects.

CONCLUSIONS

Few programs in ARC history have been so widely reviewed and evaluated. Nevertheless, to date a combination of methodological and other flaws have undermined the utility and credibility of many of the studies. Berkowitz and Mandel, for example, were focused largely on participant reaction, and thus may have missed several important qualitative phenomena. Persson, et al, relied less on evaluation methodology and more on basic reporting format. As a result, there is a distinct absence of evaluation parameters, and no real effort to compare output with stated objectives. A similar criticism may be made of Biergegard, et al. Overly ambitious and methodologically suspect, Biergegard, et al, succeed in identifying some problematic phenomena but fail completely to place them in the proper explanatory context.

Thus, this report seeks to compare stated objectives with programmatic output. Through an analysis of time-series data from 1993 and 1995, it is possible to gauge improvement, and to determine the extent to which this program was inherent in that process. Additionally, by placing quantifiable output indicators in the broader context of the programs macro-level objectives, it is possible to determine overall success or failure. Using this approach, we may conclude that the CADP did, in fact, help to effect some modest positive changes in each republic's National Society, although myriad exogenous phenomena have limited this process. Tremendous work remains, but the process has begun, and each National Society is today possessed of a better understanding of its mission and role in its respective country. Nevertheless, the lessons to be drawn from this project clearly suggest that a much more focused approach is required, particularly if the optimality of resource use is to be ensured.

In placing the time-series data in context, it is possible to establish a series of factors which may have had an impact on the overall impact of the project on each ONS. We have divided these factors into two categories. The first involves those phenomena which are related to or may have impacted the project's design. These include the methodological approach and specificity. The second category includes those phenomena which may have affected the project's implementation. These include principal-agency loss, intervening and/or confounding phenomena, and competing priorities which may have served as disincentives to performance.

Design:

Unlike other ARC programs, this project design was not written in the logical framework, or any other similar template, and thus does not feature easily identifiable and/or quantifiable success criteria. Rather than focus on the transition from a specific set of inputs to a subsequent set of outputs, the program proposal and agreement are maddeningly vague. Although World Learning tried to rectify this late in the implementation period through the introduction of a revised set of reporting requirements, it was too little, too late. Thus, although we have been able to identify a set of indicators and to establish a means of evaluating them over time, they remain highly vulnerable to qualitative error. Nevertheless, with this caveat in mind, it is still possible to examine the program's overall impact within narrow context.

The Methodological Approach

Underlying the CADP was a fundamental assumption that short-term, replicable training, reinforced through an exchange program, would be sufficient to help each ONS manage the difficult socioeconomic transitions that lay ahead. This capacity-building program thus took as its point of departure a subsequent assumption that each ONS was, in fact, a partner NGO, with appropriately designed services and products that merely required enhanced capacities. Almost immediately upon the commencement of project-related activities, this assumption began to unravel. In a letter to World Learning in mid-1992, the American Red Cross and the Federation expressed their belief that certain structural attributes of the Red Cross Movement were less advantageous than previously believed:

The ARC, unlike many other PVOs and NGOs in the United States, has a counterpart organization in nearly every country around the world. The existence of such relationships gives the American Red Cross a unique advantage when undertaking a relief or development program in another country. For example, because there already exists at least a rudimentary organizational structure, programs can be designed rather easily, according to need.

Recent field experience has shown, however, that the converse is also true. For, although a number of benefits accrue from these relationships, there exist certain disadvantages as well. In the case of this capacity-building program, we have found that the leaderships (distinct from the rank and file) of some of the Central Asian Red Crescent Societies do not share our interpretation of their needs. Yet because of these preexisting relationships, the American Red Cross and the Federation are compelled to work with them.

With the benefit of hindsight, this was the first signal that a major design flaw had been built into the program. At the same time, however, it remained unclear to what extent the project would be hampered by the observed phenomenon.

As work progressed on the CADP and its constituent training programs, the Federation was concurrently producing the framework for its ID program. Beginning in early 1994, efforts were undertaken to integrate its core into the curriculum developed by the SRC for its institutional development and leadership module. Of particular importance in the Federation's ID program was its model of a "Well Functioning National Society." This model was envisioned as a reference against which to gauge development levels within an ONS and to identify areas in need of development assistance. Although this model places considerable emphasis on governance and sustainability, in the form ultimately included in the CADP it did not provide sufficient guidance on how to translate often abstract concepts into tangible action steps.

Because the ID program's vision of a "Well-Functioning National Society" was never fully integrated into the program, it was introduced largely as a tangential reference, rather than as a means to an end. This, too, served to limit the program's effectiveness and to reinforce the

dilemma identified in the 1992 letter. In general, the methodological approach that underlies the CADP can, in retrospect, be shown to have been flawed because it did not address satisfactorily the issues of sustainability and vertical integration of the training. Interviews with participants cited in Mandel and Berkowitz suggest that although many participants welcomed the material, they received it passively. There is little evidence to suggest that material in the courses ever translated into anything other than haphazard, individual behavioral changes. Macrolevel program strategies and policy practices remained largely unchanged.¹⁴

This rather dramatic failure to effect significant changes in institutional performance is, nevertheless, easily explained. Because the fundamental assumption underlying this program linked causally a series of short-term training programs with macro-level institutional adjustment and, subsequently, improved ONS performance, the program itself was too narrowly conceived. Above all else, the system of internal incentives that had been in place throughout the Soviet period remained in effect. Training, by itself, had no measurable impact on the incentive structure.

With the benefit of hindsight, we can now state rather confidently that the region's national societies, like most of their counterparts in the developing world, resemble less the indigenous partner organizations of most western PVOs than they do the myriad state-owned enterprises (SOEs) that litter the economic landscape of much of the developing world. The often ambiguous demarcating line between government and ONS, particularly in the post-socialist countries, very closely approximates the similarly fuzzy relationship between state and state-owned enterprise.

In the Soviet Union, the Alliance had been largely subsumed by the Ministry of Health so that by the late 1960s and beyond it had come to serve a political or, more appropriately, public policy function. The majority of operating revenue was generated through a *de facto* state tax on salaries, further eroding the independence required by the Fundamental Principles. In effect, the Soviet Alliance was by 1991 an agency of the Ministry of Health, supported with revenue generated by the State, and allowed to perform very basic social services with almost no concern for cost, efficiency or the optimality of resource use.

The problems of SOEs are well-documented.¹⁵ In general, public enterprises tend to be highly

¹⁴ The time-series data captures this particularly well with regard to internal policies. In almost every case, Soviet-era ONS policies on salaries, human resource management, work organization and procedure development remained in effect. To be sure, individual *oblast'* level managers may have altered some policies to positive effect. Nevertheless, the overall ONS-wide impact on policy regimes was largely insignificant.

¹⁵ Cf. The World Bank, *Bureaucrats in Business: The Economics and Politics of Government Ownership*, (New York: Oxford University Press, 1995); and Russell Muir and Joseph P. Suba, *Improving State Enterprise Performance: The Role of Internal and External*

inefficient, and their inefficiency is explicitly linked to political demands. They suffer from indiscipline caused by soft budget constraints¹⁶, an absence of independent, external monitoring (such as is performed by capital markets), a lack of precise objectives, and principal-agency costs.¹⁷ Inefficiency is generally tolerated (as are externalities) if the system provides some sort of social welfare enhancement. In the USSR, the entire economy remained in state control, and most distortionary policies were tolerated, irrespective of marginal cost or the optimality of resource use.

A number of policy options have been developed to combat the pathologies associated with SOE performance. Most notable is divestiture or privatization, in which ownership is transferred from the State (and society as a whole) to the private sector. Privatization is the most effective means of hardening the budget constraint, because it immediately forces the firm to ensure its own survival through growth. In effect, *external* incentives are used to enhance performance. In cases where outright divestiture is not an option, corporatization has been effective in improving firm performance by altering the *internal* incentive structure. By dramatically altering internal governance, incentives to performance can be enhanced significantly. Finally, in cases where privatization and corporatization are not appropriate options, the creation and deployment of competition surrogates can be used to improve internal performance. In general, competition surrogates create and apply external pressure on firms or agencies when there is no economic competition (eg. monopolies, government agencies, QUANGOs). In particular, clients, beneficiaries, suppliers, financial institutions and regulators can demand increased performance as a precondition for continued support or business. The use of competition surrogates parallels conditionality in aid decisions.¹⁸

Incentives, (Washington, DC: The World Bank, 1995).

¹⁶ The hardness or softness of the budget constraint is determined by two factors: survival and growth. First, the budget constraint is soft if the the state routinely ensures a firm's survival, irrespective of performance, through such means as subsidies, soft credits, prolongation of due credit repayment, or the toleration of hidden price increases. Second, the constraint is soft if the growth the of the firm is not tied to its present and future financial situation. The firm survives even when investment entails grave losses. See Janos Kornai, "'Hard' and 'Soft' Budget Constraint," *Acta Oeconomica*, Vol. 25 (1980), pp. 231-245.

¹⁷ This refers to situation in the theory of the firm in which the interests of managers and owners diverge. The principle (ie the shareholder) has interests in the performance of the firm but appoints his agent (i.e. the manager) to act in his place. The principle cannot fully control what the agent does; this often leads to the above problem. In cases where the risk of ownership is dispersed over a wide area--in state-owned enterprises, ownership is spread across the society as a whole--this problem is particularly acute, resulting in tremendous principal-agency losses.

¹⁸ See Arturo Israel, *Institutional Development: Incentives to Performance*, (Washington, DC: The World Bank, 1987), pp. 89-92.

When the Alliance was dissolved on the heels of the Soviet Union's largely unforeseen demise, there emerged 15 operating national societies newly independent of Moscow, but still wholly reliant upon governmental largesse for their continued financial viability. Yet at the same time, each of the newly independent governments was confronted with the need for, if not outright economic reform, dramatic reductions in spending. Resources were, they soon learned, rather scarce, and their continued misuse could no longer be tolerated. The health sector, which had been largely ignored in central investment planning decisions for more than a decade, was particularly hard hit. The necessity of budget cuts saw each ONS quickly rendered independent and, not soon thereafter, nearly insolvent. The collapse of the USSR and the subsequent dissolution of the Alliance were, in effect, *de facto* divestitures, but without the concomitant preparations for the process, or for life thereafter. Instead, each ONS emerged simultaneously independent and wholly unprepared for independence.

Consequently, by the time the CADP was written, each ONS was struggling desperately to survive. The sudden loss of most of their financial support immediately hardened their budget constraints. This shock, with its concurrent performance impacts, was to be shortlived, however, for the Federation and other donor societies soon softened the constraints again. Unconditional financial support for the Visiting Nurse Service of each ONS perpetuated cost ineffective practices. That this was a disincentive to improve performance is not disputed (it is discussed in greater detail below). However, the removal of hard budget constraints, particularly in the absence of conditionality, simply perpetuated Soviet-era practices of management, resource use and service delivery. Against this backdrop, the program's two training modules could not have been expected to achieve a great deal.

Indeed, nothing in the CADP made it an appropriate interim mechanism to prepare each ONS for independence and self-sufficiency. Resource development modules were, for example, introduced into structures largely unprepared to accept them. The long-term financial viability of any community-based organization depends on its ability to tie its programs, services or products to community needs and desires. Yet each of the organizations remained a *de facto* SOE, with few, if indeed any, financial ties to the community. Without these ties, or boards that represented them, each ONS remained free to do as it saw fit, particularly in the absence of the controlling effects of hard budget constraints. As a result, a key external performance incentive was removed. Although the RD module emphasized ties to the community, the incentives for each ONS to improve performance remained inconsequential. A recent World Bank policy discussion paper characterized this phenomenon as follows:

In the case of SOEs...the residual risk is borne by the population as a whole which in turn has no ready vehicle for either controlling the enterprise or for divesting its ownership rights. In these circumstances, the incentives to perform efficiently are weakened since residual gains or losses are not borne in full by the local, municipal or national authority which owns the enterprise but by the

population at large.¹⁹

The resource development options included in the FRC module capture the full magnitude of the dilemma. On one level, participants complained because the modules were not obviously applicable to transitional economies. But on another, broader level, the module itself was unable to achieve any real impact because there existed no internal or external incentives to improve overall performance. Although some branches may have teetered on the brink of insolvency, headquarters in each republic did little to alter their performance.

Thus, a major conclusion to be drawn from the CADP is that capacity-building operations cannot be sustainable without simultaneous improvements in institutional performance. These improvements will only be possible if the incentive structures of each ONS can be reformed. The problems traditionally associated with SOEs--a lack of precise objectives, soft budget constraints, and principal-agency losses--are clearly evident in the ONSs of Central Asia. As a consequence, efforts to address this performance should parallel similar attempts to improve SOE performance. A series of internal and external incentive structures needs to be established to ensure better ONS performance. In cases where divestiture is not an option (or when divestiture is merely a *de facto* process), corporatization is the most important means of addressing the problem of agency costs. A broad representation of the organization's community and customers is far more likely to reduce risk and control operations than is society as a whole. Externally, immediate attempts to harden budget constraints, possibly through conditional assistance, need to be undertaken. In addition, whenever possible, steps should be taken to encourage competition in service markets, or at least to create competition surrogates.²⁰

Sectoral Specificity

The record of SOEs in improving their performance remains mixed. Success has generally only come in cases in which the enterprise has seen its budget constraints harden and its objectives clarified. Through privatization or, at the very least, corporatization, many SOEs have seen their controls tightened and their budget constraints hardened. Objectives, particularly in cases in which the SOE performs a politically or socially useful function, often remain rather murky. This phenomenon, in turn, leads to ambiguities of performance appraisal. As a result, SOE performance that could be classified poor from an economic viewpoint is often classified as good from a noneconomic, mission-driven perspective.²¹

¹⁹ Muir and Saba, *Improving State Enterprise Performance*, p. 8.

²⁰ With regard to the former, this objective succeeds in placing pressure on both state and non-state actors to improve market performance, thus improving social welfare. However, in cases characterized by imperfect competition, market failure or general economic decline, competition may not be viable. This is discussed in greater detail below.

²¹ This phenomenon is not unique to SOEs and is, in fact, a frequently noted characteristic in nonprofit organizations in the U.S. See, for example, Philip Kotler and Alan

Much of the reason for this dilemma may be traced to what many economists have termed specificity. Specificity, according to Israel, is defined in terms of two groups of elements: (1) the extent to which it is possible to specify for a particular set of objectives to be attained, the methods of achieving those objectives, and the ways of controlling achievement and rewarding staff; and (2) the effects of the activity--their intensity, how long it takes for them to become apparent, the number of people and other activities affected, and the practical possibilities of tracing the effects.²² Thus, the higher the specificity, the more intense, immediate, identifiable and focused will be the effects of the activity in question. Conversely, the lower the degree of specificity, the less identifiable and more delayed and diffuse will be those effects.

Industrial and technology-specific activities tend to be those that are more easily identified and are subsequently defined as high specificity. In contrast, activities in the health, education and social welfare sectors--the very sectors in which the majority of Red Cross and Red Crescent activities are conducted worldwide--are defined as low specificity. In general, low specificity activities offer very weak incentives and permit a wide latitude in terms of job definition and the degree of freedom left to staff. Above all, a lack of specificity makes the management of an activity far more complex and difficult.

The activities that comprised the CADP were designed to effect change in what were essentially low-specificity sectors. Throughout the developing world, SOEs and other institutions engaged in activities of low specificity generally have few incentives to perform efficiently and tend to hide behind claims of non-quantifiable social welfare gains. Those that would challenge these claims must produce evidence, a notoriously difficult task in environments characterized by monopolies, imperfect competition and information asymmetries. Meanwhile, governments have consistently poured additional resources into these SOEs, accepting, in effect, myriad efficiency losses in exchange for the achievement of some broader political objective. In the Soviet Union, universal, free health care was one such objective. The Soviet Red Cross was an important component of the health care system.

As discussed above, even after the Alliance's 1992 dissolution, the five ONSs of Central Asia remained largely dependent upon governmental direction, despite the loss of much of their financial support. Furthermore, since concurrent relief operations served to soften budget constraints again, each ONS remained a *de facto* component of the public health system. Aside from the obvious necessity of continued financial viability, the overarching priority for each organization was the continued delivery of services to its traditional beneficiaries (as defined by the Ministries of Health or Social Protection), as well as new groups rendered vulnerable by the economic transition. External assistance provided through the Federation and its members, as

Andreasen, *Strategic Marketing for Nonprofit Organizations* (New York: Prentice Hall, 1991); and John M. Bryson, *Strategic Planning for Public and Nonprofit Organizations*, (San Francisco, CA: Jossey-Bass, 1988).

²² Israel, *Institutional Development*, pp. 4-5.

well as their donor governments served to support the near-term expansion of service delivery. Although this external support blunted the impact of hardened budget constraints and other external incentives, it did allow each ONS to provide important services during a critical period in each republic. At the same time, however, it revealed once again a major problem of public and non-profit sector operations: low specificity.

In discussing the challenges of institutional adjustment in such low-specificity sectors as health, education and the social services, Klitgaard has concluded that

part of the problem is the nature of the outputs and production processes in the public sector. In many cases, "products" are hard to measure and, if they have aspects of public goods, hard to charge a price for...For these and other reasons, it will often be more difficult to improve internal structures of information and incentives in public agencies compared with private agencies. Institutional economics predict "weak" incentive systems, long-term employment contracts or understandings, merits based on credentials but not on performance, and a "process culture."²³

Again, the critical issue is shown to be the system of incentives. Yet in situations in which it is difficult to gauge impact, performance appraisal becomes a subjective exercise, and incentives are difficult to create.

How then can institutional development programs within this context be designed to control for exceptionally low levels of specificity? A reasonable point of departure would appear, in retrospect, to be the achievement of consensus regarding what is necessary to ensure improved performance. Such an approach, however, all too often falls prey to cultural defenses that reject arguments for structural or managerial improvements on the grounds that the approach in question does not "take into account" the sociocultural uniqueness of a given environment. Subsequently, approaches ranging from the provision of resources ("they have legitimacy but lack capacity") to the provision of respect ("cultural attributes of indigenous institutions make them autonomous from material causality") are offered as possible compromises.²⁴ These approaches, however, fail to address the two critical issues facing ONSs in the developing world: incentives and information.

As discussed above, an ONS very closely approximates the behavior of an SOE. The absence

²³ Robert Klitgaard, *Institutional Adjustment and Adjusting to Institutions*, (Washington, DC: The World Bank, 1995), p. 4. This assessment is reflected in much of the literature on PVO and public organizational management.

²⁴ This latter argument has been described as "a *cri du coeur* from noneconomists and nongovernmental organizations vis-a-vis economists, quantitative approaches and large, formal institutions." See Klitgaard, *Institutional Adjustment and Adjusting to Institutions*, p. 9.

of appropriate, effective incentive structures prevents SOEs from making the correct decisions regarding programs, resource use and the deployment of personnel. This phenomenon is, of course, made worse by the low degree of specificity of the activities undertaken by each ONS. Long accepted as given, ONS programs such as the Visiting Nurse Program are seldom, if ever, evaluated to determine impact, appropriateness or the optimality of resource use. Without such information, it is impossible to determine or evaluate performance over time. Perhaps more alarmingly, the absence of such information can undermine the commitment of an ONS to a program. Weak commitment can be expected when achievement is hard to measure and hence poor performance is not easily detected. Achievements will not be apparent for a long time and hence offer little immediate political or bureaucratic gain.²⁵ Thus, in an environment characterized by weak incentive structures, low specificity will tend to retard progress and innovation still further.

Institutional development, as conceptualized in the SRC and FRC modules, presupposes that an adjustment of existing institutional relationships and practices will, in turn, effect performance improvements. Yet the services supplied by the targeted institutions are in low-specificity sectors and therefore tend to resist incentives. More importantly, the approach taken in the CADP was based on andragogical learning, and provided existing staff with a basic introduction to a whole series of topics. Nothing in the training modules addressed the issue of specificity. They therefore may have reinforced the belief that current operations were appropriate. In essence, the CADP sought to enhance capacity, irrespective of the appropriateness or desirability of that capacity. At no time was an effort made to capture the effects of current capacity.

Since low-specificity activities are generally impossible to quantify and measure, even over time, they tend to resist incentives altogether. This phenomenon is substantially worse where incentive structures are weak. Within the context of the CADP, there was no mechanism to control for low-specificity and to integrate incentives and controls into the operations of each ONS. Consequently, the training modules served as little more than basic instructions on a series of subjects relevant to ONS activity. Subject matter was not reinforced programmatically (indeed, it may have been undermined, a subject discussed below). Finally, since the very process of institutional development is a low specificity activity that takes time to show results, it is unlikely that sufficient buy-in took place to ensure any degree of sustainability.

Implementation

In addition to the two critical design flaws noted above, a series of problems plagued the program's implementation, further reducing impact and undermining the program's intended messages. The first of these problems is essentially a principal-agency loss problem, in which the project's myriad owners had insufficient control over their managing agents in the field. The second problem was one of confounding and intervening phenomena which served at times to accelerate or retard the impact of the CADP, thus distorting its impact. Directly related to this

²⁵ Israel, *Institutional Development*, p. 141.

is the third problem, that of disincentives. In some cases, relief projects underway in the region served to reinforce old behaviors, effectively becoming disincentives to improved performance. Finally, because of the difficulty in coordinating four different donors with different agendas and reporting requirements, information did not flow properly, inhibiting the analysis of budgeted and actual expenditures. Thus, at the program's conclusion, it appears that the program was tremendously expensive, suggesting, based on the rather meager results, that resources were not maximized.

The Principal-Agency Loss Problem

The CADP was driven by a \$500,000 grant from USAID, through World Learning. This support was contingent upon a match of at least \$167,000, to be provided through the Federation and its membership. As conceived initially, the national societies selected to provide the training modules would provide part of the match. The rest would be provided by the Federation.

As a result of having so many agencies involved in the financing of the operation, ownership was spread, albeit unevenly, across a wide spectrum. Furthermore, since each of the participating agencies had to satisfy its own internal and external reporting requirements, each of the program's owners brought with it not only its own unique demands but often a different conception of what constituted success. In effect, there emerged a situation in which four different owners, each with a slightly different conception of the overall programmatic objective, were simultaneously trying to utilize the same field staff to satisfy what were, at times, divergent goals.

The field delegate, supplied and financed by ARC, served as the Federation's Development Delegate in Central Asia and was therefore responsible for all development activities in the region, not merely the CADP. As the manager of development activities, his primary responsibility was to ensure that said activities were coordinated, and that they proceeded according to an appropriate timetable. Thus, his agenda would, at times, diverge from those of the four agencies with ownership stakes in the operation.

As a result of this principal-agency loss problem, it was difficult for any of the four owners to correct problems in mid-course. In their final report, the SRC laments that,

the program never found a clear organizational and management framework. Roles and responsibilities were not clear. The program could probably better be described as a collection of bilateral projects or activities more or less loosely connected. This phenomenon characterized the program throughout its implementation. The absence of a managerial control resulted in slow or no action when such was suggested by feedback. For example, when reports suggested that some of the Finnish trainers were not up to standards, no action was taken.

Thus, despite the fact that a problem had been identified, the diffusion of ownership control had created a situation in which there was no basic mechanism to ensure mid-course adjustments could be effected.

Future programs will need to vest ownership and management more clearly in a single location. If this is not possible due to multiple donors, a much more clear set of operational guidelines and objectives will have to be established from the outset. Without such a framework, resources will continue to be wasted, and programmatic impact will be blunted.

Intervening and Confounding Phenomena

The time-series data included above suggests that some improvements were, in fact, achieved in each of the four ONSs for which a complete data set is available. What this data does not capture, however, are other phenomena that may have accelerated or retarded the effects of the ID and RD modules. In some cases, concurrent relief operations placed pressure on some of the ONSs to streamline their operations in logistics, reporting and beneficiary identification. In other cases, these same operations may have retarded the CADP's effects.

This observation is reinforced by a number of the evaluations conducted during the life of the project. The SRC, in its final report, concluded that

Apart from sufficient practical support, there emerged among Swedish facilitators a sense that the program was an isolated effort, not fully integrated into Federation activities in the region. There was no attempt to integrate, through a specific regional strategy, the program in a fashion that would have catalyzed the development of the National Societies. There was no connection between the training program and other Federation operations in the region, a fact that served to isolate the development initiative from ongoing relief activities. Thus, efforts to realize returns from the relief-development continuum were sub-optimal.

Although there were some beneficial impacts that were derived from concurrent relief operations, the program did appear to be isolated within the regional portfolio. Since the relief-development continuum was largely bypassed, many of the messages of the training were never reinforced programmatically. As a result, they remained little more than messages. Without programmatic or operational reinforcement, the applicability of new approaches was never obvious. Thus, although most participants enjoyed the training courses and found the material stimulating, there was little opportunity to apply it in day-to-day operations.

Since most concurrent operations were providing some form of humanitarian assistance, there were some positive impacts, as well. Each ONS had a list of core beneficiaries that remained in effect from the Soviet period. When the USSR collapsed, however, the demand for social services exploded, necessitating the identification of new beneficiaries. This process, supported by Federation relief delegates, actually reinforced some of the curricular components of the SRC module. As a result, most of the region's ONSs are better prepared to identify their most critical beneficiaries.

Nevertheless, the failure to integrate the CADP more fully into the regional portfolio did serve to undermine many of the messages involved. Alarming, those areas that were likely retarded

by concurrent operations are those that deal most obviously with information flows and incentives, the very essence of behavioral and institutional change. Those areas that were accelerated tended to be more technical components of relief operations, the capacities that could be enhanced without dramatically altering the existing organization. Thus, the CADP effectively helped each ONS to identify more effectively its beneficiary base. It did little, however, to improve resource use or management in such a way as to guarantee that this growing base of beneficiaries would, in fact, receive assistance.

Because of the intervening and confounding influences of concurrent operations, the CADP was only effective in areas that were comparatively uncontroversial, those that did not challenge existing power structures and bureaucratic relationships. Only through a more effective integration of institutional development into concurrent operations will this phenomenon be altered. As a result, an important priority for the ARC in the design of future operations should be the integration of a complete set of developmental activities into all relief activities.

Disincentives

Related to the problem of intervening and confounding variables is the problem of disincentives. As discussed above, one of the most effective means to improve performance is the creation of new internal and external incentive structures. Means to do so include the hardening of budget constraints, improvements in the governance structures and the use of competition surrogates. We have seen that the CADP did not include components that addressed the issue of incentives effectively. What is more distressing, however, is that during the CADP's implementation, some concurrent activities actually served as disincentives to performance.

The blame for this stems from the continued priority placed upon short-term relief operations that did not necessarily contain within them an element of sustainability. Two examples are as follows:

- The continued financial support to each national society's Visiting Nurse Program. Because financial support was provided without any emphasis on retraining or programmatic restructuring, most national societies now see the continued receipt of external financing as a major priority, rather than working to make the service self-financing or sustainable. Furthermore, this simply softened the budget constraint, reducing an important incentive.
- The utilization of each national society's network of branch offices as a means to distribute large quantities of donated pharmaceuticals and medicaments. Field evaluations conducted by the American and British Red Cross societies suggested as early as July 1994 that, at best, such donations comprised just five per cent of any single institution's annual needs. Yet because of the vast amount of work required of each national society in order to effect the distribution, each national society now believes that the continued delivery of pharmaceuticals is the overwhelming priority of its branch structure.

Thus, although the training may have had a positive impact on the national societies, their continued involvement in unsustainable, donor-driven operations has undermined the impact of the SRC

module in clarifying realistic priorities. The unconditional support of the nursing programs softened each ONS's budget constraints at precisely the time that profound questions needed to be asked about long-term sustainability. The dilution of this important external incentive effectively ensured that such questions would not actually be raised. Similarly, the focus of each ONS on the delivery of pharmaceuticals served to divert attention away from more critical issues, such as developing an independent resource base, targeting beneficiaries for community-based programs, or evaluating the current program portfolio.

There has been within the Movement in recent years a great deal of discussion of the relief-to-development continuum, and of the necessity of integrating developmental components into relief activities. The experience of Central Asia suggests that efforts to do so have not been successful. Although the distribution of pharmaceuticals may have contributed to the rehabilitation of the public image of each ONS, the program created a disincentive at precisely the time that better incentive structures were required. In a similar fashion, Swedish financing of the nursing program may have been conceived of as a stopgap measure designed to ensure that the service would not collapse, thus enabling each ONS to continue to provide services during a critical period. Nonetheless, the failure to make such financing conditional upon certain performance improvements ensured that the program served ultimately to reinforce old habits, with not developmental impact.

The isolation of the CADP within the Central Asian program portfolio, and the failure to integrate developmental components into concurrent relief operations effectively placed the CADP on the periphery. Since the relief operations provided the majority of the financing for each ONS, management's attention was largely focused on relief activities. As a consequence, many of the critical components of the CADP curriculum were received passively, with little integration into day-to-day operations. Although there were some improvements in planning, operations were still conducted in the same pre-1992 fashion. Overall, the CADP's impact on institutional performance may be assumed to be comparatively minor.

STAGES OF DEVELOPMENT AND THEIR CHARACTERISTICS

| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
|----------------------|--|--|---|--|
| A. GOVERNANCE | | | | |
| A.1. BOARD | No Board or independent body providing oversight. No differentiation between oversight and management roles. If there is the beginning of an oversight function it may not objectively represent the interests of the community/constituency the NGO serves. No-one is assisting management to connect with and influence public opinion and legislators or raise funds for the NGO. | Board or independent body identified but not yet playing leadership role. Not serving to influence public opinion or legislators and could be attempting to micro-manage NGO rather than provide oversight. Neither properly distanced from community/constituency nor indicating awareness of its needs or role it should play. | Board membership stable, or improving. Differentiating between its role and that of management. Has some members who are leaders in field and has capability in some of the functional areas required but some functions still not performed. Aware of responsibilities in relation to providing oversight and community/constituency representation but has no mechanism in place for regularly and consistently doing so. | Board composition includes leaders in the field of organization's mission as well as those capable of carrying out key roles of provision of policy direction, fund-raising, public relations, and lobbying. Has mechanisms in place for obtaining appropriate input from community/constituency and for monitoring organizational planning and functioning in relation to policy direction. |
| A.2. MISSION | There is a vague idea of the purpose or mission of the NGO and the contribution it is attempting to make. This idea is held by only one or a few people at either the senior management or Board level. There may be activities conducted by members of the NGO which seem to have little relationship to the mission as it is understood. | The mission or purpose may be clarified internally, but not widely known by public. Staff may perform functions that support the mission but there is no systematic annual planning or design of job functions based on the mission and the strategies to achieve it. | The vision and mission are clear to staff, constituents and outsiders and strategies and objectives are in alignment with them. Operational planning may be conducted by senior management and linked to the budgeting process but with little input from staff or constituents. | The vision of the future which the NGO is working to achieve and the specific mission or purpose of the NGO whereby it will achieve that vision are clear to staff, constituents and outsiders. The strategies are in alignment with the mission and take the form of statements as to how it will be achieved. They are also realistic in the environmental context and readily translate into a set of clear program objectives. |

ANNEX A

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| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
|-----------------------------|---|---|---|--|
| A. GOVERNANCE, Cont. | | | | |
| A.3. CONSTITUENCY | Links with community/constituency/members weak. They may be viewed by the NGO as the worthy but passive beneficiaries of the services or benefits of the NGO rather than as potential partners. The idea of serving as an advocate for this group may be lacking. | Outreach to constituency/community/members improving but primarily on a needs-to-know or ad hoc basis. Certain influential members of the community/constituency may be consulted and/or invited to participate in some decisions because of growing recognition that they are representative of a constituency that has a stake in the outcome of the NGO's endeavors. Some awareness of the possible role of the NGO as an advocate for the community/constituency and the need for legislative and institutional supports to sustain the improvements within it. | Well defined community base and constituency, and needs and views of community/constituency are considered in planning and decision-making. NGO involved in lobbying and other advocacy functions on behalf of the community/constituency if those are selected strategic directions. Community/constituency seen as important stakeholders to be consulted but efforts to institutionalize self-help capacities at their level are still sporadic. | Well-defined community base and constituency regularly involved in review of organization mission and strategies. Recognition of community/constituency as partners, and support to the institutionalization of community structures and capacities in planning and decision-making. Regular survey of community/constituency needs with results integrated into planning process. Full scale advocacy and lobbying functions if they are strategic directions the NGO has selected. |
| A.4. LEADERSHIP | Within the NGO there is a single or few dynamic individual(s) controlling most functions. Staff provide technical input primarily and are often guided to their understanding of work requirements only by instruction from management. Often this guidance is not accompanied by a clear articulation of the NGO's purpose or clarification of the relationship between the individual's contribution and the purpose. | Most decisions taken by Board and executive. Some input from one or two staff members. Little general understanding of bases of management decision-making by most staff. Leadership still seen primarily as controlling people to do right through a system of rewards and punishments and/or administering rules and procedures rather than through the provision of meaning and direction to employees and the monitoring of their performance. | Senior management relationship to staff is more consultative and management decisions increasingly delegated to unit managers. Basis for decision-making increasingly understood by all but staff are not systematically involved as working partners where appropriate. Leadership understanding functions are to provide overall direction and monitor performance of different organizational units but is still concerned with control issues. | Board and senior management has clear understanding of roles and responsibilities which includes developing, through the participation of all stakeholders, a clear vision of the outcome or goal of the NGO and clearly and consistently articulating this so as to provide direction to all the concerned. Delegation must provide authority to act along with responsibility, must be developmental as well as for work-sharing purposes, and must characterize senior management decision-making along with transparency. Staff appropriately involved in direction and policy development and not just consulted on occasion. |

| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| B. OPERATIONS AND MANAGEMENT SYSTEMS | | | | |
| B.1. MANAGEMENT OF INFORMATION SYSTEMS | <i>No organization system exists for the collection, analysis or dissemination of data in the NGO. Information is collected randomly and manually.</i> | <i>The rudimentary electronic Management Information System (MIS) in place but not accessible to all staff. Data utilization potential is not understood and computers may be used primarily for word-processing or spreadsheet work.</i> | <i>MIS operational and most staff have access. System is still primarily used for word-processing and book-keeping but individual staff understand data utilization capability and do so on an ad hoc basis. There is no mechanism for comprehensively and regularly integrating MIS generated information into planning processes.</i> | <i>MIS operational and data integrated into operational planning and decision-making. There is improved project planning based on analysis of data provided through the system. The system has the capacity to store and process large amounts of baseline and survey data. Sufficiently sophisticated data analysis capability exists.</i> |
| B.2. ADMINISTRATION | <i>Some informal ways exist for getting things done but they may not be complete or mutually understood. They are not yet formalized by documentation.</i> | <i>Administrative procedures increasingly formalized. Filing, recording systems utilized but not comprehensively. No operating manual.</i> | <i>Administrative systems are functioning. Administrative manual in place although only updated as needed and not accepted as authoritative.</i> | <i>Administrative manual reviewed as part of regular, strategic review process and updated as needed. Accessible, flexible, and utilized by all and considered the arbiter of procedures.</i> |
| B.3. PERSONNEL | <i>There is no formal personnel administration systems such as those to administer salaries and benefits, or to record personnel data. Formal employment procedures do not exist.</i> | <i>Basic personnel administration systems exist but informal employment practices persist. Positions are not advertised externally and there is no common-NGO wide process and procedures for determining the qualifications for employment, recruitment and hiring, and termination.</i> | <i>Virtually all necessary personnel systems are institutionalized. Occasionally informal mechanisms are used and there may be little understanding of the understanding of the strategic value of human resources and the integration of employment and personnel practices with the overall strategic planning process.</i> | <i>Personnel systems understood by all staff and staff opinion of human resource policies and procedures regularly sought. Formal employment practices consistently utilized and reviewed to ensure they are consistent with and support the mission, strategies and policies of the organization.</i> |

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| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| B. OPERATIONS AND MANAGEMENT SYSTEMS, Cont. | | | | |
| B.4. PLANNING | <p>Planning ad hoc, incremental and centralized with limited participation from staff and community/constituent. Decisions made and events planned without reference to the mission of the NGO or the agreed upon strategies to achieve the mission. There may be little assessment of the resources required to conduct the events. One or a few people may make all the decisions and plan events with little explanation to those responsible for implementation.</p> | <p>Annual operating plans are developed and reviewed throughout year primarily by senior staff but without connection to review of previous year, analysis of resource availability or environmental factors. There is little community/constituent and staff input and no review of job functions in relation to the annual plans.</p> | <p>There is strategic planning structured around Mission and short term operating planning conducted primarily by senior management. There may be some input from organizational unit staff and community/constituents but they are not involved in decision-making. There is some organizational unit wide review of work achieved against objectives.</p> | <p>Based on the Mission statement, strategies and program objectives there is a review of previous year achievements and analysis of resource availability. Each organizational unit or team has annual operating plans in alignment with the mission and strategies of the NGO and they are developed with contribution of staff and community/constituents. There is a regular review of long-term plans conducted on basis of comprehensive environmental scan and baseline impact review.</p> |
| B.5. PROGRAM DEVELOPMENT /MANAGEMENT | <p>Program development largely donor or staff-driven and funded and managed on a project-by-project basis. There is either no systematic method for designing, implementing, monitoring and evaluating the impact of project activities or the system used is that of the donor. Quite often the system of the donor is imperfectly understood and administered both incompletely and incorrectly.</p> | <p>Individual projects developed within an overall programmatic framework. Occasional evaluations conducted but usually at request of donor and implemented by outsiders. Constituents/ community involved as recipients of program. Still no comprehensive system for determining the purpose and objectives of program/projects, monitoring the actual implementation against planned activities, and measuring the real achievement and impact of the program/project in relation to that projected.</p> | <p>Particular program approach and comprehensive system utilized. Sometimes this may be the system utilized by the donor or it may be a system developed by the NGO itself. Either way it provides type and form of information required by donor. Monitoring and evaluation conducted by staff. Constituents/community consulted on program design and mobilized for implementation and evaluation.</p> | <p>Constituents/community serve as partners in comprehensive program design, implementation and evaluation. Full integration of monitoring and evaluation system data into monitoring of key indicators and evaluation of impact. Lessons learned from consideration of this information applied to future activities.</p> |

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| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| B. OPERATIONS AND MANAGEMENT SYSTEMS, Cont. | | | | |
| B.6. DEVELOPMENT OF PROCEDURES | Procedures are developed on an ad-hoc and as-needs basis. Staff and constituency members may identify a variety of procedures that are unsatisfactory but no mechanism exists to take note of problems or suggestions and develop procedures or change them. | Attempts made to develop/improve procedures on basis of complaints or suggestions but not systematic collection and utilization of such information. | Regular review and modification of procedures made utilizing staff and external expert input. Procedures codified in manuals and introduced in orientation and training session. | External (Donor/Constituent) and internal (Staff) customer surveys conducted to determine procedural modification requirements. Staff continuously seeking best practice and allowed time and opportunity to make improvements. |

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| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| C. HUMAN RESOURCES | | | | |
| C.1. STAFF ROLES | <p>There is no particular process to determine relationship between the NGO's purpose and objectives, the work that needs to be done to achieve them, and the type and number of human resources required as a result. The roles of existing staff and the assignment of work to them is unclear and changeable. Limited staff fulfill responsibilities beyond their expertise. Some essential tasks not regularly carried out by anyone. There is no documentation of work assignment.</p> | <p>More specific alignment of responsibilities and tasks by senior staff but no comprehensive analysis of full work requirements or review of job functions in relation to strategic or operational plans. Some gaps exist between skill requirements and those of staff. Job descriptions do exist usually based on supervisor's idea of work to be performed.</p> | <p>Jobs well-defined and documented in regularly updated job descriptions or team assignments. All core skill requirements to perform these functions are known and covered by staff. Some human resource planning does take place but still not integrated with performance management and strategic planning processes.</p> | <p>Organization-wide analysis of work requirements conducted and regularly reviewed and updated. Update is linked to planning priorities and there is a clear relationship between the current objectives of the NGO and the functions to be performed by staff. This serves as basis for work design and assignment. All skill areas covered and capacity exists to contract out for other needed skills. Performance is also monitored and decisions about training and promotion are based on needs identified in human resource plan.</p> |
| C.2. WORK ORGANIZATION | <p>Little understanding of necessity to organize work beyond issuing of directives. No mechanisms in place to coordinate work activities of different staff. Little understanding of need or what it means to work as a team.</p> | <p>Work organized by supervisors. Little attention paid to work flow or consciously organizing work beyond work plans. Individual, unit or project work plans developed but not coordinated across functions.</p> | <p>A variety of work methods are utilized. Staff are recognized as being able to make useful suggestions about how their own work should be organized. Team work encouraged and work plans shared across units and work sites.</p> | <p>Teams are self-directed in that they organize own work around clear understanding of organization mission and strategies. They are skilled in, and appropriately use, a variety of techniques and methods. There is a formal mechanism in place for inter-team linkages and cross-team planning, coordination and work review.</p> |
| C.3. PERFORMANCE MANAGEMENT/ STAFF DEVELOPMENT | <p>No assessment of performance conducted and therefore no planning done and carried out to change or improve the performance of individuals through better work planning, training, development and promotion. There is no understanding of the relationship between the management of staff performance and the achievement of NGO purpose and objectives.</p> | <p>Staff evaluation system may exist but not necessarily based on performance of job requirements as documented in job description. Better match between staff position and skill requirements. Resources identified for ad hoc training.</p> | <p>Performance-based appraisal system in place. Performance appraisals consist of review of work performance conducted mutually by employee and supervisor. Staff assigned and promoted according to performance. Staff development needs assessed and training plan exists.</p> | <p>Performance management system functioning to meet needs of human resource plan. Training plans regularly updated according to performance improvement and career development needs of individual and human resource plan of organization. Human resources planning integrated with strategic plan.</p> |

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| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustained Organizations |
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| C. HUMAN RESOURCES, Cont. | | | | |
| C.4. SALARY ADMINISTRATION | No mutually understood system of salary and benefits. Jobs are not classified internally or given comparative value in relation to each other. Salaries are also not determined on the basis of the market value of the work done or the relative levels of performance of individuals or teams. | Salary and benefit system rewards staff according to perceived position in internal hierarchy. Salaries not necessarily competitive with those in external market. | Jobs classified according to internal value system and salaries are based on this classification. Salary increases based on job performance. | Salaries and reward systems sufficiently competitive to attract and retain highly skilled staff. |
| C.5. TEAM DEVELOPMENT/ CONFLICT RESOLUTION | Intra-staff relationships not recognized as a factor that impacts upon the achievement of the NGO's purpose. Conflict is unregulated. There seems to be little awareness of the available practices and techniques for developing organizational capacities. Little understanding of the need to cultivate a positive and enabling work environment. | Focus on individual achievement and little understanding of the value of collaborative work. Inter-personal and intra-group skills viewed as desirable job qualifications but not necessarily as something that can be taught or managed. Supervisors attempt to mediate conflict but mediation techniques and conflict resolution mechanisms regarded as unnecessary or divisive. | Recognition of need to foster collaborative work environment and grievance procedures in place. Supervisors trained in mediation techniques and inter-personal and group functioning training provided on an as-needs basis. | Organization development recognized as a legitimate NGO management function. NGO has policies and methods to develop skills and manage relationships as well as performance. Clear work assignment and team development usually result in higher productivity and fewer conflicts. All staff trained in conflict recognition and resolution techniques. |
| C.6. COMMUNICATIONS | Meetings irregular, dominated by interests of few, do not have pre-determined purpose and agenda, and do not reach concrete conclusions. Staff provide technical input only and are not involved or informed of decisions. No formally recognized lines or mechanisms for intra-NGO communication. | Regular meetings of staff are conducted according to known procedure. Select staff consulted on some decisions. Intra-NGO communication conducted on informal basis. Consciousness developing on part of staff and management that communication breakdowns and overlaps occur. | Communications are open and inter-hierarchical. Staff know how to participate in meetings and are aware of how decisions are made. Mechanisms exist for vertical and horizontal communication and link organizational unit/project structures. | Staff increasingly able to shape the way in which they participate in management. Community/constituents are surveyed for input to management decisions that directly impact them. Double-loop decision-making and planning information gathering processes are well utilized and supported by electronic information systems. |
| C.7. DIVERSITY | Staff and Board not representative of community/constituents on either the basis of ethnicity, gender, class or stakeholder interest. Women are often accorded lower status than men and are not viewed as equal human resources. | There is a consciousness and interest amongst some levels in the value and need for representation of different constituencies but no policy in place. | Policies to diversify Board and staff in place but composition still does not fully reflect that of community/constituents. | Composition of Board and staff fully represents gender, ethnic and religious diversity of community/constituents. Affirmative action policies and procedures utilized and enforced within NGO and are recognized as an essential plank of program policy. |

| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| D. FINANCIAL RESOURCES | | | | |
| D.1. ACCOUNTING | Financial procedures are incomplete. Financial reports are incomplete and difficult to understand. Organization needs to be prodded to produce them. No accounting manual either formal or informal. | Financial reports are clearer but still incomplete and with errors. Usually timely. Basic financial recording system in place. Informal accounting manual. Financial reports format tend to be skewed toward presenting an optimistic picture rather than a reflection of reality. | Financial reports are clear and complete, even as portfolio becomes more complex. Financial reports are timely. | Reports and data system can quickly provide a sense of financial health. Reports are always timely and trusted and feed back into financial planning process. |
| D.2. BUDGETING | Budgets are inadequate or if they do exist are produced because required by donors. Their use as a management tool is not understood, and the reliability of the projections questionable. Budgets are a marketing tool rather than a management tool. | Budgets are developed for project activities, but are often over or underspent by more than 20%. The executive director or accountant are the only staff who know and understand budget information. Budget management and spending authority are highly centralized. The executive director and/or accountant do not delegate responsibility. | Total expenditure is usually within 20% of budget, but actual activity often diverges from budget projections. Department and organizational unit heads are consulted by financial manager(s) about budget planning and expenditures. Delegation of management of project budgets is not necessarily universally applied within the organization. | Budgets are integral part of project management and organizational unit management, and are adjusted as project implementation warrants. Budgeting process is integrated with annual operating planning process. Organizational unit senior staff are responsible for preparation, justification and management of unit/project budgets. |
| D.3. FINANCIAL CONTROL | No clear procedures exist for handling payables and receivables. Stock control is non-existent. Cash management duties are not segregated. Internal control, procurement, and property management procedures are non-existent. Staff timesheets are not prepared. | Financial controls exist but lack systematic office procedure. Cash management duties are only partially segregated. Internal control, procurement and property management procedures are informal and not documented. Staff timesheets are prepared, but not in a timely fashion. | Improved financial and stock control systems exist. Cash management duties are segregated to the extent possible, but the separation is not ideal according to accounting principals. Internal control, procurement and property management procedures are documented and usually adhered to. Staff timesheets are prepared in a timely fashion. | Excellent stock and cash controls for payables and receivables. |
| D.4. AUDIT/ EXTERNAL FINANCIAL REVIEW | Audits or external financial reviews are not performed. Financial records are incomplete precluding the possibility of a complete audit. | Independent audits or external financial reviews are only rarely performed. Financial records are not complete, but sufficient financial data exists for review by an outside audit entity (government or private). Audits are performed no more often than biannually. | Independent audits or external financial reviews are performed frequently, but periodically. Financial records are complete. The institution is beginning to move toward annual audits. | Independent audits or external financial reviews are performed with regular and appropriate frequency. Financial records are complete. The institution has a history of pristine audits. |
| D.5. FUND MANAGEMENT | There is no categorization of accounts and project and operating funds are not separated. There is no clear understanding of the differences between revenues and assets or expenses and liabilities. Method of accounting strictly cash. | Account categories exist and project funds are separated, but some temporary cross-project financing may occur. Method of accounting is in transition from cash to accrual. | Standard procedure is to avoid cross-project financing and most funds are separated. Method of accounting is accrual. | All project funds are separated and adequate controls exist to avoid cross-project financing. |

| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustained Organizations |
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| D. FINANCIAL RESOURCES, Cont. | | | | |
| D.6. RESOURCE BASE | Funds solicited for one short-term project at a time and only come from one source. Little understanding exists of the need for the NGO to eventually become self-supporting financially and local fund-raising for any income is untried or unsuccessful. Project funding is insufficient to meet plans or provide projected services. | NGO can prepare multi-year program budget but still dependent on single or limited donors. Developing awareness of local resource generation possibilities but few funds actually mobilized. Funding is available to cover short-term project costs. | No single source of funding provides more than 60% of funding. Developing a business/funding planning process within the NGO and significant percentage of core costs covered by locally generated resources (membership dues, fees, regular fund-raising, etc). Funding is available for short-term costs, and medium-term funding strategies exist within business/funding plan. | No single source provides more than 40% of funding. Long-term business/ funding plan exists that will result in NGO becoming sufficiently self-supporting so as to be able to continue basic operations if external funding is cut back. All projects have long-term funding plans and current funds are adequate to meet needs of management plan. Basic program delivery can continue even if there is a shortfall in funding that is not self-generated. |
| D.7. LEGAL STATUS | The NGO may or not be legally registered and has not obtained whatever fiduciary and taxation status that local law provides for. Management has not identified affordable and qualified sources of legal, financial and labor management advice. | The NGO is registered as an NGO but not properly integrating expert financial and legal advice into planning and management decisions. Not in compliance with some reporting and labor requirements. | Expert advice is integrated into planning and management systems and the NGO is generally in compliance with reporting, tax and labor requirements. | Expert advice is fully integrated into management decisions and NGO is in full compliance with reporting, tax and labor requirements. NGO delivers service to assist community/ constituency institutions to obtain the same legal status and compliance capacity. |

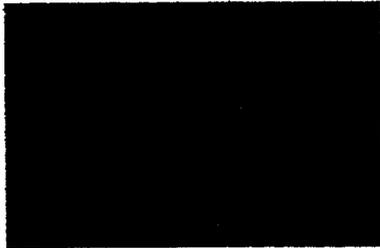
| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| E. SERVICE DELIVERY | | | | |
| E.1. SECTORAL EXPERTISE | NGO has limited track record in sector and area of service delivery but some good ideas about how to meet needs of target community/constituencies. It has little operational experience however and no specific sectoral expertise. | Improved targeting and redefined service/technical assistance package. Growing expertise in sectoral/technical area and ability to access additional expertise in that area when required. | Efficient delivery of appropriate services. Fee-for-service and other cost recovery mechanisms being built in to service delivery process. NGO being recognized as having significant expertise in sectoral/technical area and being invited to contribute to sectoral fora. | NGO is able to adapt program and other service delivery capacities to changing needs of community/constituency and to extend service delivery to additional communities/constituencies. Full recognition as experts in sectoral/technical area and given consultative status in those sectors by government and multi-lateral bodies. |
| E.2. COMMUNITY OWNERSHIP | Agenda/services defined by donors and/or NGO managers not by community/constituency. Input of community/constituency not routinely sought. Institutional capacity building is not envisaged as a possible sustainability objective for community/constituency and training and services are not offered in this area. | Some community/constituency input to defining services is sought but not in a systematic or comprehensive manner. Resources identified for ad hoc training of community/constituency members in program or technical areas but not specifically in project or financial management or other areas that will support institutional capacity building. | Community/constituency regularly surveyed for input to service planning and formal mechanisms exist for community to participate in project/program planning and monitoring activities. Plans exist for transfer of management responsibility to local community/constituency and to provide training and Institutional Development services to build capacities. | Community/constituency equal partners with NGO in defining services to be provided and management of project/programs. Training and ID plans regularly updated according to performance improvement and review of capacity of community/constituency based institutions. |
| E.3. IMPACT ASSESSMENT | NGO does not systematically monitor or evaluate program/project achievements against projected or planned activities. It does not measure overall impact and has not determined impact indicators or established baseline measures of indicators. | Individual projects evaluated to determine if projected activities took place as planned and if specific project objectives were achieved. These objectives may or may not be measurable. | The NGO is aware of the issue of program sustainability and is exploring how to measure impact. There are no overall impact indicators selected and no baseline data available or accessed to provide basis of comparison. | The NGO has overall program goals which include measures to sustain program achievements, including community/constituency based ownership. Measurable indicators of success and impact have been determined for each goal. Studies are conducted or accessed which provide baseline measures and this information is regularly remeasured. |
| E.4. PROGRAM MANAGEMENT (Please refer also to the section on Program in B. Operations and Management systems. That section provides information on the capacity of NGOs to manage the program function.) | | | | |

| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| F. EXTERNAL RELATIONS | | | | |
| F.1. PUBLIC RELATIONS | NGO is little known outside the range of its direct collaborators. There is not a clear image of the NGO articulated and presented to the public. There is no document or prepared statement available which provides information about the NGO. | NGO is known in its own community, but does little to promote its activities with the general public and with key governmental decision makers. There is the understanding that public relations is a management function of an NGO but little understanding of how to conduct public relations. | NGO has limited contact with key decision-makers and has limited lines of communication with public. NGO has clear idea of intent and statement of purpose but has not yet developed this in to full and regularly updated policy platform. | NGO has clear image and message of intent or purpose as well as <i>policy platform</i> . Its work is well known to public and policy makers and it is able to use this to attract support when necessary. Able to engage decision-makers in dialogue on policy and has specific Board and staff members serving this function. |
| F.2. CONSTITUENCY RELATIONS | Work is delivered from an urban center or a headquarters a long distance from the field, or is based on top-down structure. Relationship between NGO and community/constituency can be that of superior to passive beneficiary. There is a limited ability to mobilize participation in its programs because of this geographic or psychological distance from the community/constituency. The agenda of the NGO is largely donor or management driven. | Work is focused on field, and NGO is viewed as ally or protector of community/constituency. Significant credibility is built with target community and with donors interested in same program areas. | From a field project base, community/constituency input is solicited for key decisions. NGO's efforts viewed as services provided to the community/constituency. Community/constituency is seen as client or customer of NGO services with increasing responsibility for providing counterpart resources. | NGO seen as valuable resource by community/constituents. From the field project base, community/constituency's input is integrated into most management considerations. Relationship between NGO and community/constituency is that of full partnership serving common purpose. |
| F.3. GOVERNMENT COLLABORATION | Relations with government is based on a "we," "they," or even inimical perception. There is little collaboration or even joint planning with sectors of government working in same sectors or geographic areas. Little understanding of the advocacy or public policy potential or role of NGO. | Government is no longer seen as the enemy and common interests have been identified. Relations are friendly. Collaboration established with different government groups/projects around specific areas/sectors of activity. | Collaboration is frequent, often on informal level in addition to specific project or sectoral collaboration or contracts that NGO performs for government. Relations are friendly, but imbalanced. | NGO seen as full and credible partner by government. Formal mechanisms, such as government relations officers, consultative status, and lobbying procedures, exist for collaboration and are often used. NGO provides input into policy process on issues related to its program areas. |
| F.4. NGO COLLABORATION | Organization does not have experience working with other NGOs, either local or international. It is not known or trusted by NGO community. Does not try to plan or deliver services in collaboration with other NGOs or see the value of such collaboration. | Organization increasingly known and trusted by NGO community but with little experience with collaboration. | Organization works with international or local NGOs, and participates in NGO networks but has not played a leadership role in promoting NGO coalitions and projects. | NGO plays leadership role in promoting coalitions or projects and in the sponsorship and participation in a formal association of NGOs. Can help resolve NGO-NGO or NGO-Govt. conflict. Is fully integrated into NGO community with formalized group advocacy mechanisms. |

| | Start-up Organizations | Developing Organizations | Expanding/Consolidating Orgs. | Sustaining Organizations |
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| F. EXTERNAL RELATIONS, Cont. | | | | |
| F.5. LOCAL RESOURCES | NGO tends to view the private sector as the "other" and even with suspicion and distrust. It does not work in cooperation with any part of the private sector to draw on human or other resources, technical expertise or leverage. NGO programming has no relationship with local sources of credit or revenue. | Beginnings of local volunteer support in addition to that from the community/constituency. NGO seeks technical assistance from some private sector and government resources. NGO purchases goods and services from private sector and seeks support from service agencies. | NGO draws support from local credit and government agencies but sustaining project results depends on continued support from the NGO and/or external donors. Private sector individuals recruited to serve on Board. | NGO's projects precipitate support from local agencies as contributions to project results and for sustaining the results. Staff member serves as development officer and is fully conversant with private sector donor opportunities. Private sector/NGO collaboration is the norm and NGO is fully integrated as community partner. |

**INSTITUTIONAL DEVELOPMENT TRAINING PROGRAMME IN THE FIVE
CENTRAL ASIAN REPUBLICS 1994**

- FINAL REPORT



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1. Introduction

This document describes the process leading to the implementation of an institutional development training programme in the five Central Asian Republics (Kazakhstan, Kyrgyzstan, Tadjikistan, Turkmenistan and Uzbekistan).

The training programme and its content have been established in co-operation with the five National Red Cross/Crescent Societies in Central Asia, the Federation delegations in Almaty and Moscow and implemented by the Swedish Red Cross through its Folk College. This training programme has been one of the components in the overall Federation development programme in the Former Soviet Union. The Institutional Development Programme had its initial starting point in July 1993 and was implemented during April - October 1994.

2. Background Institutional Development training in the Former Soviet Union

The International Federation of Red Cross and Red Crescent Societies (Federation) established its first delegation in Moscow late 1991. In 1992 the Federation established its regional delegation in Almaty, Kazakhstan.

Since then the Federation has supported programmes throughout the Newly Independent States (NIS) of the former Soviet Union (FSU) in order to make life more tolerable for millions of people vulnerable to the effects of poverty and/or conflict. The Federation has implemented a vital and highly successful emergency programme, bringing essential assistance to sick children in hospitals, the elderly and other vulnerable groups in the 12 Republics* of the FSU.

Crucial to all these efforts is the further development and strengthening of the 12 National Societies (NS) which provide the basic network for the implementation of Red Cross/Red Crescent assistance programmes.

During 1992 the social, political and economic climate in the NIS remain overcast, stormy and precariously unpredictable. The deteriorating economic situation places the populations under increasing strain with vulnerability increasing. The crisis in the availability of medical supplies for institutions is deepening. The worsening economic situation in the NIS has allowed for no recovery in the pharmaceutical manufacturing industry and the lack of hard currency severely limits the purchase of medical supplies outside the NIS. Meanwhile, strategic stocks have become severely/totally depleted.

On March 26, 1992, the Alliance of Red Cross/Red Crescent Societies of the FSU was formally dissolved. This led to the appearance of the 12 new and independent NS.

All 5 NS in the CAR, assisted by the Federation, have taken steps towards gaining recognition by the International Committee of the Red Cross (ICRC) (and subsequent admission to the Federation). At this point Uzbekistan and Turkmenistan have gained recognition by the ICRC whereas Kyrgyzstan, Tadjikistan and Kazakhstan are still awaiting their recognition.

Again the deteriorating economic situation in the NIS is severely hampering the ability of the 12 NS to become self-sufficient. The 12 newly independent NS lack a solid funding base which make it almost impossible to initiate much needed new programmes but also endangers vital existing services such as those provided by the visiting nurses.

*The Russian Federation, Ukraine, Belarus, Moldova, Georgia, Azerbadjan, Armenia, Kazakhstan, Kyrgyzstan, Uzbekistan, Turkmenistan, Tadjikistan.

2.1 Support to National Societies

During 1992 the Federation placed greater emphasis on the development of the 12 National Societies and also employed a Development Delegate in the Regional Delegation (Moscow), whose primary function since then has been to determine the most urgent need of the 12 NS.

In August 1992 Ms. Gillian Whittington, who served as special consultant to the Federation in the NIS, presented her findings and recommendations in the report "Summary and Recommendations on Institutional Development in The Former Soviet Union". (For further information see enclosed "Summary Report and Recommendations on Institutional Development in the Former Soviet Union.")

As a result of this early initiative the Federation pursued a policy that focused on institutional development of the 12 NS. Given the recent origins of the 12 NS, their limited public profile, the lack of a solid funding base and the overall economic climate, the capacity of the 12 NS to implement their own programmes is shown to be severely limited.

Emphasis was therefore placed on capacity building through institutional development rather than the initiation of new programmes/projects. Existing programmes should however be supported.

In times were many of the NS were on the brink of collapse it was not appropriate to think in terms of forming traditional full-scale NS development plans or allocating development delegates to each NS, even if the Federation had sufficient resources to do so.

The development delegate in Moscow should act primarily as a facilitator (in co-ordination with other regional delegations) of the ID programme bringing in short-term technical delegates or PNS to work on specific issues.

The Federation's development initiatives were identified as follows:

- Training and seminars, especially in the areas of fund-raising, public relations and management.
- Dissemination through the provision of information packages, i.e. compilations of RC/RC materials (publications), videos, slides, etc and including VCRs (and screens) and projectors.
- Provision of communications and office equipment, i.e. fax machines, computers, photocopy machines.

Each one of the five Federation delegations in the NIS has primary responsibility for direct development activities in its region. The delegations cover the following regions:

| | |
|------------|--------------------------------|
| Moscow | Russia, Georgia and Azerbadjan |
| Khabarovsk | The Far Eastern area of Russia |
| Kiev | Ukraine, Belarus and Moldova |
| Almaty | Central Asia |
| Yerevan | Armenia |

The Moscow delegation facilitates communications and provides technical support to all other delegations, since the only Development and Medical delegates are based in the Moscow office. In mutual co-operation, all Federation delegations will establish working relationships with their development counterparts in the NS and introduce the Federations basic approach to institutional development.

2.2 Institutional Self Assessment

Each Federation delegation was responsible for arranging an institutional self-assessment for each NS in its region. Institutional self-assessment is both a process and a result. As a process, it encourages the NS to adopt an approach to organisational functioning which can become a model for the future. The result of the institutional self-assessment process, as summarised in the self-assessment questionnaire, forms the basis for Participating National Donor Societies(PNS) to elaborate joint programmes.

2.3 Key areas of institutional development

Federation experiences in late 1992 in working with the NS showed that highest priority must be assigned to the following components of institutional development:

1. Fund-raising
2. Management Training
3. Public Relations/Dissemination/Information
4. Technical Support (Communications, Information Systems)
5. Strategic Planning
6. Budgeting and Financial Reporting
7. Programme Planning

The relative priority of each of these areas varies according to the strengths and resources of each NS. PNS are expected to initiate support of institutional development by providing technical assistance (communications and information's systems) and funding the translation of Federation development resources (written and audio-visual) into Russian. To ensure continuity of programming and effective use of resources, PNS should commit themselves to at least two years of support.

2.4 Role of Federation delegations in the FSU

The Federation delegations are responsible for preparing introductory informational materials for the PNS to orient them to the NS. During the early phase, the Federation delegations arranged field trips for representatives of PNS when visiting NS in preparation for future co-operation. After joint co-operative programmes have begun, Federation delegations continues to facilitate these activities by assisting with travel arrangements, interpreting and translation services, international communications and consultation with medical or other technical delegates.

During the actual implementation phase of the institutional development training programme the development delegate plays a crucial role in the local preparation and planning of such issues as transports, accommodation, interpreters/translation, selection of and invitation to participants, NS-contacts and other logistic matters. This support is of immense value for the facilitators in connection to and during the implementation of the training courses.

Further the Development Delegate has the overall responsibility in the initial design of project plans, contracts and as a facilitator in the overall ID-process.

The Development Delegate can use the planning process and the actual training programme that in itself will identify target areas and key person in an overall development process.

It should also be of value if other assistance in the outlined development programme, identified by the Federation, such as technical assistance (office equipment, fax machines, computers and photo-copiers) and information kits will be realised.

2.5 American Red Cross/Federation and the Central Asia development Programme

The original project proposal for the development programme in Central Asia was drawn up by AmCross in close co-operation with the Federation delegation in Moscow. In October 1992 AmCross received a grant of 500 000 USD from the U.S Agency for International Development (U.S.A.I.D) through World Learning, Inc. to support a two year development project in Central Asia.

Since the establishment of the Federation regional delegation in Almaty in 1992, one of its principal tasks has been to assist the five NS of Central Asia in the development of their organisations and respective humanitarian services.

As a part of these development activities, the Federation initiated a development programme that aims to strengthen and enhance the capacities of the five NS of the region as non-governmental providers of humanitarian assistance.

Programme goals

The overall goals of this development programme are to:

- Develop management capacity and human resources through a series of training programmes and seminars.
- Mobilise financial and in-kind resources through the established International Federation framework.
- Enhance the capacities of the five NS in Central Asia to provide both humanitarian and development assistance.

In order to achieve the programme goals outlined above, AmCross in co-operation with the Federation designed a programme consisting of three distinct phases as follows:

Phase 1 Human Resource Development

By identifying innovative and dynamic mid-level managers and providing them with extensive training, the programme should provide the indigenous NS of Central with effective foundations on which to develop their own programmes. At the end of the two-year grant period each of the five NS should have a base of trained personnel capable of providing efficient services and designing new programmes tailored to meet the regions needs, within the economic realities of the current environment.

Phase 2 Financial Resource Development

By developing fund-raising strategies designed to leverage the resources of external and corporate sources (particularly joint ventures and foreign investors), it was envisioned that the ONS of Central Asia should be able to establish independent financial bases at a time when government support is declining and when the regional economy is in depression. This project should introduce methods of financial management, designed to stretch resources. Similarly, the development of greater public visibility on the part of the societies should serve to heighten public consciousness of the services provided by the ONS. These modules should be implemented through a series of conferences and seminars at which designated NS staff members should receive training. Additionally, a selected group of NS staff should be trained not only to employ their new skills but to train other members of their NS in the same focus areas. This should insure the perpetuation and sustainability of these modules and their respective skills.

AmCross and the Federation offered the PNS of the International Red Cross Movement the opportunity to provide a series of training programmes and seminars designed to foster regional self-sufficiency, independence and long-term sustainability. In addition, by co-ordinating these Red Cross and Red Crescent development projects, the Federation aimed at ensuring programmatic continuity and promote the sharing of information.

This information should subsequently be disseminated to interested parties active in relief and development in the Newly Independent States. This programme should assist the NS of Central Asia in becoming effective and independent community-based organisations. The Federation solicited PNS around the world to provide their technical expertise to the ONS of Central Asia. This subsequent assistance came in the form of direct training and hands-on consultative interaction designed to develop key NGO capacities at both the national and community levels. The various inputs to this programme should be co-ordinated, thereby ensuring standardisation and continuity. Furthermore, by co-ordinating and scheduling the development programme, the Federation should similarly ensure that the overall objectives of the programme were fulfilled satisfactorily.

Phase 3 Management Exchange Programme

During this phase, selected mid-level managers drawn from foreign NS should travel to Central Asia for the last three to six months of the development programme. Each NS in Central Asia should host a delegate from a foreign NS to serve as a consultant and programme adviser. This phase aimed offering Central Asian NS the opportunity to draw on the expertise of Red Cross/Crescent NS from various countries.

Programme period

It was anticipated that the duration of this development programme will be approximately 18 months, starting in June 1993 and extending until December 1994. Training was scheduled to begin in the autumn of 1993 and continue through 1994. Management exchanges should take place during the last 6 months of the programme.

Conclusion

The Federation considered that this programme of sustainable development should contribute to the long-term capacity of the NS of Central Asia to provide high-quality humanitarian and development assistance to the indigenous populations by strengthening their roles in society. By instituting a series of replicable training programmes emphasising critical areas like NGO management, fund-raising and information/dissemination, this programme should encourage self-sufficiency of the newly independent and autonomous NS at the end of a two-year period. By encouraging the expansion of these NS, particularly at the grass root level, the programme should endeavour to foster human resource development, private initiative and horizontal communication networks.

3.Planning Process

3.1 Swedish Red Cross/Swedish Red Cross Folk College "Institutional Development Training programme" in co-operation with the National Red Cross/Crescent Societies in Central Asia

The initial co-operation between the NS in Central Asia, the Federation and SweCross Folk College was established in July 1993 when SweCross Folk College participated in a development seminar invited by the Federation in Almaty, Kazakhstan.

This seminar, held at Lake Ysyk-Köl in Kyrgyzstan 16 - 19 July, was initiated by the Federation in Almaty in an attempt to assess needs in the field of development and consequently identify a uniform approach for future development programmes in the five Central Asian NS.

SweCross Folk College was asked to give a presentation of the institutional development training programmes that the school was engaged to implement in the Russian and Georgian NS.

Introductory Workshop, Lake Ysyk-Köl, Kyrgyzstan

Participants:

| | |
|-------------|--|
| IFRC/Almaty | Mr. Tor Planting, Head of Delegation Mr. Hans Andersson, Finance/Admin delegate Mr. Christopher Mehley, Development delegate Mr. Sakae Saito, Relief delegate Mr. Tauke Omarov, Interpreter Ms. Karligash Amandosova, Interpreter Ms. Irina Fiodorova, Finance assistant Mr. Leonid Tretiakov, Driver |
|-------------|--|

| | |
|-------------|---|
| IFRC/Moscow | Mr. Dan Cederberg, Development delegate |
|-------------|---|

| | |
|---------------|--|
| ICRC/Tashkent | Mr. Pierre Josseron, Regional delegate |
|---------------|--|

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|---------------|------------------------------------|
| ICRC/Dushanbe | Mr. John Roche, Development/Relief |
|---------------|------------------------------------|

| | |
|-----------------------|------------------------|
| SweCross Folk College | Mr. Christer Johansson |
|-----------------------|------------------------|

Red Cross and Red Crescent Societies Central Asia

| | |
|------------|--|
| Kazakhstan | Mr. A.U Konakbaev, Chairman Mr. R.R Muzafarov, Deputy Chairman Ms. I.I Denisenko, Head Organisational dep. |
|------------|--|

| | |
|------------|---|
| Kyrgyzstan | Ms. R.B Ibraimova, Chairwoman Mr. E. Osmanov, Chairman Bishkek City Committee Ms. L.E Belikova, Chairwoman Kara Balta City Committee Mr. T.I Nishanov, Chairman, Osh Oblast Committee Mr. E.N Serkebaev, Deputy Head Medical Center of Kyrgyzzoloto |
|------------|---|

The seminar identified three main goals of development that should be met through an institutional development training programme as follows:

- Develop the capacity of management and staff through a series of training programmes and seminars.
- Mobilise economical resource through the Federation network.
- Enhance the capacity of the five NS in Central Asia in their mission to provide both humanitarian and development assistance.

The training programme should be implemented during a period of 1 ½ year and start late 1993 in order to be finalised at the end of 1994 with implementation schedule (established by IFRC Almaty) as follows:

Summer 1993

- Introductory workshop
- Selection of IFRC/ONS working group
- Selection by IFRC/Geneva of PNS to design and produce training materials
- Field visit to Central Asia by PNS in order to assess needs for training modules

Autumn 1993

- Development/production of training modules
- Planning with working group for oblast level training
- First training for HQ/National committee staff

Winter 1993 - 1994

- Training for HQ/National committee staff (continues)
- Final planning with working group for oblast level training and initiate planning for management exchange project
- First training for oblast level staff/volunteers

Spring 1994

- Training for oblast level staff/volunteers (continues)
- Final planning with working group for management exchange project

Summer 1994

- Training for oblast level staff/volunteers (continues)
- Management Exchange project begins

Autumn 1994

- Management exchange programme project (continues)
- Evaluation with working group of oblast level training

Winter 1994

- Conclusion of management exchange project
- Final evaluation seminar

At this stage the Federation in Almaty foresaw a training programme implemented in two separate courses - Phase 1 Human Resources Development and phase 2 Resource Development/Budgeting - followed by a Management Exchange Programme at the completion of the training courses.

Although the situation and environment in which the different NS are existing differs it was anticipated that most NS in general shared common problems related to the new political situation in the FSU.

The Federation in Almaty conveyed an interest that the SweCross Folk College should implement phase one of the two training modules (Human Resource Development) for each of the five NS in Central Asia. This module should be co-ordinated with the Finnish Red Cross that the Federation asked to implement the second phase (Fund development/budgeting) of the training programme.

According to the Federation in Almaty funding for the programme was secured through USAID via the American Red Cross. Head of Delegation, Mr. Tor Planting proposed that a more thorough needs assessment should be conducted in September, which also should determine the extent of the training programme. The needs assessment should be conducted in co-operation with SweCross and FinCross to be followed by a project plan stating aims/objectives and implementation schedule.

At this stage both Mr. Planting and Mr. Mehley, who both were acquainted with SweCross training programme in Russia and Georgia, foresaw only minor changes in the curriculum before it could be implemented in Central Asia.

Assessment mission/fieldvisit

After this initial visit and participation in the "Introductory Workshop" only sporadic contacts were in place regarding SweCross participation in the development training programme in Central Asia.

It was not until December 1993 that SweCross Folk College once again was asked to consider participation and partial responsibility for the implementation of the institutional development training programme in Central Asia. SweCross Folk College responded positively to this request from the Federation in Almaty and consequently accepted operational responsibility for the implementation of the Leadership and Organisational Development training module in the five NS in Central Asia.

During 1993, SweCross Folk College had been responsible for designing, producing and implementing a Leadership and Organisational Development training for the Russian RC and Georgian RC. Based upon findings of the Federation, through its development delegate, it was recommended that the same training modules as used in Russia should be utilised in Central Asia. It was anticipated that only minor, if any, amendments had to be done in the training modules used in Russia and Georgia.

Immediately following the signing of the project agreement between the Federation and Swedish Red Cross in January 1994, the SweCross Folk College dispatched a representative, Mr. PeGe Persson, to consult with the Federation Regional Delegation in Almaty primarily on practical questions related to the actual implementation of the training programme. This mission took place from 22 January 1994 through 1 February 1994, and included meeting with the Kazakhstan RC/RC and Kyrgyzstan RC. The SweCross mission was conducted in conjunction with the Finnish RC, which had also confirmed participation to implement the Resource Development model in Central Asia. This visit focused on discussions concerning the following:

implementation schedule for training, identification of trainees and their needs, selection of training sites, logistics of equipment delivery for training etc.

In short, technical issues related to the realisation of the development training programme.

A primary objective of the SweCross mission was also to establish a formal Project Plan for submission to the Federation Secretariat in Geneva (as required in the Federation/SweCross project agreement). The Project Plan should consist of the following : (1) The content, place and schedule of courses; (2) The choice of trainers and facilitators; (3) Pedagogical methods to be used and (4) The criterias for choice of staff and volunteers as trainees.

Within the Project Plan to be provided to Geneva in mid-February 1994, topics related to training implementation should be outlined in detail. Some important points to be included were outlined during this mission as follows:

The five NS in Central Asia, in close consultation with the Federation Regional delegation in Almaty, should be responsible for selecting the trainees for the Leadership and Organisational Development training. Approximately 20-25 participants from each NS should be chosen for the training.

Trainees should be selected based upon their commitment to the Red Cross/Red Crescent organisation of their respective country. Particular attention should be paid to staff who will remain actively involved with the NS in the future, including younger staff members. Trainees should be almost exclusively full-time NS staff from "oblast" and "rayon" committees. Few, if any, volunteers should be included in the training, as there are virtually no "real" volunteers actively involved with any of the NS of the region (the inclusion of so called "honorary" NS officials should be avoided, as these persons in reality have little, if any, commitment to the Red Cross/Red Crescent movement).

The Leadership and Organisational Development training module, as designed, should take place in two steps. The same trainees that participate in step 1 of the training should, without exception, participate in step 2.

3.2 Co-ordination between Swedish RC and Finnish RC

Per discussions between the Swedish RC and Finnish RC in Almaty (January 1994) co-ordination should take place in the implementation of each of the two training modules, i.e. Leadership and Organisational Development and Resource/Financial Management training modules.

The implementation of the Finnish RC Resource/Financial Management training module should commence after completion of the Leadership and Organisational Development module implemented by the SweCross Folk College. At the conclusion of step 2 of the SweCross training trainees should be provided with various "project/tasks" related to fund-raising/financial management in order to prepare them for participation in the Finnish RC training.

The five National Societies of the region should be required to invite the same trainees that took part in the SweCross training to participate in the Finnish RC training. This was seen as particularly important, as many of the skills and abilities developed during the Leadership and Organisational Development training module would be vital for the trainees to fully benefit from the Resource/Financial Management module.

4. Implementation

4.1 Goals/Objectives

After having accepted operational responsibility (as stipulated in project agreement between Swedish Red Cross and the Federation) for the Leadership and Organisational Development module in Central Asia in December 1993 and the assessment mission to Central Asia in January/February 1994, SweCross Folk College commenced implementation of the training programme in Central Asia in April 1994. The implementation, aimed at fulfillment of the following goals and objectives stipulated in the project plan as follows:

"Main Goals

This project aims at strengthen and enhance the capacity of the indigenous Red Cross/Red Crescent Societies in Central Asia through a series of training seminars for the professional and volunteer staff and members.

The Training Programme will be linked to the goals of the goals stated in the "Strategic Workplan for the 90's" (SWP). The training will facilitate the awareness of SWP, the importance of assessing the needs of the most vulnerable as well as their capacity and also the capacity of the NS in its role of giving support to the most vulnerable groups.

The Swedish Red Cross will be responsible for implementing a programme of leadership and management training in co-operation with the five NS of Central Asia and the International Federation of the Red Cross/Red Crescent Societies.

The course curriculum of this training programme will be almost identical to that developed by the Swedish Red Cross for the Russian and Georgian Red Cross Societies in 1993.

Overall objectives

The overall objectives should be looked upon as strengthening the NS through Human Resource Development.

This will increase the participants in their daily Red Cross and Crescent work and upon completion of the training programme the ONS participants should be able to:

- assess and make priorities according to local needs, as well as to assess the internal capacity through an institutional self assessment (Swot-analysis).
- carry out short- and long-term planning, including goal formulation and action planning. Furthermore participants should have increased their Red Cross and Red Crescent knowledge and be aware of the importance and have the capability to initiate appropriate recruitment, training and guidance of volunteers in order to develop the organisation.
- provide support, ideally by basic training, to the regional, city and district Red Cross and Crescent functionaries.

The syllabus will consist of the following:

- The International Red Cross/Red Crescent Movement
- Volunteerism and the Voluntary Organisation
- The National Red Cross/Red Crescent Society
- Needs Assessment/Programme Planning
- Resource Development Financial Management Budgeting
- Group Dynamics and Leadership
- Training and Training Planning
- Evaluation

”

Since the assessment had disclosed needs for a more structured approach towards Resource Development and Financial Management, more emphasis should be placed on these subjects through the Resource Development module that was to be implemented in the second phase of the training programme by the Finnish Red Cross. Consequently the training conducted by the SRC Folk College in the CAR only included an introductory section of fund-development.

4.2 Contents

The training courses were implemented in two steps with an interval in between (3-5 months) each step. All courses have been implemented inside Central Asia.

The objectives of the finalised curriculum have an intended connection with the Strategic Workplan for the Nineties to facilitate the work with the challenge - "improving the situation of the most vulnerable".

More specific the first step of the training programme had its starting point in the history of the International Red Cross movement, its seven Principles, the Geneva Conventions and the Strategic Workplan for the Nineties.

The second section of the course described the voluntary organisation, how it defines, recruits and works with volunteers.

The third section of the curriculum had its focus on the role of a NS, focusing on the ONS and with examples from the Swedish Red Cross. The purpose was to show that each NS has to work in accordance to local needs within the country and to emphasise the importance of having a functional organisation of trained volunteers and staff members.

A certain part of the fourth section "Needs Assessment and Programme Planning" dealt with the importance of conducting "Vulnerability- and Capacity Assessments" as a diagnostic tool for improved possibilities to "improve the situation of the most vulnerable".

Corresponding with the completion of a careful assessment of vulnerability and capacity this section addressed the necessity of programme planning.

In connection with carrying out programme planning it has to be taken under consideration whether the organisation have strengths and/or weaknesses related to certain activities. This was addressed through a SWOT-analyse - a method of internal (within the RC-organisation) and external (outside in the country/society) capacity assessment completed in the third section.

The second step of the training programme included training in subjects as "Leadership and Group Dynamics", "Training and Training Planning" and a final section on "Evaluation". The Red Cross as well as other organisations is affected by many different factors and the section

Leadership and Groupdynamics dealt with questions such as "How does the individual leader take responsibility for his/her tasks and how is that linked to the group s/he is working with, to the Red Cross idea and principles and to the society in which the leader is active" and "How do we create possibilities for individuals to grow and develop within the organisation and thereby develop the organisations itself".

All Red Cross and Red Crescent members, volunteers as well as staff, should have the opportunity to develop their commitment to humanitarian questions into more efficient work. Training makes a vital contribution to this process and this was the initial starting point in the section "Training and Training Planning".

Last but not least a section of "Evaluation" emphasised the importance of monitoring and evaluating activities/programmes and therefore the section provided knowledge of various evaluation techniques/follow-ups.

In between step one and two of the training programme participants carried out an intermediate stage assignment with the purpose of applying newly gained knowledge into their everyday practical reality.

The intermediate stage assignment was based upon the contents in the first step of the training programme (i.e. SWOT-analysis, image-study, fund-raising plan) and the participants selected task according to local needs.

The ICRC was invited to participate in the first step of each training course and has consequently been present and performed at all training courses except in Turkmenistan.

4.3 Pedagogy and Training Methods

The pedagogic methodology in this training programme is, in accordance with the project plan, founded on the Federation's principles concerning development collaboration.

The project plan as well as the facilitators training and further training emphasise the fundamental pedagogical outlook in the training programme. It has its basis in experiences from adult education as well as from the fundamental idea and principles of the Red Cross movement. The pedagogical outlook is expressed in the project plan as follows:

"The basic purpose of training NS professionals and volunteers should be that it will provide them with an opportunity to develop their commitment to Red Cross/Red Crescent work. The training is built on the experience and expertise that the participants bring with them to the training courses.

The courses presuppose a high level of activity on the part of the participants. The pedagogic view underlying this participatory training is that learning is an active process. One does not learn by passively accepting knowledge that is being "served up" by someone else, but rather by actively communicating with others and utilising ones own previous experiences.

Learning involves a give and take between theory and practice; Instruction, therefore, must proceed from the participants own reality.

An important element in this pedagogic approach is that the participant must find his/her own way to the knowledge that he/she needs—A "problem-oriented" approach to the training in which the participant comes up with a complex of problems drawn for his/her everyday Red Cross work and puts forward suggested solutions under the guidance of the facilitator has the effect of imparting to the participant the kind of knowledge that is relevant, practical and best fitted to his/her needs.

Every type of training programme must be rooted in the educational and cultural traditions of the relevant country and/or region. There can be and should be an interchange of training ideas and concepts among various National Red Cross and Red Crescent Societies, but they must always be adopted to the national context.

This task is the responsibility of the course facilitator, as well as the individual trainees.

Different sections of the course require different methods, but all training is directed towards developing the commitment of the participants to humanitarian issues; The development of more effective work habits will depend upon participatory methods such as case studies, group discussions and working groups. Such course methods are interspersed with relatively brief lectures.”

One part of the training methods includes the intermediate stage assignment with the purpose of applying newly gained knowledge into the participants everyday practical reality.

4.4 Facilitators and Implementation

Already at the initial phase of planning the SRC Folk College renamed and titled its trainers as facilitators. This was done in order to emphasise their role as facilitators providing pedagogic tools in a process with the aim of bringing out the knowledge and ability of the participants from the NS. The interaction between the participants and the facilitators has been the foundation of the training courses.

The course facilitators have been professional staff, as well as volunteers, from different levels of the Swedish Red Cross. At present this group contains of 13 facilitators covering the training programmes in the Russian Federation, Georgia and the five Central Asian republics. Since the start of the project in 1993 the Folk College has recruited facilitators at two occasions whereof 3 facilitators out of a total number of 16 have resigned from the assignment.

Facilitators were recruited on criteria's established by the Folk College with preference for staff or volunteers with an extensive theoretical and practical knowledge of the Red Cross, experience of training/pedagogy/method, international experience, fluent verbal/written English, and with a character not frustrated by work in an environment of cultural diversity.

In Central Asia the two training teams covering the 5 NS were identical in both step 1 and 2 and contained facilitators who had previous experience from the ID-training courses in the European part of Russia and Georgia. The training courses were implemented by a team of three facilitators at each course location.

Apart from the responsibilities in connection with the actual implementation of the training programmes the facilitators have been involved in the design and development of the course material and curriculum.

Furthermore the facilitators have been in a constant process of further education in subjects as cultural orientation, local Red Cross/Red Crescent NS, cross cultural communication, development strategies and method and pedagogy.

Each team had an appointed team-leader responsible for daily follow-ups together with the team and the interpreters during each training course, contacts with the development delegate, the representatives of the CAR Red Cross/Red Crescent Central Committees and/or local NS representatives of the hosting committee.

At the completion of each training course the team gathered in Sweden for follow-up and evaluation.

4.5 Participants

Participants have been selected on criteria's established by the ONS and the Federation development delegate in co-operation with the Folk College as follows:

- Commitment to the Red Cross principles and work.
- Ability and willingness to take part in Red Cross/Crescent development activities.
- Ability to disseminate and spread Red Cross knowledge.

| | Step 1 | Step 2 |
|--------------|-----------------|-----------------|
| Kazakhstan | 22 participants | 24 participants |
| Kyrgyzstan | 18 participants | 20 participants |
| Tadjikistan | 17 participants | 16 participants |
| Turkmenistan | 15 participants | 16 participants |
| Uzbekistan | 28 participants | 22 participants |

4.6 Implementation Schedule

| | Step 1 | | Step 2 | |
|-----------------------------------|---------------|-----|---------------|-----|
| Turkmenistan Red Crescent | April | -94 | Sept | -94 |
| Uzbekistan Red Crescent | April | -94 | Sept | -94 |
| Kazakhstan Red Cross/Red Crescent | June | -94 | Sept | -94 |
| Kyrgyzstan Red Crescent | July | -94 | Oct | -94 |
| Tadjikistan Red Crescent | July | -94 | Oct | -94 |

4.7 Evaluation

At each training course a daily evaluation was carried out covering the subjects handled during the day. By doing this the team got the possibility to adjust according to the needs expressed by the participants already at the following day of the course. Different methods of evaluation were used every day which give the participants an opportunity to get acquainted with a variety of evaluation techniques.

At the end of the first as well as the second step of the training course a written course evaluation was carried out by the participants.

The purpose was to determine whether contents and methods met the objectives stated in the different sections of the course curriculum. The evaluation increased the possibility for the team to adjust and constantly improve the training courses according to local needs.

A more extensive evaluation measuring the result and effect of the training courses should be carried out by the Federation in co-operation with AmCross at the completion of the development programme during 1995.

(For further information see "5. Course Evaluation")

5. General Comments

5.1 Federation Development Programme in Central Asia

Bearing in mind that the training programme is just one component in a strategic long-term approach co-ordinated by the Federation there are several general factors that is of importance and have an effect on the impact of the training programme.

It is presupposed that the development delegate, regional or country, will be the facilitator in an institutional development process.

The ID-training programme should be seen as one component in a long-term development strategy (3-5 years) that also includes continuity in regards development delegates in regional and/or country delegations.

Funding was already secured through the American Red Cross for the initial planning (seed-money) covering parts of the programme. The Swedish and Finnish RC contributed additional funding and thereby secured the implementation of the first and second phase of the Institutional and Resource development training programme. Funding and/or matching contribution for the future management exchange programme (phase 3) still remains to be solved. It should have needed planning in advance to avoid the risk of delay since the success of all programmes are interrelated.

In a general and more far-reaching perspective we see a problem in the appeal system when working with development since the system itself doesn't correspond to a long-term commitment. Appeals are launched on an annual basis and the response from donors cannot be read until several months later.

Further it seems that the expectations of donor response regarding development programmes are very low. In reality this should force all parties embark on a short-term approach with low expectations on funding of far-reaching programmes. Despite these facts it seems that the daily working atmosphere theoretically have been more characterised as one involving a long-term commitment. Strategic planning and long term commitment are often used as key-words when delegates and representatives from PNS and the Federation are gathered in meetings or other sessions related to the planning and implementation of development programmes. We are of the opinion that this causes some confusion among the ONS. As an example the third step of the training programme, namely the Management Exchange Programme, still hasn't been implemented to our understanding due to the present lack of funds.

During the implementation of training programmes in different countries in the FSU we have experienced that the working conditions vary a lot and that this is often related to the fact whether there is a development delegate positioned or not. Apart from the local support provided by the development delegates they will be the evident guarantee for a secure follow-up and continuation of the on-going ID-process and thereby safeguard the sustainability of the programme. It is also of value if the Federation delegation and the H o D as much as the development delegate in particular are familiar with ID concept, the implications of the ID process and the connection between ID and programme development as well as relief operations.

In this specific programme both the H o D as well as the development delegates had the competence, knowledge and understanding of the ID concept. The delegation in Almaty provided general practical logistic support all through the training programme. Despite these facts we never experienced the training programme seen as acknowledged and integrated component applicable and related also to an overall ID strategy covering the general activities

of the delegation. Then again this can possibly be blamed on the fact that specific ID-training programmes is a relatively new phenomena in the Federation and the difficulties facing our facilitators in preparatory and supplementary work must be considered as minor in comparison to the overall development programme. Another fact of importance in these issues was that both the position as H o D and the position as development delegate were held by different individuals during the ID-training programme. This probably also had an effect of what has been stated above and interpreted as a lack of integration of an overall ID strategy also into other activities performed by the delegation in co-operation with the NS in the region.

The unfortunate delay of the development programme for half a year might derive from what's stated above. It caused some frustration from donors and the development delegate (positioned in June/July 1993) and it also seriously limited time for preparations at the SweCross Folk College once clearance was given to start the planning process in December/January 1994.

Unfortunately there have been vacancies in between development delegates lately in different FSU region and country delegations and this have caused disturbance, and in places created some frustration and a feeling of being abandoned among the ONS. The absence of a Development Delegate in Central Asia from June -94 until October -94 was unfortunate for the ID-process and continuity of the programme although it didn't cause too much practical implications for the actual implementation of the second step of the training courses.

5.2 Swedish Red Cross/Folk College planning and implementation

This training programme originates, in contents and methods, from the experience gained by the SRC Folk College through the implementation of ID-training programmes in the European part of the Russian Federation and Georgia.

The process of tailoring this training programme has been subject to constant change/development especially regarding the curriculum, its content and methods. Although the Folk College had access to various Federation material, documentation and publications, specific materials targeting institutional development were not available from the beginning.

However the Folk College did benefit from the work that has been underway at the Federation secretariat in Geneva and have had access to a selection of different materials that later formed the "Institutional Development Handbook" released in October 1994. The concept itself included an ambition to be flexible and adjust according to local needs or needs expressed during the actual implementation of a training course. For this reason the emphasis of contents and methods varied from course to course even if the objectives have been identical.

Preparations for the training programme in the five Central Asian NS were undertaken at the Folk College from January 1994 involving the team of selected facilitators who went through briefing including pre-reading materials in socio- economics and extensive information concerning the Red Cross and Red Crescent Societies of Central Asia. In addition to these preparations development delegate Mr. Christopher Mehley visited the SweCross Folk College in February 1994 which further extended the information about Central Asia, its NS and the overall cultural environment. Mr. Mehleys visit and professional presentations were highly appreciated and of immense value for the team of facilitators. Even if the SRC Folk College and the Finnish Red Cross modules have been implemented separately certain co-operation have been undertaken in order to co-ordinate the two modules into the overall training programme. Consequently representatives of the SRC Folk College and the Finnish Red Cross travelled together during a fact finding mission in Central Asia in February 1994. The SRC Folk College also sent one of its facilitators to participate in a planning meeting for the second phase in Finland in June 1994.

5.3 Facilitators

As previously mentioned facilitators have been recruited from within the Swedish Red Cross and from different levels of the organisation. The optimal facilitator should of course speak the native language, but very early in the recruitment process it was clear that such requirement was unrealistic.

For this reason all training have been implemented through interpreters and this have occasionally been a key problem in the training programme. Our experience is that if the interpreters are informed beforehand of contents and objectives of the courses, it is possible to eliminate some of the difficulties in working through interpreters. Consequently it is important to utilise the same interpreters through the training courses and if possible matched with the same group of facilitators. The SRC Folk College utilised the same two interpreters in the first step of phase I in all five CAR which led to high level of understanding and familiarity with the training material from the perspective of the interpreters.

Despite these facts there were occasionally problems such as misunderstandings, slow progress and difficulties to follow group discussions especially in the initial phase of the implementation of the training programme.

At the implementation of the second step of phase I of the training courses one of the two original interpreters was replaced with a new interpreter without previous professional experience as interpreter. This change didn't have any noticeable effect on the interpretation services that remained in quality comparable to the ones provided in the implementation of the first step.

Every now and then fatigue among the interpreters created some mistakes that led to misunderstandings and occasionally complaints among the participants. On the other hand the interpreters also provided invaluable overall assistance and services helping the facilitators to avoid most pitfalls during their stay in the CAR especially regarding cross-cultural understanding.

The facilitators themselves have pointed out the importance of having a proper background to each training programme such as pre-reading materials in socio/economics and more extensive information concerning the local Red Cross, its structure and programmes. Such information material have been supplied by the delegation in Almaty although it on occasions is difficult to obtain accurate and updated information from societies in a constant process of change. This effect can also be noticed in the work of the NS, its staff and volunteers often relates to "old" activities, when asked about current activities, as if they were still existing. The problem could also be described as the willingness to give a good picture of the current image of the NS or what's called the non critical norm.

It has been of great value to have facilitators who themselves are members of the Red Cross movement which creates a sense of common purpose and values and helped to overcome the cultural and linguistic barriers. The SRC Folk College has used, as earlier mentioned, two identical teams of facilitators for both steps of the training course and consequently participants have met the same facilitators at both steps.

The repetition and short intervals in between the training courses have helped facilitators to grow into their assignment and rapidly increased their capacity to adjust working methods and focus on content according to needs and expectations expressed by the participants in each course.

5.4 Methods and Materials

The participative methods have been well received and appreciated by the participants.

Most participants are eager to discuss and share experiences which also falls back to the fact that the facilitators share the same background and belong to the same movement. The format of a typical session has been:

- short introductory lecture
- group exercises
- group feed-back
- facilitators summary of key points/additional theory

Apart from frequent discussions based upon the experiences of the participants themselves the training concept included a variety of methods such as problem-solving, case-studies, brainstorming, vision-making, buzz-groups, role-plays, group-work, group discussions and attitude-exercises. In general the beginning of the training course exposed certain unfamiliarity among the participants in regards the participatory methods.

This was expressed partly through some reluctance to present personal experiences instead of making more official and traditional "statements" and partly by leaving the entire responsibility of the training course to the Swedish team of facilitators. It was observed during some of the training courses that the presence of the Chairman/woman of the NS initially had a negative effect and hampered the participants to take part in discussions. Once the group of participants got over this initial difficulties and increasingly adapted more and more of the participatory methods each course got to "live its own life" in the framework of the course plan.

This means that each course in co-operation with the CAR/ONS has had its different main focuses and specific attention and time spent on different sections of the course content. This gave most of the participants the possibility to express themselves based on their specific experiences and reflections which consequently contributed to the final design of the course as well as the participants own responsibility for the learning.

Written material have been provided to all participants in ring-binders in connection to the start of a training course. It should be looked upon as a reference material to be used also after the completion of the course. The material should have been available for the participants prior to each course although these intentions never came through mainly due to technical and logistic problems. Possibly this request can be met in future courses by including a summarised pre-reading version of the reference material used as an introduction to the training courses if local logistic circumstances are in place. Additional materials such as working sheets have been distributed during courses. In this context it is important to emphasise that material, approach, methods and professional facilitators all have a distinct connection as a whole in an indivisible concept.

Consequently it is important to state that the written material in itself shouldn't be considered as a training material to be used without the uniform approach including the other components.

The development of a self instructing material has never been a part of the assignment in the framework of this project. The greatest attention given by the participants at the completion of a training course has been related to the approach both regarding knowledge and human resources rather than the contents and the written material.

5.5 Local support/Development delegates

The local support is of immense value for an effective implementation and it is a proven fact that the development delegate and local counterparts plays a crucial role in the preparations.

There are examples when the lack of local support have caused complications disturbing the actual implementation. In Central Asian republics the local support have been excellent with only a few minor obstacles to overcome avoiding most pitfalls of more logistic character. Details such as more extensive informations regarding participants, their experience and background in the Red Cross, have been prepared in an excellent way as well as the pre-reading material for the facilitators that all were provided to the Folk College well before the actual implementation.

Equally important is that the participants will receive an invitation of the training course that clearly states the objectives, contents and target-groups. In Central Asia these kind of preparations, more related to the contact between the NS and the Federation development delegate, have been experienced as well functioning.

In co-operation the Federation and the SRC Folk College managed to set aside most of the practical issues so that these didn't interfere with the actual implementation of the training course.

As mentioned before the development delegate also visited SRC Folk College in March/April 1994 where he had an opportunity to meet the facilitators. He also gave a comprehensive briefing of the CAR and its NS as well as the socio/economic situation in the area.

Then again, and apart from the more practical support, the Development Delegate plays the role of the overall co-ordinator/ID facilitator of the development programme in his region with responsibilities for follow-ups of the training courses and bringing the overall ID-process forward. The Development Delegate in this specific area has been present in most of the training sites during step I of the training courses. Being a native speaker his presence has supported and strengthened the interpretation/translation services and the linkage between the NS and the Federation not to mention making it visible for the participants during the training courses.

Apart from the role as ID-facilitator monitoring the process itself and the following identification of future initiatives in the ID-process, the present economical situation automatically connects the Development Delegate with the task to seek funds for the same initiatives.

During the implementation of the second step of the training programme the previous development delegate had resigned and an unfortunate vacancy of the position as development delegate had occurred. In a longer perspective vacancies of such a crucial position could be very unfortunate and probably harmful for the ongoing ID-process and limit the possibilities for the successful outcome of the programme.

However in this case the implementation of the second step of training never suffered directly from any complications related to what's stated above thanks to excellent support provided by local staff (Ms. Galya Djumabaeva, assistant in the development programme) during the absence of a development delegate.

5.6 NS in Central Asia

The financial situation of all NS and all levels, from central to branch level, is at crucial state. Even the minimum programmes to assist the most vulnerable groups of population and to guarantee the disaster preparedness are threatened due to the lack of funds.

The change from Moscow lead and Ministry of Health-financed and- controlled organisations into independent NS has caused many drastic changes creating a situation where many activities have collapsed or are about to collapse. The situation varies from different NS, Oblasts or district committees in each country. In some areas all locally funded activities have ceased existing and only the activities and projects, funded either by the IFRC or PNS are being continued.

Traditional activities and fundings have ceased to exist and are only replaced by a growing demand on the NS to assist growing numbers of vulnerable people among of the population due to the collapse of the social services previously provided by the state.

The independence of the CAR republics have forced the NS to function in a totally new working environment. The new working environment, where the committees at all levels are forced to finance themselves and their work, has also caused a change in staff. Consequently salaries are low and the turn-over of staff is rather high. In Uzbekistan 90% of the staff in the NS are considered newly employed which creates certain contrast between "new and old" staff. As an example staff in Tadjikistan at this point had not received any salaries for eight months.

Most of the staff are well educated with a university degree although their knowledge of the International Red Cross and of organisational development from a democratic perspective must be considered quite limited.

Consequently most of the NS are run from "top to bottom" with little or no delegation of responsibilities to what could be referred to as mid-management level. The leadership of the NS are identical and haven't changed as a result of the abolition of the FSU.

As a reminiscent from the FSU where the need for structured fund-raising was limited or non existing usually nobody has been appointed as responsible in this field. In practise fund-raising is highly connected to the ability of the chairperson in the field of fund-raising. Consequently there are NS and local committees who have the knowledge and network that making them able to initiate fund-raising that is sufficient enough to meet the requirement of their present activities. In places such creative initiatives have been in place although there is lack of overall strategy in these issues especially at NS HQ-level.

Further and as a result also of poor office equipment the NS suffer from an inexperience in publicity work which is a hindrance for effective fund-raising. The committees cannot afford to print their own brochures, booklets, magazines etc etc. If these materials are available they are often of poor quality concerning lay-out and printing. However there are examples of NS and local committees who have good and close relations with the media and appear on regular basis on both TV, radio and newspapers.

In general there is a tendency to look for "old" traditional activities in order to secure funding for activities of the NS such as hospitals, factory's, hotels and private hospitals. Again such activities were highly connected to funds provided by the Ministry of Health and other authority bound funding i.e. the Soviet Peace Fund.

The absence of volunteers is another major impediment in terms of active and effective fund-raising. The lack of strong base of volunteers is perhaps the most serious reason for limited resources together with the lack of management competence in the field of fund-development.

The concept of volunteerism existed in the FSU, but it often consisted of "subbotniki" or "Saturday workers" who "volunteered" to work overtime or extra days to complete some public project. Workers were sometimes pressured to sign-up for this kind of additional work, which gave it a negative connotation. Bearing in mind that the voluntary principal is one of the fundamental principals of the Red Cross Movement it is vital to develop new ways of working with volunteers valid for the cultural context in which it should be implemented. Possibly the concept has to be renamed in Central Asia in order to make it possible to relate to this fundamental principle.

The conclusion that relates to both the tendency to look for old activities and the present concept of volunteerism showed that the different modules of the SRC Folk College and the FRC should have been implemented in a slightly different schedule. Consequently the FRC Resource Development module should have been implemented in between step 1 and 2 of the SRC Folk College Leadership and Organisational Development module. It also emphasises the importance of the third module, the Management Exchange Programme, in order to give practical support concerning the work with staff and volunteers.

In the light of the fact that the Management Exchange Programme, up until this point, still hasn't been implemented there are reasons to believe that the effect of the first two modules can't be measured in correspondence to the more practical work of the ONS.

5.7 Participants

Despite the fact of the vast territory the NS in Central Asia covers, the lack of a sufficient network of technical possibilities of communication with its remote districts and chapters, the NS have been able to furnish the Federation delegation in Almaty with sufficient information in order to supply participants lists. The participants have been from different levels of the NS in Central Asia although with a majority of paid staff from district level. This means that the participants didn't have similar existing job responsibilities. One effect of this fact is that sometimes certain parts of the course were relevant for some participants and irrelevant for others.

On the other hand the different job responsibilities gave a good foundation for discussions and attempts to create common opinions concerning the development of the NS in Central Asia. Apart from the course contents and methods, that in general have been well received, it has been our experienced that the course itself serves as a moral boost for many participants. On the same time the impression from many participants is that their reality is to complicated for european facilitators to understand and that this certainly will have an impact on the training course.

One of the pre-conditions in co-operation with the NS in Central Asia was that participants have to be the same one in step one and two of the training courses. Occasionally that agreement has been broken which is a problem since it doesn't provide the participants with the comprehensive picture the training course are set out to give.

5.8 Course Evaluation

This is a brief overview of the course evaluations compiled from the course evaluation questionnaire that was answered by the participants at the completion of each course in both

step 1 and 2 of the training programme. In the first section of the evaluation the participants were asked about their outcome of the training.

This was measured by having the participants mark their conception of different sections of the course on a scale from 1 to 4. 1 should be interpreted as a low grade of fulfillment and 4 as a high level of fulfillment in accordance with given objectives.

The second part of the evaluation contained of open questions. Participants were asked to give their viewpoints on the course methodology, what part of the course they considered useful for their daily Red Cross work and finally what they would like to change concerning content and methods for the upcoming step 2 of the training courses.

Participants that completed step 2 were, apart from the first section which evaluated fulfillment as mentioned above, asked if they had planned any changes in their work as a result of the training courses, whether they had identified any subjects that were missing in the content of the training courses and finally what content they could foresee in a possible future third step a of training programme

Step 1

The evaluation of the first step of the training course gave the following results:

The first part of the evaluation indicates that participants have been in general very positive towards the training course. Participants marked a mean value on approx. 3.7 out of 4. The first step of the training course have been interpreted by the participants as very/pretty useful in relation to their daily Red Cross work which was illustrated by the following statements:

"The training course was held on a high theoretical and practical level. We learned much from it."

" The training techniques are interesting and easily grasped, effective, vivid. In particular the role plays and its analysis"

"I like the way of involvning all the participants in the study process, co-operation when working with analysis. Methods of teaching are unique, unusual and in combination with the visual aids something that made everyone think"

Participants also expressed certain criticism and asked for more information concerning fundraising. Others wished that more visual aids had been used. Finally some expressed that more consideration should be taken to local conditions and that more emphasis should be put towards the work of the ONS:

The result of the open questions showed that participants felt that they had increased their capacity to insert proper objectives regarding programme planning and had a better understanding of how to work with volunteers and with needs assessment.

Participants were of the opinion that the course methodology had been professional, easy to adopt and the overall combination of theory and practice lead to a good result.

Asked whether the participants had any proposals to improve the training course most participants were of the opinion that the course were adequate and met the objectives as it is.

Step 2

The first part of the evaluation indicates that participants have been in general very positive towards the training course. The participants consider themselves to have reached a high or pretty high achievement. The evaluation indicates that the overall objectives have been met with a mean value of 3.6 on a scale from 1 to 4.

On a question regarding applicability of the methods into daily Red Cross work participants were positive especially concerning the training section and work related to volunteers.

The methodology was regarded easy, interesting and effective and presented on a high professional level.

A majority of the participants were of the opinion that they will be able to use their new knowledge and apply it when setting goals, conducting regular evaluations, initiate training for volunteers and youth and finally alter their leadership as a result of the training course.

The main criticism in diversion from the overall positive judgement have been related to the pre-knowledge and understanding of local conditions on behalf of the facilitators. Other criticism of more occasional character have been raised regarding visual-aids that could have been used to a greater extent, materials should have been submitted to the participants in good time before each course and more information from other NS should have been provided.

At the completion of the training courses most participants were in general of the opinion that the subjects raised and discussed were necessary and well founded.

6. Final conclusions

The ID-training programme should be looked upon as an attempt, among others, to support or assist a NS in an acute situation. This means that the ideal conditions for ID-training programme never were in place when accepting responsibility for the implementation of these training courses, in practise that the NS should have a development plan for its future activities from which the training needs can be identified.

The original project proposal supplied by the American Red Cross served as a foundation for an ID-training component in three phases promoting the overall ID-process and development of the NS in Central Asia. The structure of the project proposal with its two phases of ID-and RD-training courses followed by the management exchange programme in itself outlined a programme involving a long-term strategy and commitment involving different PNS.

However a successful implementation of the original project proposal must be considered highly dependent on better conditions than in reality were in place at the time for the implementation of the ID-training courses. The fact that the programme was delayed already from the time of the arrival of the development delegate in June 1993 until late 1993, when the planning process was reactivated, did have effects on the conditions under which the programme was implemented. Trying to explain and understand the reason for the unexpected delay of the programme seemed to cause a lot of frustration for the positioned development delegate, who at times also was diverted into other activities of the IFRC delegation in Almaty.

An early assessment undertaken by the Federation development delegate in mid 1993 in co-operation with the NS as well as findings during the earlier mentioned planning meeting in June/July 1993 indicated that the training needs were similar to the ones identified in the European part of Russia and Georgia. However, it is our opinion that the uncertainty of the programme as a whole had implications on the overall preparatory work, especially involving a more specific training needs assessment, and on the co-operation with the NS that at times expressed concern over the delay of the ID-training programme.

Once clearance was given to go ahead (late 1993) with the ID-training programme the previously described frustration and concern from both the NS and the development delegate had an effect on the extent of further assessment and preparations.

For understandable, but not acceptable, reasons it became more important at this point to launch the training programme than to extend the assessment further into more details

regarding training needs specific for the region. This consequently gave a curriculum identical to the training courses implemented in the European part of Russia and Georgia.

An extended assessment at this point could have increased the pre-knowledge especially useful under sections of the curriculum targeting subjects as leadership, management and group dynamics which in itself is related to cultural behaviour and traditions specific for each working area. For future ID-programmes the Federation must seek to guarantee that more time and efforts could be spent on preparations, regardless of prior demands from donors and ONS.

Another observation of importance for the implementation and later effect on the NS in their daily Red Cross/Crescent work is the role of the IFRC delegations and its relation to the ID-training programme. Apart from sufficient practical support there have been a common feeling among our facilitators that the ID-training programme have been looked upon as an isolated effort. There hasn't been any all-embracing discussion and later integration through any specific strategy that would take advantage of the ID-training courses and benefit the overall development of the NS. Nor has there been any connection between the ID-training programme and other programmes related to the Federation activities in the area.

A final comment interpreted as having importance for the effect of the ID-training programme is the pre-conditions in areas where training have been implemented. Bearing in mind that the effect of all development programmes is related to peoples ability to cope with change, the level of crisis in each country will have an effect on the possibilities for both people and organisations to develop. Apart from the fact that our presence will serve as a moral boost for people and organisations living in severe and changing conditions, we are of the opinion that certain requirements have to be in place in order to increase the possibilities of a measurable effect of an ID-training programme. We are doubtful if the pre-conditions in Tadjikistan were such that any specific effect, apart from a moral boost, can be expected as a result of the training programme. People living in such harsh living conditions and at the edge of civil war as in Tadjikistan at the time of implementation are forced to focus on different needs than what was addressed in the ID-training courses. Or as it was expressed by one of our facilitators "It was a moral boost although we could have arrived with bread, medicines or telephones instead and reached the same achievement".

This leads us to the question of responsibility regarding the assessment and consequently the criteria's for deciding whether the conditions for such efforts as this ID-training programme is are place in a targeted country. We are of the opinion that this is related to a more comprehensive approach from the responsible operating delegation having access to accurate and up-dated information through its daily activities, contacts and co-operation with the NS in the area.

On the other hand and with slightly better conditions than in Tadjikistan the training programme can be looked upon as a "relief- development programme" meaning that the training courses can be the injection for the NS to primarily survive the fast transition of the society. Consequently the NS could stand a better chance to find a new foundation for its own transition as a NS in a society presently characterised by change and new circumstances. The ID-training programme can be the initial starting-point in the development delegates supporting of the ID process in the ONS.

Other possibilities for NS existing in harsh conditions can be specific sections of the ID-training courses tailored and interlinked with for instance an ongoing relief operation. Again this is dependent on a more comprehensive and flexible approach from the responsible delegation.

In optimal conditions training courses should be implemented by native speakers or local facilitators or at least should they complement a PNS team of facilitators. In an ID-process

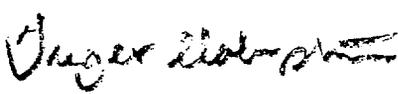
more characterised by long-term planning involving all parties such an approach could be realised.

Further it is essential for the successful outcome of the ID-training courses that a common and concordant view between different PNS, Federation delegations and ONS regarding means, methods and goals for ID is in place as well as that an understanding of the connection between relief assistance and development assistance is made more evident.

It is of course important to seek the optimal conditions for ID programmes although our opinion is that the International Red Cross has to act also in situations that is not characterised by ideal circumstances. This report could therefore also be looked upon as an example of a pragmatic approach towards ID displayed through the ID-training programme. The report brings out the conditions, procedures and evaluations from the participants perspective as well as from the team of facilitators and the project management, all with the purpose of providing a foundation for the evaluation of the ID-training programme. In order to evaluate and complete the Federations initiative that started with the mid-term review in February 1994 it is essential that the impact of the training courses will be assessed. In other words, what have the participants put in to practice in their daily Red Cross work? It is of great interest for the SRC Folk College that the Federation addresses and assesses the factual effect of the overall ID programme and the ID-training programme as a part of it.

Finally and from a programme management perspective we would like to point out the effect this training programme also has had inside the SRC mainly on district level and in twinning projects involving branches in the SRC, something that wasn't included in the original expectations and goal formulations.

All of the facilitators involved in the training programme have been recruited from within the SRC and consequently they return to their present positions in the SRC after the completion of courses in the field. In effect this programme turned out to be an exchange of knowledge in the deepest sense of the word and thereby they have returned with new experiences and preparedness concerning further training and implementation of ID related programmes in the SRC.


Ms. Inger Malmström
Head of Development Projects
Swedish Red Cross Folk College


Mr. PeGe Persson
Programme Officer
Swedish Red Cross Folk College

Evaluation of the Central Asia Institutional Development Project

Prepared by

Allen Berkowitz, Ph.D.

June, 1995

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I. Introduction

In October, 1992 World Learning, awarded a contract to the American Red Cross (with a partial set of matching funds from the Federation) to train the senior and middle management of the five Central Asian Red Cross/Red Crescent Societies in strategic planning, financial management and financial development. The Swedish Red Cross Society would develop training materials and modules covering two topics: the Red Cross movement and strategic planning. The Finnish Red Cross Society would develop training materials and modules covering the topics of financial management and financial development.

The goal of the Central Asian Development Program is to enhance the capacity of the national Red Cross/Red Crescent societies to be self sufficient in its efforts to implement the mission of the International Red Cross/Crescent Movement. This specific program was designed to enhance the leadership skills of selected senior and middle managers. To date approximately 125 participants across the five societies have been exposed to one or more of the three offered training modules. In May and June, 1995 the second module of the Finnish training program will be conducted, completing the training component of the development program.

This report serves as an interim evaluation of the effectiveness of the first three training modules in achieving the specific objectives of the development program. However, the true effectiveness of the development program can only be ascertained based on an analysis of the country specific project initiatives that are generated by the participants of the program, and that are supported by their national societies. Additional factors beyond the training program will influence the degree of success or failure of these project initiatives.

II. Background

During the Soviet period, the Alliance of Soviet Red Cross and Red Crescent Societies were funded by a combination of government allocation and mandatory worker payroll deductions. Youth were "volunteers" through the school system and received basic first aid training. A major component of the Red Cross/Crescent program in Central Asia focused on visiting nursing programs for elderly individuals living alone. With the collapse of the Soviet Union these traditional funding sources and programs have disappeared. Many of these societies and the populations they serve have little experience with direct fund raising. In addition, in some of the Central Asia republics the not for profit status of the Red Cross/Crescent society does not fully exempt the Society from taxation on revenues generated by the society.

III. Evaluation Methodology

The basic approach to this interim evaluation was to complete a series of interviews with participants from two societies (Kazakhstan and Kyrgyzstan) using a pre-designed questionnaire (see Appendix A). Most of the interviews were conducted in person. On a few occasions, due to scheduling difficulties, the interviews were conducted over the phone. In all cases a professional translator was part of the interview process. The interview instrument had three specific purposes:

- 1) To compare the expectations of the participants for the training program before and after receiving the training.
- 2) To have the participants assess the quality and content of the instructions.
- 3) To understand what actions the participants were contemplating based on the training program.

After completing several interviews, a supplemental approach was developed, on site, (see Appendix B) for use as part of the final evaluation effort, after the training program is completed. This supplemental approach requires additional information to be collected concerning several indicators of success more closely tied to the outcome oriented objectives of the training program. Specifically, a clear understanding of the number of participants that completed three of the four, or all four modules. In addition, more complete documentation was needed for each society describing specific project initiatives, and their funding and implementation status. (The degree of achievement of project objectives while useful may be subject to factors beyond the control of the training initiative, specifically existing economic conditions.).

IV. General Observations

A. Kyrgyzstan Red Crescent Society

Kyrgyzstan contains a population of slightly over five million people with approximately 40% of the population native Kirghizes. After the break up of the Soviet Union, the main function of this society became the maintenance of the Visiting Nurse Program for aged, single individuals. As a result of the training received by participants in the first three modules, this society has moved to expand their tracing function, particularly as it relates to Tajikistan refugees. Several participants cite the training provided by the Swedish delegates on the history of the International Red Cross Movement and the fundamental principles of the Red Cross as reasons for establishing this service. They also cite the increase visibility in the community of their society's role in cooperation with the Federation delegates in coordinating shipments of international humanitarian relief supplies to refugee camps.

A second initiative developed out of the training program was to begin shortly, involving modest contributions by the general public to the society and receiving Red Crescent stickers. An initial printing of 100,000 stickers are planned with an effort to raise \$10,000. A third initiative involves expanding commercial enterprises. I believe this initiative was not specifically addressed by the training program and reflects the tremendous weakness in the local economy. I was able to observe first hand at the District level income generating enterprises operated under the Red Crescent emblem, including shoe repair, low cost pharmaceuticals, therapeutic massage, cosmetics, as well as the selling of second hand clothes. The net income from these programs are used to pay the nurses involved in the Visiting Nurse Program.

A second important observation (in contrast to the experience in interviewing training participants from the Kazakhstan Red Cross/Red Crescent) is that all the participants had attended all the training sessions offered to date, and based on the interviews clearly had retained knowledge of the content of the material, by displaying a strong knowledge of strategic planning, methods of working in groups and developing financial development ideas. Furthermore, I was impressed by the participants further dissemination of the content of the training materials with other staff who were not selected for the training.

In summary, all the Kyrgyzstan participants that were interviewed were enthusiastic about the training program, showed knowledge of the content of the material, provided concrete examples of its application, share the material with coworkers. Some participants requested additional examples of fund raising in declining economic situations.

B. Kazakhstan Red Cross/Crescent Society

Kazakhstan lies in the southwestern corner of Soviet Asia and encompasses the second largest geographic area after Russia of the former Soviet Union. Despite its vast size it contains only 15 million people with about 40% of the population of Russian origin. The Kazakhstan Red Cross/ Red Crescent society is currently in a financial crisis, while trying to maintain its Visiting Nursing Program. Many of the participants therefore were interested in mechanism for becoming financially strong. Some participants felt that the financial development examples provided in the training were not applicable for their economic situation. Many of the original participants interviewed have been transferred to other positions and were not involved in the latter training program. New participants did not have the benefit of taking part in the original training. As a consequence, I did not receive an indication of any project idea developed from the training program by participants for consideration by the senior management of the society.

In summary, several of the Kazakhstan participants, were no longer in positions that could effectively utilize the training received; many felt the material presented was well

known (except for new staff to the society) and the fund raising examples were not applicable to their economic situation. No initiatives were described that were attributed to ideas or materials presented in the training program. Unfortunately, very few of the participants interviewed attended all three training programs.

V. Conclusions

In both societies, the sale of pharmaceuticals to low income individuals in need at reduce prices appears to be a major objective. Not only does this provide visibility of the Red Cross/Red Crescent in the community, but serves as an income generator. However, training programs that reflect western Red Cross approaches to fund raising will not meet these societies need for good financial management practices in operating a business. A potential area for great expansion is disaster relief (previously, a predominately government run effort). In the two societies I visited I saw significant support by the Federation and its on site delegates but very little in the way of local society leadership. Specific conclusions for each element of the Central Asian Development Program are given below:

A. Training Program

My overall impression of the training program, based on the interviews with participants, is that the training materials was well designed, the facilitators performed in an above satisfactory manner, and in most cases met participants expectations.

However the success of an institutional development raining program is not only its ability to impart ideas to participants but that participants are empowered to develop program initiatives, seek funding sources and implement the program.

B. Participants Selected

At least two additional factor determine the success of this institutional development effort. First the participants must be in a position of authority. In the Kazakhstan Red Cross/ Red Crescent many of the participants have been transferred to other positions, and have not been asked to participate in the second and third training modules. Some of these participants have little opportunity to develop and implement any new project initiatives.

C. Environment for Translating Learning into Action

Participants should come back from the training session with at least some new ideas, or have been given an assignment to develop a project (see Appendix B for an

example, of a project developed at the district level by one participant.) Senior management must create an environment that encourages the frank discussion of these proposals, and project initiatives and their refinement. In my interviews with Kazakhstan officials I did not get the sense of support for participants developing new initiatives. Whereas in Kyrgyzstan, participants cited how they shared their training materials with colleagues, advanced ideas for approval, and reported on how certain initiatives were progressing.

D. External Factors Influencing Success of the Program

In the strategic plan of both societies changing the image of the Red Cross/ Red Crescent society from the Soviet Union period is a major challenge. (see Appendix D). This coupled with the weak economies and high inflation rates makes any fund raising effort, a major accomplishment. Furthermore, it is not surprising, that society staff look to commercial enterprises as their best hope for survival; and not traditional western style solicitations of financial donations. In both countries the sale of pharmaceutical to low income needy at reduced prices seems an appropriate strategy. However, if senior management is focused on this type of initiative, many more traditional programs and fund raising initiatives may receive less support

Appendix A

MID-TERM REVIEW

INSTITUTIONAL DEVELOPMENT
AND LEADERSHIP MODULE

Number: _____ Date: _____ Interviewee: _____

1. What is your title (or position) within your national society?

What was your previous position?

2. How were you selected for this training? _____

Who selected you? _____

What are your qualifications? _____

3. What did you expect to learn from this training?

4. What did you learn at the course that was relevant to your work?

5. Were there any additional topics that you wish the course had covered?

6. How would you rate the coverage of the following topics:

(Excellent, Very Good, Good, Adequate, Poor)

- Organization Structure
- Need Assessment
- Strategic Planning
- Financial Management
- Financial Development
- Proposal Writing

If poor, why?

7. **Were any of these topics that were given too little time or attention? Which ones?**

8. **Were any of these topics that were given too much time and attention?**

- Organization Structure
- Need Assessment
- Strategic Planning
- Financial Management
- Financial Development
- Proposal Writing

9. **How would you describe the presentation skills of the facilitators?**

(Excellent, Very Good, Good, Adequate, Poor)

Swedish Seminar I
Swedish Seminar II
Finnish Seminar I

If poor, why?

If excellent, why?

10. **How would you rate the following course components?**

(Excellent, Very Good, Good, Adequate, Poor)

Group Exercise
Group Discussion
Case Studies
Role Playing

11. **Would you have preferred a course were the facilitators lectured more?**

12. **How would you describe the facilitators' knowledge of Central Asia?**

Class *(Excellent, Very Good, Good, Adequate, Poor)*

Swedish Seminar I
Swedish Seminar II
Finnish I

If poor, why? If Excellent, why?

13. Based on what you learned from the SWOT analysis, what do you plan to do differently?

14. Based on what you learned from the role playing, what do you plan to do differently?

15. What projects have you specifically identified for your organization based on this training? (refer to separate page for more details)

16. Has the training had any direct impact on your work?

17. When you returned home from each seminar did you present the material to your staff? If yes, how?

18. Would you be interested in serving as a facilitator?

19. Does your society support implementation of the skills you have learned? If so, how?

20.. Do you have any additional comments. (Spasebo!)

21. Part Two. Project Specific Sheet:

Country _____ Society _____ Region/Oblast _____ Interviewee: _____

21-1. Is there a written project description, if so please provide;

21-2. Have specific funding sources been found for this project?

21-3 Is there a project plan?

21-4. Who will benefit? How?

21-5. Current status of project.

21-6. Other comments:

Appendix B

Participants of the Central Asian Development Program Interviewed by the American Red Cross Evaluator

Deputy Chairperson
National Committee of KRC/RCS
Mr. Rustam Muzapharov

Deputy Chairperson
Almaty City Committee of KRC/RCS
Ms. Gulnar Kopbosinova

Head, National Operation Department
National Committee of KRC/RCS
Ms. Irina Denisenko

Chief Specialist, National Operation Department
National Committee of KRC/RCS
Ms. Lyudmila Shamshura

Chief Specialist, National Operation Department
National Committee of KRC/RCS
Ms. Aitakhanova

Chairperson
Chimkent Regional Committee of KRC/RCS
Mr. Esikepov (by phone)

Chairperson
Akmola Regional Committee of KRC/RCS
Mr. Vladimir Shults (by phone)

Chairlady Koogaude Oblast
Rakhimara Damilya (by phone)

Chairperson
National Committee of KRCS
Ms. Raisa Ibraimova

Assistant Chairperson
National Committee of KRCS
Mr. Scandarbek Osmonov

Head, Organizational Department
National Committee of KRCS
Ms. Galina Suslakova

Chairperson
Bishkek City Committee of KRCS
Mr. Almatai Umankulov

Chief Accountant
National Committee of KRCS
Ms. Lyudmila Lyubashenko

Chairperson
Osh Regional Committee of KRCS
Ms. Toraim Zhunusova

Chairperson
Zhail District Committee of KRCS
Ms. Lidiya Belikova

Appendix C

Sample - Case Study Prepared by Participant from an Oblast

Plan of the Rustenoi Red Cross and Red Crescent Society
on Fund Raising Campaign

"Let Us Help to Poor People"

Decade of May, 1995

| Actions Comments, | Deadline | Responsibility |
|---|----------|--------------------|
| I. To establish a headquarters committee responsible for running this campaign, distributing functions as follows: fees collection revenues meetings with students, pupils dissemination via radio, TV fund raising during these meetings | 10.04 | Nurses, volunteers |
| 2. To prepare posters describing main directions of the KRC/KRC society for a stand. | 20.04 | Volunteers |
| 3. To organize photographs nurses and volunteers of RC/RCS | 15.04 | Named Individual. |
| 4. To prepare specially decorated box of cups for collection of money | | |
| 5. To order special uniforms for volunteers. | | |
| 6. To determine(choose) places for propaganda materials being place in central shops, railway station, banks | | |
| 7. To organize money collection in markets explaining goals of the campaign | | |
| 8. To activate selling of charitable lottery tickets "sprint". | | |
| 9. To organize collection of clothes, boots, | | |

and shoes in residential areas.

10. To organize selling off clothes , footwear near the central department store, RC/RCS headquarters.
11. To prepare rewarding cards, balls with RC/RCS emblem for participants of the campaign
12. To prepare decorations of a building where the headquarters of the campaign will be located.
13. To appoint a person responsible for transport.
14. To inform public about the results of the campaign amount of raised money and the ways they are going to be spent.
15. During the campaign to visit aged singles and to distribute food among them.
16. To enlist commercial structures enterprises to the campaign :Let us help to poor people

Appendix D

Impact Assessment of Central Asia Training Program

| Measure\Society | Kazakhstan | Kyrgyzstan | Tadjikistan | Turkmenistan | Uzbekistan |
|--|-------------------|-------------------|--------------------|---------------------|-------------------|
| % of Participants who attended all four classes | | | | | |
| % of Participants who attended 3 of 4 classes. | | | | | |
| % of Participants who are still with RC/RS | | | | | |
| % of Participants who are in a position to propose specific projects | | | | | |
| Number of projects proposed based on training. | | | | | |
| Number of projects funded* | | | | | |
| | | | | | |
| | | | | | |

* For each project provide a description; its objectives and degree of success to date.

Profile of Participants

(this information would be summarized at the Oblast and National Levels)

1. Society/Oblast/Rayon Name: _____

2. Name of Participant: _____

3. Position of Participant
at the end of 1993: _____

4. Current Position: _____

5. Attendance:

| | |
|---------------------------------|-------|
| Swiss Seminar I | _____ |
| Swiss Seminar II | _____ |
| Finnish Seminar I | _____ |
| Finnish Seminar II (this class) | __Y__ |

Yes/No

6. Specific Project(s) Identified through training program (in none, say none):

(for example, Public Image, Fund Raising, Business Enterprise)

7. Project description:

8. Current Status of Project:

9. Participant Comments::

Appendix E

Strategic Plans for the Kyrgyzstan and Kazakhstan Red Cross/Red Crescent Societies

Final Evaluation Report of Red Cross/Red Crescent Training in
Central Asian Republics, 1994-95

Report prepared by Ruth Mandel, Ph.D
Almaty, Kazakhstan
August, 1995

Report Commissioned by the American Red Cross, Almaty
Subcontractor to World Learning, Inc., Moscow
In fulfillment of contractual obligation to
United State Agency for International Development

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Finally, I would like to thank the participants in the training seminars who agreed to be interviewed and who gave of their time and their thoughts, often at considerable inconvenience. Many had to travel long distances to reach telephones; once there, they often had to wait for hours to make the connections over faulty lines. One only hopes that future participants in training will benefit from their frank and honest opinions and suggestions.

Executive Summary

The purpose of this report is to evaluate the series of four training programs sponsored by the American Red Cross. This training took place under the terms of a grant from World Learning, Inc., a contractor with United States Agency for International Development (USAID). World Learning's mandate under its USAID contract is to award grants to US non-profit organizations to work in partnership with non-governmental organizations (NGOs) in the former Soviet Union, to aid in a wide range of support, such as technical assistance and organizational development and management.

With the disintegration of the Soviet Union, the Alliance of Soviet Red Cross and Red Crescent Societies collapsed as well. Overnight, each new former Soviet republic had its own nascent Red Cross or Red Crescent Society, yet without the stable funding from the center they had enjoyed in the past. Recognizing this crisis situation, the International Federation of the Red Cross developed a Central Asian Development Program designed to train the five Red Cross/Red Crescent National Societies in management and financial development through this difficult transitional period following their independence. Through this series of training programs the American Red Cross, along with various National Societies of the International Federation of Red Cross and Red Crescent Societies, hoped to foster regional self-sufficiency, independence, and long-term sustainability. It was decided that the Finnish and Swedish Red Cross Societies would take responsibility for designing and implementing the training modules. The training took place between April 1994 and June 1995; each of the five countries had four one week training sessions, two run by Swedish teams, and two by Finnish.

This report evaluates five central areas of these training courses defined by the scope of work: the learning environment, participant selection and preparation, course methodologies, course content, and impact of training. The evaluation was carried out by means of a telephone interview survey. Due to unavoidable logistical problems the originally designated sample size of forty was not achieved; thirty-two interviews were completed. Most of the missing interviews were in Tajikistan, a country currently in a state of war.

The survey instrument was a questionnaire combining both binary type and open-ended questions. Interestingly, often very different results from these two question formats. The answers to the binary questions (yes-no; satisfactory-unsatisfactory) generally tended to conform to culturally conditioned normative expectations, and were in large part very positive. However, when asked about the same topic in an open-ended question, there was a much higher degree of critical, negative response.

The results of the survey show that overwhelming the participants felt the training to be worthwhile. Many were very impressed by the innovative training techniques, such as role play and small group work. Also mentioned by many participants was the very positive adult learning environment created by the trainers. These aspects of the training were extremely successful.

The majority of the criticism centered around training methodology and content. Though 100% of respondents answered "satisfactory" when queried about teaching skills of the Swedish trainers compared to only slightly different 97% for the Finnish, the comments elicited from the open-ended questions presented a different story altogether. Many commented that the Swedish team was more understanding and more interesting; complaints about the Finnish team focused on their rigidity, arrogance, lack of understanding, and tedious lectures.

Likewise was there a lack of fit with many of the questions about course content. Most of the comments reflected a shared sense that the trainers were not adequately versed in the specificities and needs of the Central Asian National Societies. Many comments pointed to the trainers' lack of knowledge about both cultural and economic systems, which in turn govern the methods and possibilities of organizational operation.

Conclusions and Recommendations

The report concludes that it should be a priority to find trainers who have extensive local knowledge and experience of the cultures in which they are working. If it is not possible to find trainers who also are regional experts, it is essential to build into the program budget adequate time for the trainers to acquire the necessary background. Trainers must recognize and understand the significance of the **transitional period** which the Central Asian Republics currently are undergoing, and the consequent problems resulting from this.

Though in large part the training methodology was effective it is recommended that an even more proactive, participatory approach be used. Considering the traditional instructional and operating methods in these societies, future training should encourage new methods whereby the participants themselves would be responsible for first, identifying, then discussing, and finally arriving at solutions to problems. It is hoped that such a process would produce beneficial results which would ramify throughout the organizations.

Follow-up is critical in these training programs. The amount and types of new information passed on in the seminars needs regular reinforcement. The Red Cross plans for Resource Development Advisors to be resident in the various Societies is especially important.

Despite the criticism above, it is important to place these training seminars in their proper context. This is one of the first non-governmental organizations to have attempted to carry out such comprehensive work on institutional development in Central Asia. Compared to the much easier work environment in Russian and some of the other former Soviet Republics, the five Central Asian Republics contain their own unique and imposing challenges. These trainers deserve a great deal of recognition and commendation for having carried out this difficult work.

Though mindful of the caveats discussed above, in summary this report shows that the four training sessions evidenced a high degree of success. They fulfilled their mandate of offering NGO support through technical assistance, institutional development and the strengthening of organizational capacities within the time frame set to carry this out. Most importantly, as a result of the training, many branches of the National Societies have begun to carry out new projects in the fields of fundraising, publicity, and volunteer recruitment.

I. CONTEXT: THE PROJECT AND NGOs IN THE FORMER SOVIET UNION

An initial background section introduces the genesis of this project, placing it in the framework of the Central Asian Development Program and the different Red Cross societies and other organizations involved. It also discusses the conditions and constraints inherent to carrying out training seminars in Central Asia, as well as the specific problems in conducting a telephone evaluation of this region.

A. Project Background

1. Initiation of Project

Following the collapse of the Soviet Union, the Red Cross organization found itself in a similar state of disintegration. It had fragmented overnight into as many Operating National Societies as there were new nations. Historically they had had stable funding as part of the Alliance of Soviet Red Cross and Red Crescent Societies, through a combination of mandatory worker payroll deductions and government allocation. Their volunteers were in large part young people assigned through the school system. The Red Crescent/Red Cross program in Central Asia focussed on a visiting nurses program for the needy elderly in the population. Suddenly, unprepared, these fledgling Societies were on their own. Unlike the situation during the Soviet period, now they were responsible for themselves. Consequently, they desperately needed assistance in organizational development, management, financing, and fundraising.

These critical problems were recognized at a Red Crescent/Red Cross meeting in August (16-19), 1993 at Issyk-Kul, in Kyrgyzstan. There, the Central Asian Development Program was established, designed to train the five Red Cross/Red Crescent National Societies in management and financial development to aid the difficult transitional period following their independence. This was the first time the regional Red Cross/Red Crescent personnel were brought together since the collapse of the Soviet Union. It was at this meeting that the idea of the training modules was broached. The Finnish Red Cross (FRC) and Swedish Red Cross (SRC) societies were selected, since they claimed the necessary knowledge, experience and financial resources needed to carry out the training programs.¹

On September 28, 1993, in Geneva, Switzerland, representatives of the FRC and SRC met at the Secretariat of the International Federation of Red Cross and Red Crescent to discuss this project. The Finnish Red Cross proposed that they design, produce and implement the Financial Development (fundraising and financial management training) module in conjunction with the introductory modules to be presented by the Swedish Red Cross. The FRC has worldwide experience in development programs, as well as specific experience in the former Soviet Union. The Swedish Red Cross training was to focus primarily on theoretical knowledge, and to stress concepts of organizational structure, strategic planning and leadership training.

¹ Tajik Red Crescent Quarterly Report, 17 Nov 1993.

The Finnish program, on the other hand, was meant to be more practical in orientation. It was to emphasize the role of volunteers, of fundraising, and the importance of the image of the RC.

From meetings and discussions at oblast (region) and rayon (district) levels, great interest in the training was shown. It was noted that though the Central Committees of the five National Societies had been exposed to new RC ideas and methods, they had not passed along this information to local offices. This is one reason that the branch offices were particularly interested in receiving training.

One of the central ideas informing the training was to expose the "branch-level staff to the concept of "participation" in corporate decision-making and, in particular, the identification of needy consumers for Red Crescent services." This was meant to differ radically from the status quo, which had been to obey any order received from above--in particular, from the Central Committee.

It was observed during site visits that the chairpeople tended to dominate all discussions and to usurp all question-answer sessions. Even when questions were directed specifically at staff, the chairs attempted to control all discourse. On the occasions when staff were able to speak for themselves, and to participate in discussions, they were delighted to do so and often had good, interesting ideas. "This, at least in a small way, indicates that the Development Program has found some fertile ground in which to sow new concepts."

2. World Learning

In order to achieve these training goals, the American Red Cross applied to, and won a competitive grant from World Learning, Inc., a contractor of the United States Agency for International Development (USAID). The series of training seminars fall under World Learning's Private Voluntary Organization Initiatives for the New Independent States Project. World Learning was selected by USAID to manage a US government program of assistance to private social service organizations in the former Soviet Union. This includes awarding competitive grants to US organizations with local partners, to provide technical assistance to support and further develop existing and emergent non-governmental organizations, within a still embryonic yet emergent civil society. The programs it sponsors are divided into three phases:

- 1) the awarding of grants to US non-profit organizations to work in partnership with non-governmental organizations in the former Soviet Union in order to strengthen the management and effectiveness of the local organizations;
- 2) the monitoring and review of all the projects funded, including training workshops and conferences to share information. World Learning will cooperate with all interested organizations in the training aspects of this phase, regardless of whether they have received a grant in the initial phase or not;

3) the organization and publication of information on lessons learned from the program, which can help to provide guidelines for the establishment of a strong non-governmental sector in the former Soviet Union.

The American Red Cross saw as its aim regarding this program to develop the capacities of local Red Cross and Red Crescent Societies in the Central Asian Republics and to develop volunteerism and foster non-governmental services that benefit the local populations. Through a series of training programs and management exchanges, the American Red Cross, along with various National Societies of the International Federation of Red Cross and Red Crescent Societies, hoped to ensure indigenous replication and foster regional self-sufficiency, independence, and long-term sustainability. In addition, the introduction of financial management, fund-raising training and information dissemination programs was meant to contribute to the financial sustainability of other development programs.

B. Non-governmental Organizations in Post-Soviet Central Asia

The overarching goal of the training seminars has been to help strengthen and make viable local non-governmental organizations (NGO), in this case, Red Crescent and Red Cross Societies. This evaluation assesses to what extent the training succeeded in this goal. Before moving to that, however, it is important to understand the role of NGOs in the former Soviet Union.

The status of NGOs (and inter-governmental agencies) in the former Soviet Union is precarious at best. In the countries of Central Asia, still marked by powerful, centralized state control with a bare minimum of democracy (Uzbekistan and Turkmenistan being the most egregious examples of anti-democratic authoritarianism, Kyrgyzstan and Kazakhstan somewhat less so) the very idea of any non-governmental entity is perceived as dangerous, threatening, and deviant. The governments regularly put up obstacles hindering official registration (giving them legal status) and normal functioning. This hostility is part of the legacy of the Soviet Union, which was run as a uni-party state, disallowing all other forms of organization. It therefore can be expected that this problematic heritage will have an adverse and crippling effect on the progress of the Red Crescent/Red Cross Operating National Societies (ONS) in many realms. Official government hostility might range from problems with tax relief, to legal status, to pressures of censorship. The degrees of harassment or support will vary from country to country. There already have been problems in Turkmenistan, for instance, with government interference and censorship in Red Crescent publicity activities.²

C. Data Sources

The data analyzed in this report derive from a variety of sources. These include primarily the empirical findings obtained from the interview instrument (see Appendix), but also the past reports and evaluations conducted by World Learning

² Similarly in Kazakhstan, the government has interfered in an intergovernmental organization, the United Nations Development Program, exercising censorship.

representatives, the Finnish and Swedish Red Cross Training teams, and the American Red Cross. The conclusions drawn at the end of the evaluation report are based on interpretations and judgements from those derived from the findings. The evaluation report offers further recommendations based on an assessment of the results of the evaluation exercise.

D. Scope of Work

Within the training project's purview of seeking to aid indigenous NGOs, a scope of work was drawn up to evaluate this goal. The body of the evaluation consists of five general sections, each section seeking to address one set of questions and issues as set out by the scope of work. These are as follows:

1. The Learning Environment

This section discusses the relationship of the actual physical environment to the learning process. Did the site allow participants to concentrate on the training without interruptions from their normal work? Were the physical characteristics conducive to learning?

2. Participant Selection and Preparation

This section discusses the processes used to select participants. Did they occupy appropriate levels of management responsibility at work to warrant the training? Of what had they been informed prior to the training? What were their and their supervisors' expectations of the training?

3. Course Methodologies

Here the focus of the evaluation is on both the design of the course, as well as the specific teaching methodologies. It covers such issues as the amount of material presented in the training, the relation of theoretical material to practical examples, in addition to the attitudinal ambiance created by the trainers. This last point considers the level and approach of the training: was the material presented on an adult-to-adult basis, which respected the prior experience, knowledge and input of the trainees, or was it presented in a hierarchical mode? How much and what sort of discussions were included in the courses? Did the participants feel that the evaluation tool allowed them to honestly say what they felt about the course? In addition, it compares the often different training methods employed by the Finnish and Swedish teams, and the strong reactions of the participants to these differences.

4. Course Content

In this section the course content will be evaluated for its success in assisting the participants to establish strategic priorities in terms of their own vulnerabilities, capabilities. It also touches on the crucial area of fundraising, including the relevance and appropriateness of the information for the Central Asian context. It addresses any lacunae perceived by the participants in terms of planning and implementing fundraising events. In addition, this section discusses the relationship between first, the trainers' understanding of the general background and the specificities of the Central Asian context, and second, the materials presented.

5. Impact of Training

The impact of the seminars is assessed here, taking into consideration the problems the Red Cross/Red Crescent Operating National Societies face. Some new projects and fundraising activities initiated as a result of the training are discussed. It addresses the differences they can see in their planning and implementation of programs after the seminars. Also, it will pinpoint the additional skills and knowledge they still need.

II. METHODOLOGY

A. Past Evaluation

Throughout the life of this training project, a number of interim reports and preliminary evaluations have been produced. These were based on observations of the training, and on interviews carried out in person and on the phone in some of the training sites. Allen Berkowitz, of American Red Cross, carried out an interim evaluation in the spring of 1995. He interviewed fifteen participants in the Central Asian Development Program, all from Kyrgyzstan and Kazakhstan Red Crescent/Red Cross Societies. The purpose of this interim evaluation was to assess "the effectiveness of the first three training modules in achieving the specific objectives of the development program."³ Berkowitz used a pre-designed questionnaire, most of which were administered in person with translators, and some of which were conducted over the telephone. The questionnaire used a combination of short-answer and five-scale questions. The foci of his questionnaire included the quality, content, and relevance of the training courses; the impact of the courses on local practice; dissemination of material learned; and information on new projects.

Jeff Jacobs, of World Learning, Moscow, spent a week in January, 1995 observing a training seminar for the Kyrgyzstan Red Crescent in Bishkek, Kyrgyzstan. His report based on his observations focussed on two points: first, the appropriateness of material, and second, the training methods and the consequent acceptance of material. Some of his findings are discussed later in this report.

Further evaluations were conducted at the conclusions of each of the training sessions, the participants were asked to fill out evaluation forms. An example of this, included as an Appendix, is an analysis of the responses from the Finnish training sessions in Turkmenistan and Uzbekistan.

B. The Evaluation Instrument and Process

This evaluation relied solely on telephone interviews, to all five Central Asian Republics. The instrument was designed by the Independent Evaluator, after consultation with Janet Kerley, an evaluation specialist conducting an region-wide

³ Allen Berkowitz, Evaluation of Central Asian Institutional Development Project, 1995, p.2

evaluation for the United States Agency for International Development NET Training Program. The content of the instrument was conceived to link with the central points of the scope of work (see above). The questionnaire primarily employed a combination of short answer, open-ended, and binary questions. One question set used a tripartite form. A single interview was intended to last approximately 25-30 minutes. The instrument was pilot tested for two days, after which it was refined. A number of revisions were made based on discussions with the interviewers. The primary uncontrollable factor in the interviews was time. Though many did last thirty minutes or less, a number of them took considerably longer, lasting more than an hour, with a few exceeding the ninety minute mark. In some cases this was due to poor phone lines, and the interviewers and interviewees having to repeat over and over again the questions and answers. Other instances had interviewees talking on extemporaneously at length about any number of topics, more or less related to the subjects at hand.

The ideal sample size we set at eight participants from each of the five countries, in addition to the five national leaders. We identified participants who had attended at least three, and preferably all four of the training sessions. The final count was considerably less, due to a combination of technical obstacles and unavailability of personnel at such short notice, during vacation time. The final count was: Kazakhstan eight; Kyrgyzstan six; Tajikistan three; Turkmenistan seven; Uzbekistan eight. In addition, we were able to interview three of the National Society heads. Twenty of the respondents were women, twelve were men.

A combination of severely inadequate telephone connections, and personnel either ill or on vacation or otherwise unable to be interviewed, proved to be formidable obstacles. These factors defined the numerous difficulties encountered in collecting data. For those unfamiliar with the extraordinarily poor tele-communications in Central Asia, it may be fruitful to explain briefly the state of the art of telephonic communications in this part of the world. The phone system is so unreliable, that even local, intra-city calls often do not reach their destination. Alternatively, they may be cut off abruptly, or one's conversation may suddenly become part of a simultaneous party line, shared by unknown speakers which precludes any further communication.

Prior to the interviews a week's full-time work of phoning throughout the five Central Asian countries was conducted, attempting to schedule the interviews for the following weeks. This proved to be a major technical challenge. If calling to a major city, first one must dial to get access to a long distance line. Assuming that is successful, then one dials the country and regional codes, and local number. It was not unusual for the interviewers in this project to try calling non-stop for an hour (on rotary, not push button phones) before reaching a desired number. Often all circuits will be busy. Or one might be connected with a wrong number. Finally, if a desired number is reached, then frequently the connection will be so poor and marked by static, that the interviewer must hang up and start once again from the beginning. If successful, then the right person needed to be found and a date arranged for the call-back interview.

However, for the Red Crescent offices in more remote regions, the process was altogether different. These calls had to be ordered through operators, who called back with the desired party in anywhere from thirty minutes to six hours, to not at all. Unfortunately in some instances, the operators called back with the interviewee by interrupting an on-going interview, simply cutting it off. In most of these cases we were able to reschedule and finish these operator-aborted interviews.

In many cases when trying to call long-distance, however, it proved impossible to find the local dialing codes--even for the operators; in fact, it seemed that there were none, and that these individuals would not be accessible at all. With perseverance, however, we arranged for some of these individuals to be contacted through their central Operating National Societies and to be brought to a common office with a functional phone.

The country that proved most difficult to contact by telephone was Tajikistan. Considering the recent and not completely resolved state of warfare experienced by this country, it was not surprising that we should have encountered so many difficulties. With few exceptions, it proved impossible to call there, and after many days of fruitless attempts, exceedingly time-consuming and complex arrangements were made for them to call us at certain appointed times. For reasons beyond our understanding and control this did not happen; thus the Tajik sample remains a meager three respondents.

A further difficulty was that the interviews were scheduled to be carried out during high vacation season which precluded numerous potential respondents. The time pressures and limitations of this evaluation mandated that all interviews were conducted over a period of only eight days. Furthermore, due to inbuilt constraints mentioned above, it was regrettable, but unavoidable that we interview five persons who already had been interviewed in a previous evaluation conducted by Dr. Allen Berkowitz, in the Spring of 1995. Four of these five were participants from Kyrgyzstan, one from Kazakhstan. This was due not only to our not having received the names of the previous interviewees until we were well underway in the process, but to the extreme difficulty experienced in locating even the bare minimum of respondents from Kyrgyzstan.

III. EMPIRICAL DATA

The use of several different question formats in the instrument was meant to provide an inbuilt cross-checking mechanism to control for consistency and accuracy. When comparing the different types of questions, interestingly, the data reveal a consistent contradiction, and they do not in fact correlate. The responses to nearly all of the binary questions (yes-no; satisfactory-unsatisfactory) were positive. However, when queried further about the same issue, the respondent provided an opposite response. Examples of this are shown in the sections below, particularly in sections C. and D.

A. The Learning Environment

This section discusses the relationship of the actual physical environment to the learning process. Did the site allow participants to concentrate on the training without interruptions from their normal work? Were the physical characteristics conducive to learning?

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Only occasionally did respondents comment that the environment was less than ideal. Though in most cases the environment can be assumed to have been satisfactory, it should be seen in the proper context. Central Asians are very accustomed to living and working in adverse conditions, with uncomfortable extremes of heat and cold, with erratic electricity and water, lack of indoor plumbing, and the like. (For example, in Kyrgyzstan there is absolutely no hot water and inadequate heating for much of the year.) Thus, for most of the participants, this was not a major problem, though a handful of them did mention that the rooms were too hot or too cold, and in one case a respondent mentioned that several people became ill as a result of the cold.

Some of the trainers mentioned problems in attendance during the sessions in Almaty. Due to the proximity of the training to the Red Cross/Red Crescent offices, those participants whose jobs were there found that they were unable to participate fully in the sessions due to work demands. In addition, attendance was sometimes low due to participants leaving the sessions to go shopping (this is discussed in the final section on Recommendations).

On a culinary note, there were several comments by participants about the high quality of the food--"it was much better than we would normally eat at home." Clearly, the participants enjoyed this aspect of the program.

B. Participant Selection and Preparation

This section discusses the processes used to select participants. Did they occupy appropriate levels of management responsibility at work to warrant the training? What had they been told prior to the training? What were their and their supervisors' expectations of the training?

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The respondents answered that they simply were told by someone above them in the organization that they would be taking part in the training. The majority of the participants are in managerial posts in their offices, so in theory are in appropriate positions to implement new programs and changes.

Most of the participants had few specific expectations of the training. This is understandable as many commented that this was the first such training course in which they had ever participated. The sorts of things mentioned were: assistance in recruiting volunteers; new fundraising skills; new techniques to implement in disaster preparedness. Only one respondent had clearly misunderstood the intention of the

training, and mentioned that he had been told that the training seminars would be about human rights issues.

C. Course Methodologies

Here the focus of the evaluation is on both the design of the course, as well as the specific teaching methodologies. It covers such issues as the amount of material presented in the training, the relation of theoretical material to practical examples, in addition to the attitudinal ambiance created by the trainers. This last point considers the level and approach of the training: was the material presented on an adult-to-adult basis, which respected the prior experience, knowledge and input of the trainees, or was it presented in a hierarchical mode? How much and what sort of discussions were included in the courses? Did the participants feel that the evaluation tool allowed them to honestly say what they felt about the course? In addition, it compares the often different training methods employed by the Finnish and Swedish teams, and the strong reactions of the participants to these differences.

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1. Andragogy

The training programs were meant to incorporate the special techniques and approaches of **andragogical**, or adult-to-adult learning. A large body of theoretical and applied literature discusses adult learning. An adult learning environment has specific characteristics which differentiate it from traditional pedagogical techniques.⁴ The theories informing adult learning attempt to incorporate the learners' past professional experience, extensive and valuable general life experience, and the complex knowledge they have accumulated. It should be characterized by mutual respect between the trainers and trainees. The trainees' intelligence and experience are taken as givens, and the training provides them with new ways of processing information, and new ways of conceptualization. It should include alternative modes of training, including, for instance, role playing, audio-visual aids, discussions, and the like. The onus is on trainers to recognize and utilize the knowledge and experience of the trainees. An andragogical environment sets up a special relationship between student and teacher: it is a helping not a directing relationship; the facilitators assist learners to diagnose their needs by working on problems at hand.⁵

Applying andragogy entails a sequence such as the following: setting an appropriate learning environment; creating a structure for mutual planning; assessing needs, interests, values; formulating objectives; constructing learning activities; implementing

⁴ A term used for adult learning is andragogy.

⁵ See A Trainers [sic] Guide to Andragogy. Peace Corps Information Collection and Exchange Training Manual, no. T-15. Revised Edition, January 1984.

these activities; and finally evaluating the ensuing results, or reassessing the needs, interests, and values.⁶

It is important that adult students be in a situation where they feel respected as mature, knowledgeable adults with a significant amount to contribute. The learners are rich in resources upon which the trainers must build. The relationship between teacher and student aims at reciprocity, not dependence. In lieu of one-way communication given by the teacher and received by the student, a community of learners and teachers is created, marked by "multicommunication shared by all."⁷

2. Participants' Responses

a. Training Skills

In response to the question:

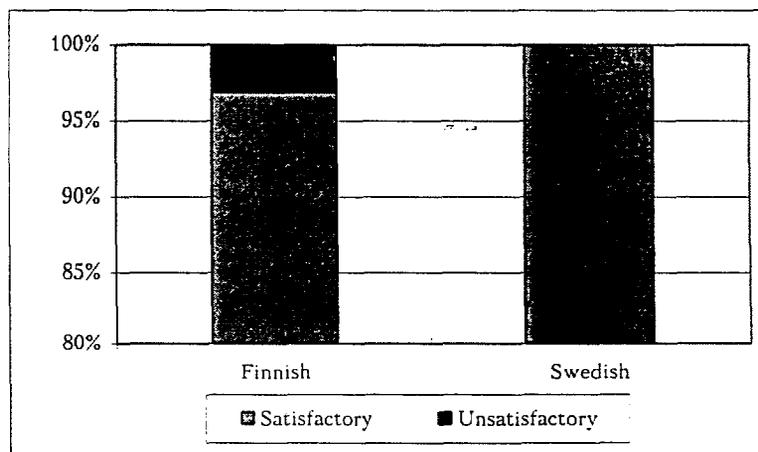
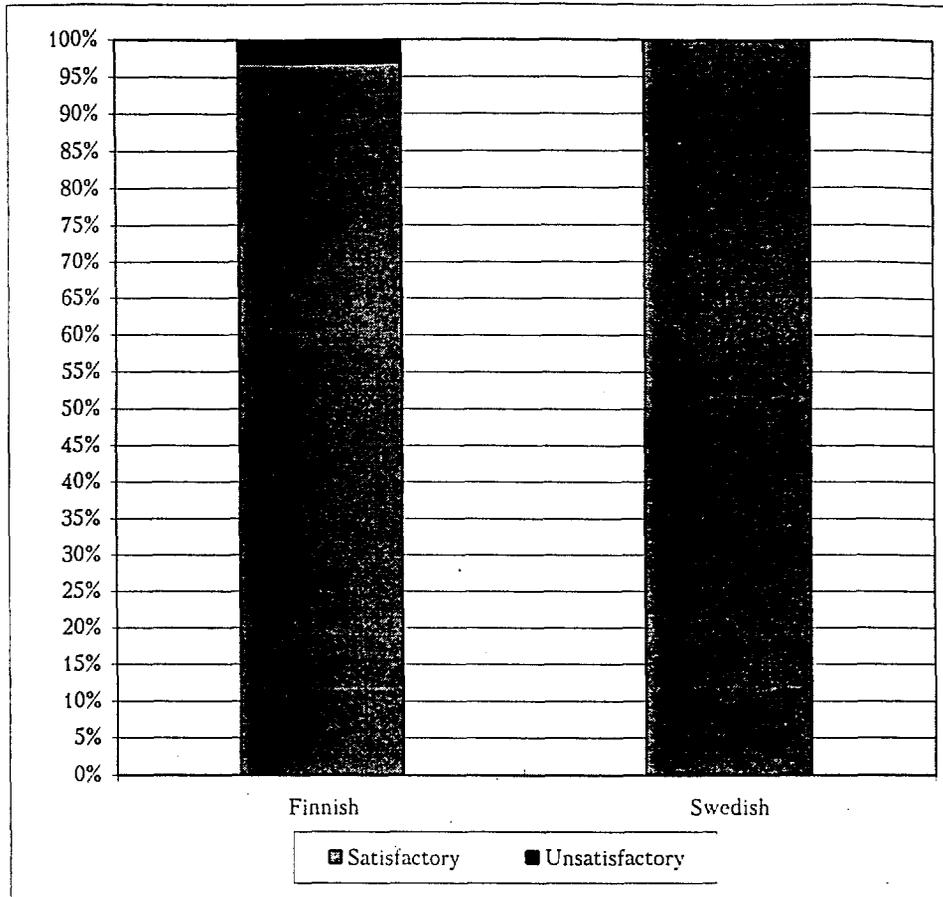
"How would you describe the presentation (teaching) skills of the trainers in general?"
(Satisfactory--Unsatisfactory),

only one respondent out of thirty-two stated "Unsatisfactory"--referring to the Finnish sessions (see Chart 1). However, a thoroughly different picture emerges when we compare this satisfactory rate--97% for Finnish, 100% for Swedish--with the responses elicited by the open-ended questions. The exceptions to the positive enthusiasm, or in

⁶ibid.

⁷ ibid.

How would you describe the presentation (teaching) skills of the trainers in general?



many cases the qualifications to it, also were fairly consistent, in citing the Finnish as being more authoritarian and rigid in their teaching techniques and attitudes towards

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the group than were the Swedish trainers. A large share of responses specifically detail Swedish vs. Finnish training methodologies, exemplified in the comments below.⁸

One participant said simply:

The Finns should try and change their training techniques.

Another put it like this:

I liked the Swedish team better. The Finns were more strained and somewhat arrogant. The Swedes were kinder and warmer towards us. The Finns were pretentious, and once they even offended us. The Finnish final exam was just a joke, while we'd taken it seriously and had studied for it. Marjut (leader of the Finnish team) kept getting irritated when we tried to discuss their experience from our perspective. The Finns just were less tolerant than the Swedes.

It was all very interesting--though not so much so with the Finnish. The Finnish program got boring, particularly regarding charity collection. They repeated themselves day after day. Especially on the fourth seminar, the instructors were not so well prepared.

Another commented that the Finnish women came across as indifferent, irritated, "with cold eyes and a contemptuous" manner. Further comments: "the Finnish seminar was very superficial and shallow; the Finns were not ready to work with our people." The converse was mentioned about the Swedish team:

The Swedish team is perfect, well-coordinated, they are good psychologists, their expertise is obvious. The Finnish team is weaker.

The Swedish were more serious and therefore seemed more knowledgeable. They presented the information in an accessible--easily understood fashion. The information given was varied. It was easy to sit and listen to their lectures. Though both were good, the Swedish team was more professional.

⁸ Some respondents singled out certain individual trainers as being extremely effective teachers. Those mentioned were Vibeke, Eva, Bibiki, and Miya, all Swedish instructors. One thought that Vibeke was by far the best trainer, and that her knowledge, training techniques, and verbal skills were outstanding, compared to the other instructors. However, this respondent went on to say that the Swedish instructors Mia and Bibiki gave best lectures, covered most interesting material, and used most accessible language.

David Eby was mentioned a number of times as well, for his lucid presentation on appropriate methods and ideas about fundraising.

In response to the question about the weaknesses of the Finnish seminar, some respondents explained:

it was a very superficial seminar; the Finns started explaining the simplest things to very experienced people

The Finnish didn't have enough games and slides and videos.

There was only one respondent who felt that the Finnish team was superior to the Swedish:

The Swedish lectures were not quite as strong as were the Finnish. The Finnish instructors were a bit more effective.

In his report for World Learning on the Finnish training (3/95), Jeff Jacobs noted that the methodology was uninspiring. He wrote that the training introduced new ideas, but without the associated new ways of thinking. Also related to teaching methodology, the report mentions that though the courses were very focussed, they lacked strong conclusions, closing statements, and, most importantly, verification of understanding and participation.

Many trainees enthusiastically commented on how for the most part they were treated with dignity and respect. Many went on to report that this was the first such experience they had had with training where they and their opinions were taken seriously, and were treated on an equal level. This was one of the most striking comments running throughout the interviews. They felt that they gained tremendously through the group discussions. There was near universal enthusiasm about techniques such as role playing. They had never been exposed to such methods and thought they were superb. They also were very impressed by the videos they were shown, and many participants wished there had been more time for further video presentations.

In terms of coherence and sequencing of the different sessions, only one respondent specifically mentioned the relationship between the sessions. This participant commented on how the Finnish training built upon what they had learned in the Swedish training.

b. Theory vs. Practice

The questionnaire asked: "What do you feel about the balance between theory and practice in the different training sessions: were enough concrete examples and practical exercises provided to help you understand the new theoretical concepts?"

The participants were asked this question about the Swedish and the Finnish sessions. The Swedish session came in with 100% satisfactory; the Finnish 94%—statistically not significant. However, when allowed to comment freely in open-ended questions, the reality shifted, and the results were mixed. They all seemed to find the

examples provided in the training very beneficial, but there was a definite sense that they still were left somewhat in the dark about how to apply the new techniques and knowledge in their own local situations. One typical response was:

A lot of theory and examples were given. They didn't show us how to put it into practice. We were shown the initial stages and the results. The middle (practical steps) wasn't given.

The lack of fit between theory and practice was noted in a large number of the written evaluations filled out at the conclusion of the Finnish seminars. In their comments the participants uniformly requested more training of a practical nature.

c. Adult-to-adult learning

In terms of establishing the ideal andragogical environment, from the respondents' comments, it would appear that for the most part this was successful. Both the Swedish and Finnish teams scored 100% in response to the question: "Were you treated as a responsible, experienced adult and as an equal?"

Some examples of the responses:

As soon as any of the participants would start to talk, the instructors would immediately stop and listen and even start taking notes. It seemed that they were also gaining some new experience from the participants.

Instructors reacted to everyone equally, treating volunteers and society leaders, Supreme Soviet and Cabinet of Ministers the same. Even we ourselves sometimes forgot who was who.

One participant stressed that there was no sense of difference between participants and instructors, no sense that the instructors were somehow superior, more experienced, or operating on a higher level. This participant summed up this feeling with:

The course helped me to acquire dignity.

One respondent could not stress enough how supportive the instructors had been. She had been very pleasantly surprised by how positive the atmosphere was, and explained that no matter what a participant asked or how a participant answered a question (even when the participants themselves felt that the answer was incorrect), the instructors always said it was a good question, and a good answer. The interviewer noted that this mode of teaching came as such a shock because it went against the very grain of the traditional Soviet style of learning.

Role playing, and small group work also run counter to the conventional mode of teaching. In other training programs this has been mentioned as highly problematic

when running courses in this region. The Red Cross trainers in these sessions were able to deal very successfully with these methods.

During discussions, there was a great exchange of information and experience. The work in groups was also good, demonstrating how you cannot separate individuals out--how people need to work together. The role playing was great. But the case studies were the most enjoyable aspect of the courses; they would discuss specific examples, and it was a very good form of training. The videos were also good.

Discussions in general were good; each person gave his/her own, honest, opinion. Working in small groups was very interesting--discussing and working out problems with 5 or 6 people! The case studies were good,

However, counter to the spirit of andragogy, was a comment stating that the participants knew very little about the instructors' activities. Again, as above, the negative comments which emerged from the open-ended questions clustered around the Finnish team of trainers.

The Swedes kept giving concrete examples and case studies until everything was made clear to us. The Finns didn't care too much whether we understood the material or not.

The instructors should learn about the local possibilities and work during the program with specific, local examples. They should also do more with their own direct experience--in the end we (the participants) had to demand that the Finnish describe their own activities to them.

This latter comment was made by a participant who felt very adamant that the Finnish team needed to share more about their own activities. She further stated that she felt they were boring and repetitive, and that the instructors needed to study their students ahead of time. She seemed to feel that the instructors were teaching below them.

An interviewer wrote the following about a different participant:

The participant in some ways seemed to epitomize the stereotyped Soviet citizen. A couple times, the participant's understanding of some questions appeared entirely foreign to my interpretation of them--this did not seem to be a language problem as much as the result of a very different mindset. But in these cases, I was never able to bring clarity to the issue at hand. For instance, the questions about whether or not the courses spent enough time addressing the different topics elicited a response such as:

They did everything that they planned to do, as they planned, so that they must have spent the appropriate amount of time on each subject.

There were a few regrettable instances. For example, one participant was still angry about the behaviour of two women (unclear who they were--foreign visitors or trainers?) who wore shorts, and

lifted up their legs, and everything became visible. The Finns were arrogant; by wearing shorts they showed their contempt and disrespect for us.

In cultures that prize female chastity and modesty, and traditionally are marked by high degree of gender segregation and gender-based division of labour, such behaviour is interpreted as highly insulting. Whether or not the trainers share in the value system of the trainees in such matters should be irrelevant; in the local context, such local need to be adhered to in order for the trainers to command the requisite respect necessary to teach convincingly and with credibility. Such behaviour can undermine otherwise excellent teaching, and ultimately prove counterproductive to the overall goals of the training.

d. Evaluation

There are two aspects to this: first, the evaluations that the participants filled out during the sessions; and secondly, their sense of whether or not their comments and criticism were listened to and acted upon. Jeff Jacobs in his report notes that his sense was that many of the participants were unwilling to commit honest and frank opinions and criticism to paper, and that they completed the forms "haphazardly" but when he engaged them in personal discussion they were more frank. This is consonant with our findings, in that the responses to the questions posed in a binary form, most respondents answered in a positive vein. However, when the interviewers queried further in order to elicit more comments in depth, a different picture emerged. This is reflected in the comparison between the quantified data presented on the graphs and charts, and the qualitative data in this report.

Responding to the question: "You were asked to write evaluations of the training; did the trainers pay attention to your evaluations and suggestions for improvement of the courses, and try to change?" (yes--no), 81% felt the Swedish trainers were responsive, and 78% thought the Finnish trainers were.

In terms of the participants feeling that they had been listened to, the numbers were fairly balanced in the answers to the open-ended questions. As many participants felt that the trainers were responsive to their evaluatory feedback, as felt they had not.

e. Translation and Interpretation

All of the training sessions had to be translated. Not only did this make them longer than they might have been otherwise, but for the learner, such a process becomes tedious indeed. However, it may have been unavoidable. One comment on this:

Sometimes it was difficult during the lectures, because the need for translation would make the lectures drag out. It would, of course, have been easier if the

instructors and participants had been able to communicate in the same language.

D. Course Content

In this section the course content is evaluated for its success in assisting and the participants to establish strategic priorities in terms of their own vulnerabilities, capabilities. It also touches on the crucial area of fundraising, including the relevance and appropriateness of the information for the Central Asian context. It addresses any lacunae perceived by the participants in terms of planning and implementing fundraising events. In addition, this section discusses the relationship between first, the trainers' understanding of the general background and the specificities of the Central Asian context, and second, the materials presented.

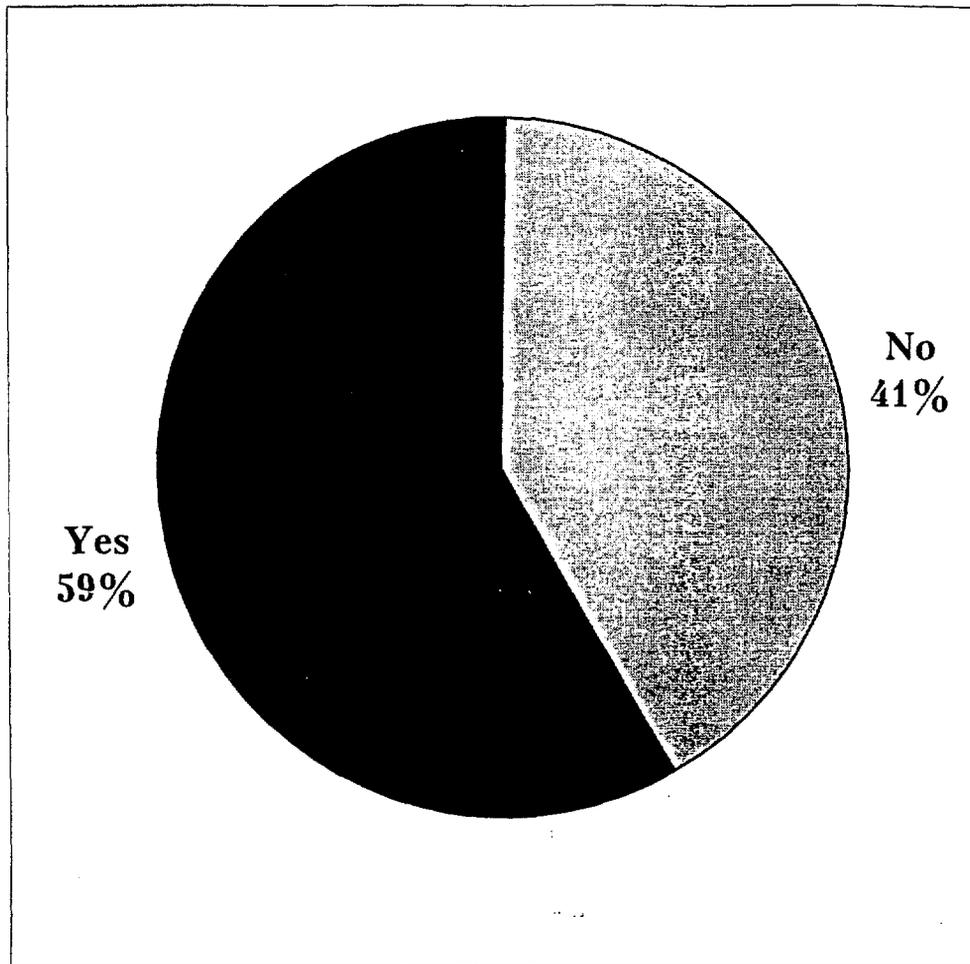
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The responses in the area of course content is marked both by extremes of positive enthusiasm, and by negative disappointment and frustration. While the participants appreciated hearing all the new information and techniques imparted, at the same time a high percentage felt that much of this was, for a variety of reasons discussed below, inappropriate to their needs and situation. A sense of an implicit ethnocentrism on the part of the trainers comes through in many of the comments.

1. Trainers' understanding of context: appropriateness of training

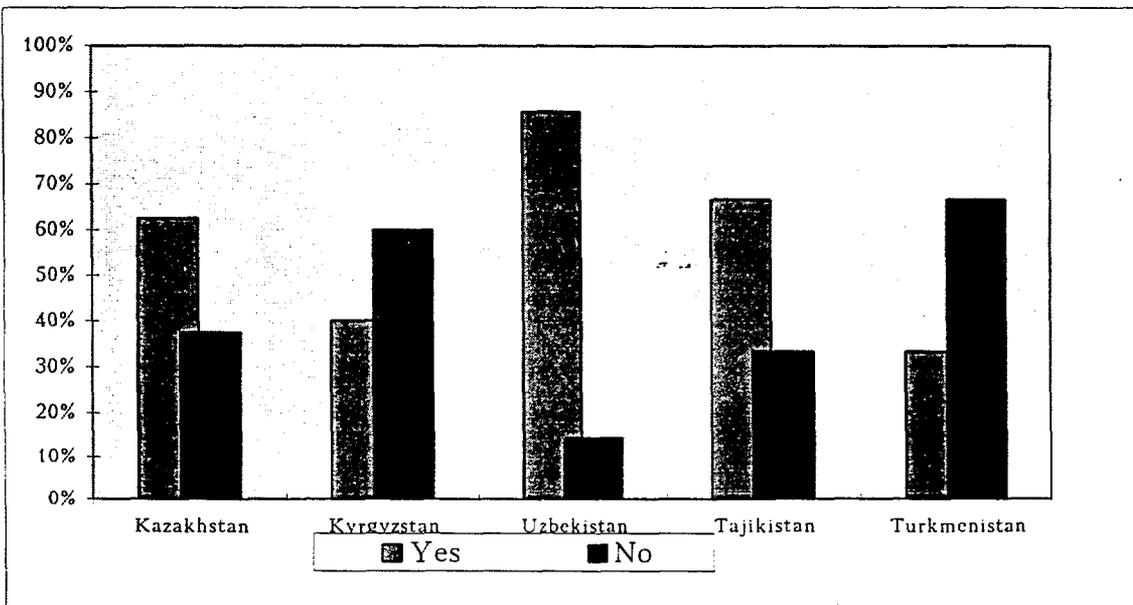
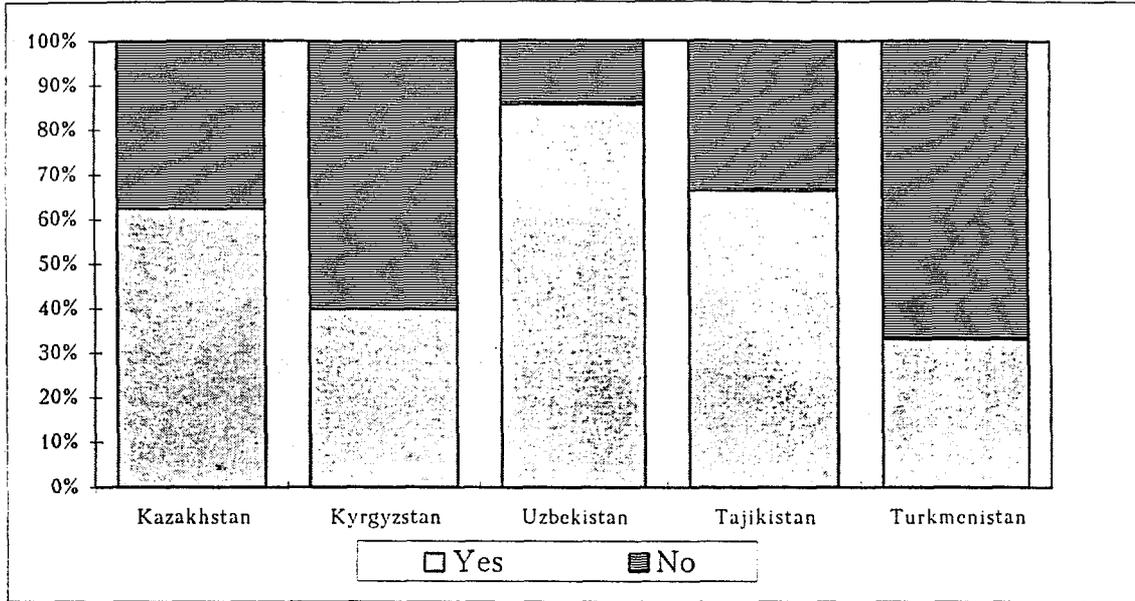
The trainers' lack of adequate appreciation of the local situation was the most consistently remarked upon of all the negative comments in the survey. The pie-chart (see next page) describes this visually. In answer to the question: "Do you think that the trainers had enough understanding of the Central Asian context in which you work?" 41% of respondents stated that the trainers did **not** have sufficient understanding of the local conditions and Central Asian context. In addition, many participants felt that the techniques taught simply were inappropriate for local conditions. They said that this was because the trainers had no understanding of the local economy, culture and society, the banking system, the embryonic state of market economy, the Soviet legacy of volunteerism, and so on.

Do you think that the trainers had enough understanding of the Central Asian context in which you work?



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Do you think that the trainers had enough understanding of the Central Asian context in which you work?



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The feeling about appropriateness of the training was summed up succinctly by two participants, who put it like this:

They tried to put us into their shoes, but they were the wrong size for us.

and

We were taught to work in an ideal world—not ours.

A typical example of a comment about this suggests that the trainers should prepare themselves prior to the courses.

If it is possible, the instructors should go earlier to study the socio-economic situation of the country/region and also to familiarize themselves ahead of time with the National Society and the services it provides.

Similar to earlier comparisons, some of the participants felt the Swedish team was more prepared for the local conditions than was the Finnish.

The Finns trained us in how they work, but not everything is appropriate here. They have different resources (money, printing presses, etc.) that we don't have.

Another response focussed on the cultural differences between the trainers and the participants.

Turkmenistan is also an Eastern nation; it would be useful to have had more input from those with an Eastern background.

However, this respondent did not want to undervalue the benefit of hearing about Western European experience for purposes of comparison. Another participant felt that the trainers' lack of understanding

was the only problem; though the instructors were of the highest level, they were not familiar with the specific situation of the area. We do not have the same economic-technical level here. Nor the same psychology in the culture. There is much still to be done here. The instructors should come ahead of time to the country in question and learn about the local society's current projects and the condition of their resources, etc. They need more specific knowledge, to examine specific examples so they know more about the region and the people they are training.

A respondent from Turkmenistan felt that the participants would have been more successful in the training had the instructors known about the country and its specific problems and needs. Since they did not, the local conditions were not incorporated into the training, and the participant felt that for this reason the group did not achieve what they might have otherwise.

Another participant's only criticism again is that the instructors did not have a sufficient understanding of local specifics. The participants did spend time explaining their situation to the trainers,

but it would have been better had the instructors already been aware of what is realistic here--what are the realistic opportunities and possibilities here. This applied to all the sessions.

This respondent frequently returned to this question throughout the interview. The participant felt that this could have been handled with a prior visit to the country, and that the instructors should design the program as if they themselves were living and working in area. The other related suggestion was for trainers to be brought in from the Mideast and Asia, with the thought that they might have some less-western ideas.

A related comment, suggested that:

the instructors should also study the level of their participants a bit beforehand, they should study the potential of the local Society, its abilities and its options. To have instructors just describe and show how prettily and nicely they live in their own countries is not useful.

Other participants remarked on the naivete of the instructors:

The participants of course know their own situation better, and when the instructors realized from discussions that the local situation is so drastically different from their own, they were surprised that the participants are able to work in such difficult conditions. It is all easier in the West.

The instructors should have looked around an oblast or 2 or 3 first. They had little knowledge of the local situation. They sometimes would look on the participants as if they didn't work. But the organization and relations around here are not the same. The economic situation is different. The instructors described the development of the Red Cross. But the difference between the situation in their countries and the situation here is like the difference between Heaven and Earth. For example, their president is involved in Red Cross activities. The president here is not.

This last comment may be related to the problem of NGOs, discussed above. When autonomous organizations are perceived as a political threat to the status quo, such as is the case in the Central Asian Republics, the training needs to take this on board.

Again, reflecting this sentiment:

The course is somewhat primitive. Actually, we face different situations and see different kinds of people. Real life is more complicated.

One caveat, mentioned in the Finnish report, and which has come up in numerous contexts, is the high sensitivity to comparisons with perceived third world poor countries. The objection has a symbolic, prestige factor as well as a practical one. For several generations the Soviet population has been socialized and educated into believing that they were a major world super-power. The relatively high level of education, the advanced levels of technology in many fields, the space program, as well as the enormous pride the entire population still takes in their not unfounded belief that the Second World War ("The Great Patriotic War") was won largely by the tremendous sacrifice of Soviet people, and so on, all add up to a sense that they are part of an advanced nation--albeit temporarily in economic dire straights during this transition period. Thus, when they are told that they should learn from other similar nations for example, African, they take it as a supreme insult--they were, after all, the educators of many Africans and others from the third world.

2. Fundraising, economy, and finances

This portion of the training fell under the purview of the Finnish team. Their seminars dealt with issues of strategic planning, fundraising, budget, financial management, and income generation. From the comments elicited in the questionnaire, it would appear that this is where the training was weakest. Many of the problems derived from the same source as discussed above, i.e., trainers' lack of familiarity with local economic conditions, and lack of understanding of cultural constraints in the field of fundraising.

The Finnish training team noticed a territorial response to this section of the seminar, on the part of the accountants. The participants who were accountants worried first of all, that those participants who did not normally deal with financial and book-keeping matters would not be interested in this portion of the program. Furthermore, they expressed a defensiveness (a not uncommon survival from Soviet society) about control of information. They felt that their specialized esoteric knowledge, if made public and shared among their colleagues, would undermine their authority and power. Such an attitude and resistance surely did not make the task of the trainers any easier. This attitude toward information sharing is indicative of a larger cultural system and social structure, one that privileges secrecy above all. Again, had the trainers been cognizant of this attitude prior to the training, they perhaps could have better dealt with its implications.

One of the goals of this seminar was to identify vulnerabilities. This was straightforward for most if not all of the Operating National Societies. All suffer from an extreme lack of funding, which severely hamstrings their activities. Some participants mentioned, for instance, that they cannot even afford paper to make posters. They are painfully aware of their own weakness and vulnerabilities in this area, and felt disappointed that the implementation of many of the income generating activities presented in the seminars, for a variety of reasons, simply is not within the realm of possibility.

Many of the participants felt much of the course material was inappropriate because the local economic conditions were simply too different from the assumptions and

expectations of the trainers. Their reality embraces a different set of complexities, for example:

The training on fundraising in particular did not always fit the local socio-economic situation. The local societies for the most part have nowhere to turn for funds. People and organizations, for instance, would frequently be happy to assist, but they have no means to do so. They can't even give away products since they don't have enough resources of their own. The instructors should have acquainted themselves a bit sooner with the local situation.

To start a farm, some seed money is needed, which we don't have. For example, to rent the RC office is about 78 thousand tenge per two quarters. We learnt a lot, but it will be difficult to implement what we learnt.

You do have to look at regional particularities, the regional situation and differences. For instance, there are very few businessmen around here, but there are very many poor, and many elderly.

The instructors taught based on their own situation and experience. Of course, not everything fits the situation here; there is very little by the way of funding sources available here.

A large number of participants cited the collection box method of fundraising as a particular problem for them. Apparently the trainers strongly had encouraged this method of fundraising, but in the Central Asian context, this method is entirely inappropriate. In this part of the world, begging, and anything and anyone associated with begging, carries a harsh social and moral stigma. This is related to the symbolism attached to the central role of the extended family in these societies. Individual identity does not exist outside the context of familial identity, and kinship relations. It is only in an extremely deviant, dysfunctional situation that the kinship network cannot provide for an individual, which would lead to begging or other shameful means of support. Had the trainers understood some basic elements of the social structure, and values of the local cultures this problem could have been avoided.

The instructors have more developed options and methods of fundraising than we do. Our population is not at that level and not all the same options work. For example, going around the city with collection boxes is not possible here--nor is taking collection boxes to holiday celebrations. Maybe in the future some of this will be an option. For now we have to think about things and change them to fit our own situation.

We had the impression that the trainers did not understand our economic situation and our mentality. (In terms of fundraising) our emerging business people earn money for their own pocket--not for charity.

The trainers have another system and another structure. They should have known more about our culture, economy, social life and mentality. We lag behind.

The Finns should have known our banking and economic system better.

Despite these caveats some were able to use the knowledge to create successful fundraising programs. One of the most impressive responses came from a Turkmeni participant, who reported having collected one million Manat, through a fund-raising program, sending letters to all enterprises and state organizations. This respondent also described how Niyazov, the president, had donated a part of the profits of several enterprises to the Red Crescent. One is a communications equipment company, another a construction firm, and another a business venture. In addition, the Red Crescent has delved into other innovative income-generating activities, such as controlling a pay parking lot for three hundred cars, and renting out part of its office space (provided free by the government).

For the most part, the Central Asian Operating National Societies are working under, formidably adverse, conditions and in many cases it is remarkable that they have continued to function at all. One remark critical of the attitude of the trainers reflects these difficulties: a number of respondents noted that when asked specific questions of how to cope with some problem or other, the trainers refused to engage with the questions and problems, stating only "I don't wish to discuss that," or "it is not my field of expertise." The respondents in frustration said "we have no choice but to deal with everything—we are forced to deal with such things." The interviewers were not given concrete examples of these requests, so it remains unclear precisely why the trainers adopted this attitude.

Jeff Jacob's report, drawn from observing a Finnish training session, was critical of this part of the training. Relating the encounter between the trainers and the participants about the local budgeting and financial planning process, the trainers voiced their opinion:

that this practice is faulty in that the head accountant is not well positioned to be creating program budgets. The participants reacted indifferently to the proposed better way, and did not show any lose[sic] of belief in "their" way. There was no conclusive discussion/example to better highlight the reasoning for the FRC's recommendation for change.⁹

3. Volunteers

Volunteers comprise the backbone of the Red Cross/Red Crescent Societies. But volunteerism in the Central Asian republics is by no means straightforward. The Finnish team in their report after their first seminar, stated that they had encountered

⁹ Jeff Jacobs, Trip Report, March 3, 1995.

conceptual problems unique to this context. The idea of the volunteer carries with it a great deal of psychological baggage inherited from the Soviet period, when "volunteers" often were anything but that. Traditionally, the Communist Party or workplace "ordered" people to volunteer, so negative connotations remain, and there is an unfortunate stigma attached to the term and the idea. This potentially could handicap the functioning of the Operating National Societies in a serious way, and needs to be addressed. Perhaps an alternative discourse needs to be developed, devoid of these connotations.

In the course of the interviews, there was some confusion about active vs. passive volunteers. It eventually became clear that the latter were those who merely had paid their membership dues--a very nominal sum. The former were those who actually donate their time and are engaged in Red Cross/Crescent activities. Recruiting active volunteers remained a primary concern for many of the participants. Again, the societies of Central Asia constitute a context far removed from western, middle class society with a history of philanthropy and a strong non-governmental, non-profit sector, replete with enough adults who either are not engaged in wage labour, and thus have free time on their hands, or else choose to devote a portion of their leisure time to volunteerism. In Central Asia, with the economies in crisis and with incomes and standards of living plummeting, with nothing but insecurity facing most citizens, it is a rare individual indeed who can afford the time and luxury of volunteering in Red Crescent activities. More and more individuals work numerous jobs simultaneously, and in any free time they might have, they are scavenging to fulfill basic needs for their families. Furthermore, another issue that arose was a need for some sort of incentive to be provided for volunteers.

Some of the responses to the questions about membership and volunteer recruitment:

From Kyrgyzstan:

We have sixty-five new recruits but there's no money to conduct work with the volunteers. No member fees are collected.

An interviewer noted that based on an interview with a participant in Turkmenistan, the idea of stimuli for volunteers seemed important. One such successful stimulus has been established with the help of the Turkish Red Crescent, whereby each summer several young student volunteers are invited to vacation in Turkey--five boys and five girls.

One participant pointed out that due to differences in terminology,

at first we didn't understand because they use the term "activist" rather than the normal understanding of the term "volunteers"

Another had recruited 49 volunteers. There were no membership fees, but activists (active volunteers) often contribute small amounts--5-15 Som out of average monthly wage of 350 Som.

In another case, the respondent claimed that they had five thousand passive members,

starting with the heads of businesses and ends with the lowliest worker on the collective farm.

Yet another reported that there were more than 150,000 passive members, and that things were progressing step by step as planned for financing. Forty-fifty volunteers (active) were giving their time. They also

are changing methods with the volunteers. Other non-governmental organizations (NGO), such as a Chernobyl related group, help out Red Crescent.

Other extremely large numbers of passive volunteer/members ranged from 360,000, to 40,000. This latter figure, from Kazakhstan, involves each person contributing 10 tenge per year. Several others said that they had between 4-6000 members, about 25% of whom were new, recruited after the training courses.

One claimed "about 150 new active volunteers."

Another talked about 200 new volunteers in the oblast. They help the nurses at the hospital, work with youth, the elderly, the lonely, etc.

Most volunteers are relatives of people who are sick. Under socialism it was easier. Now people are trying to find a way to live, and many are busy with small versions of capitalism—selling things at the bazaar. There is a different understanding now.

Many participants stated that they wanted more information about the legal context in which they work. They also would like comparative information from other countries about how the Societies function there, in different legal and tax regulatory structures. One participant described how they have changed their practices as a result of the training:

We changed our tactics in working with volunteers; this has helped us recruit new ones. Now we work on setting up local branches staffed by volunteers. When we saw how the Federation is interested in our work, we started feeling greater responsibility. I would like to have similar training at least once a year, since we are now isolated from Russia and the CIS. I would be interested in knowing how the Red Cross works in Ukraine for instance, and all over the world. I would like to know about new laws, new programs, and new methods which we could use in our work here. Those laws are regulations which facilitate the work of RC in other countries; we could use them to try to develop similar laws here.

4. Giving Gifts

A corollary problem to the one discussed above regarding collection boxes, is mentioned by the Finnish team in their report after Phase II. They note that providing assistance to the poor and needy is problematic in this culture. Instead, gift giving is the culturally acceptable mode at every level of society. Thus, when distributing food, clothing, and other sorts of aid, this cultural norm must be taken into account. The distribution of such items should not have connotations of charity, but rather of gifts.

Furthermore, at all levels of society, gift giving can take the form of bribery. Apparently this commonly employed practice has been used by some Societies in order to obtain access to media coverage. The Finnish report strongly condemns this, warning that it may endanger the integrity and image of the national Society in question.

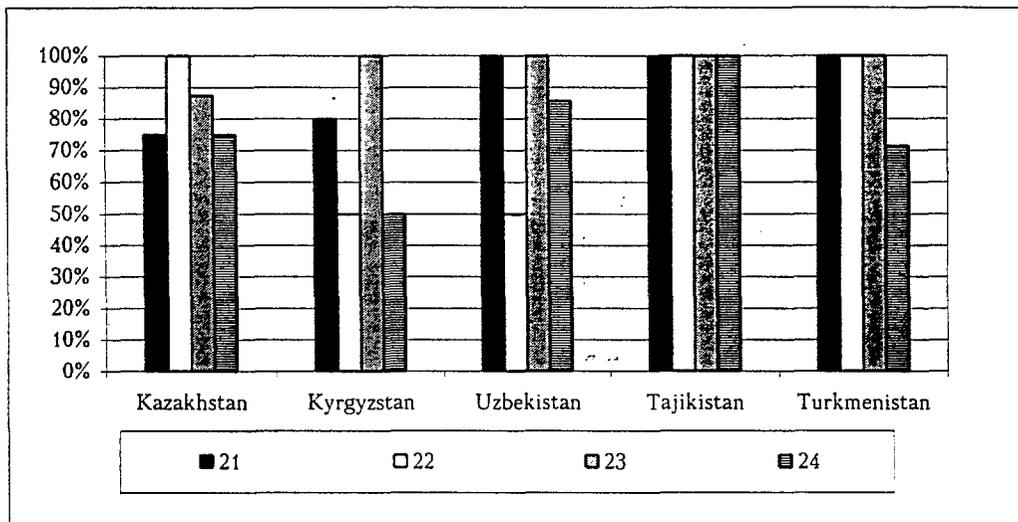
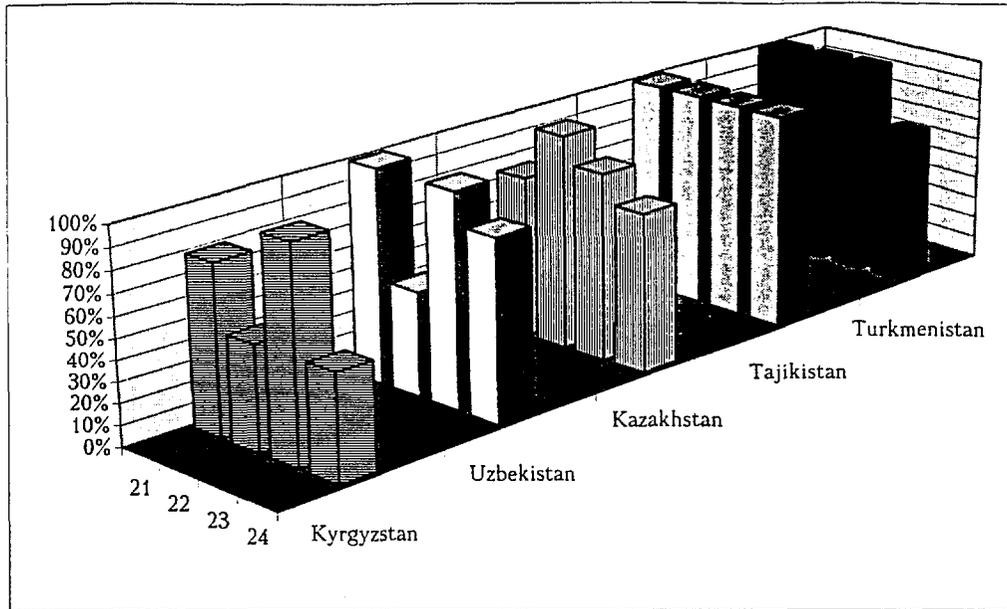
E. Impact of Training

The impact of the seminars is assessed here, taking into consideration the problems the Operating National Societies face. Some new projects and fundraising activities initiated as a result of the training are presented. It addresses the differences they can see in their planning and implementation of programs after the seminars. Also, it will pinpoint the additional skills and knowledge they still need.

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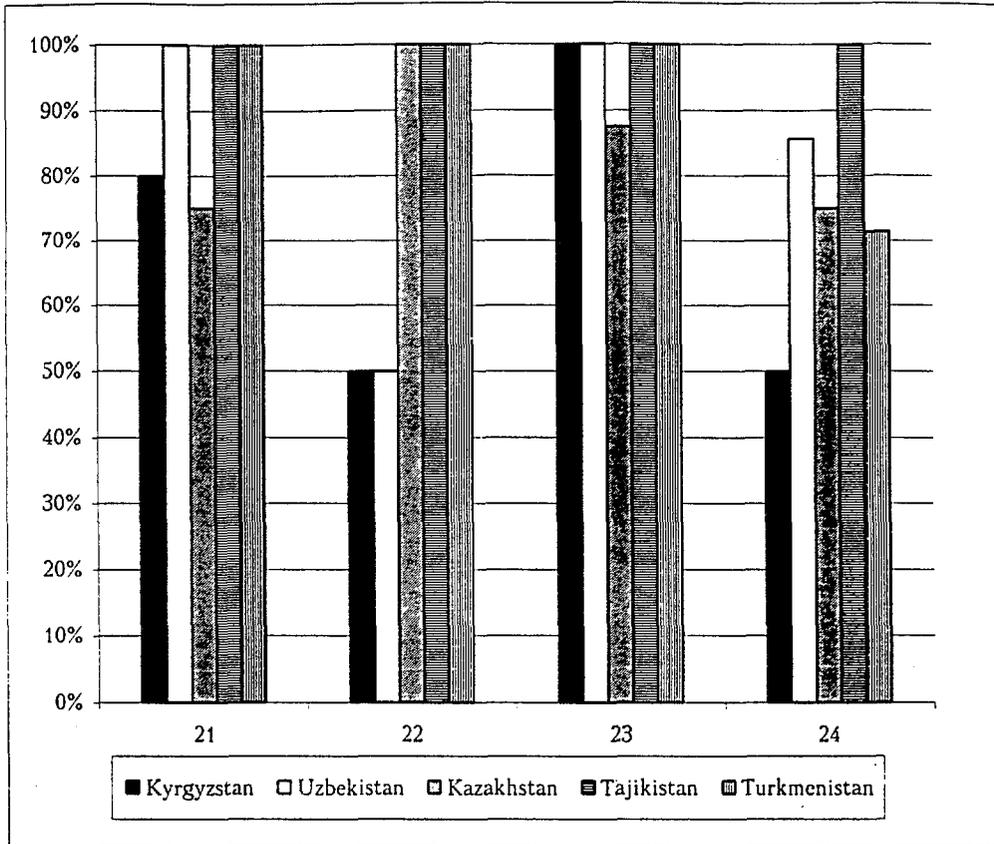
Despite the widespread feeling that much of the training was oriented towards ideal conditions, and not the current reality, numerous projects have taken place or been planned with the aid of new knowledge acquired from the seminars. Many participants expressed deep appreciation and thanks to the organizers for holding the seminars.

Impact of training: by country



21. Based on the training, have you been able to recruit new volunteers?
22. Have you used fundraising methods you learned in the training?
23. Arising from your training, have you carried out any public relations activities?
24. As a result of the training, have there been any specific projects you have carried out for your organization?

Impact of training: by question



21. Based on the training, have you been able to recruit new volunteers?

22. Have you used fundraising methods you learned in the training?

23. Arising from your training, have you carried out any public relations activities?

24. As a result of the training, have there been any specific projects you have carried out for your organization?

They were very moved and inspired by the training sessions, which provided an immense psychological boost they needed to work in such difficult times and conditions. Many phrased it in terms of 'we always felt that we worked alone; now we see we are part of a larger community, part of this work throughout the world.' The videos helped tremendously in this, as did the not insignificant act of bringing the participants together in one place in order to discuss problems, share experiences, and work synergetically from them. In addition, being chosen to participate in the training made many of them feel that their work is indeed worthwhile, that someone out there genuinely cares about them and their work. This intangible is perhaps one of the truly most significant aspects to emerge from the training: it translates into impact in terms of generating excitement which trickles down through the organization. One concrete manifestation of this is the eagerness with which many of the ONS have sought out local media and public relations techniques to spread their message and disseminate information about activities. Numerous successful projects were described. Some of these include:

- + Successfully finding state funds for the hospital that Red Cross/Red Crescent runs for WWII veterans and disabled, the lonely and elderly. For two months the hospital had been operating on enthusiasm only and was in debt. Now, since May, they have been receiving funds from the local government--out of the state budget.
- + initiation of a program with the United Methodist Church in the United States. "Project to Preserve Charity Service and Improve the Condition of the Vulnerable in the Population." They were asked to let the Church know what funds were needed for their projects, and the Church (in Ohio) would do its best to locate those funds.
- + providing medical and social assistance to the lonely elderly, the suffering, and veterans. They are now doing more work with the most vulnerable stratum of the population--with orphans.
- + conducting a ten-day fundraiser to support nurses. In 1992-93 there were 243 nurses. Now there are only 32, because they cannot afford to pay any more than that. They lost much of their funding and have now started finding new sponsors.
- + assessing needs and their costs, of orphaned children with no support. They set up savings accounts in banks that the children will have access to at the age of 18, thereby providing them with their own resources.
- + throughout Uzbekistan, the Red Crescent finds out how much is needed by way of food, clothing, etc. and try to provide it to the lonely elderly, the poor, and veterans; some veterans cannot even find bread to eat.
- + Successful recruitment of volunteers

In terms of strategic planning, one respondent reported that as a result of the training, they now have a much more realistic set of projects. Prior to the training courses, they had a list of fifty measures they wanted to pursue. After the course, they realized they needed to focus their energy, and they have narrowed that list down to three main projects. This would appear to be a significant success of the strategic planning and budgeting training.

Another respondent listed new activities as: 1) Fundraising to collect tents, clothes, beds and other items to be distributed in times of disaster; 2) Training schoolchildren in first aid; and 3) offering additional assistance to the hungry, disabled, elderly and others.

One participant described how they started sending trucks loaded with flour and meat and clothes, etc., to Chechnya. Verification of receipt of the goods was provided by the people who delivered the items, who brought back documents proving that they delivered the goods to the proper location for distribution.

Another participant listed three main projects: collecting items for distribution to the poor and needy in Kazakhstan, raising vegetables for sale, and sending items to war victims in Chechnya.

One area where a great deal of success was reported, often as a result of the training, was in media and public relations. Many respondents listed media events and public relations campaigns carried out. Some were:

A radio interview about our activities was given on the Red Cross/Red Crescent Day, and we have had thirteen articles in newspapers, and an article about our own seminar which was based on the course materials (we held our seminar for chairpersons and their deputies of all our rayon [district])

A participant in Dushanbe said:

In terms of public relations, the Society has prepared signs describing the main principles of the Red Crescent and depicting the emblem, which were placed on sixteen buses; signs and banners with slogans such as "Charity" and "Humanism" were placed on four more buses.

The participant had just begun talking about his "good contacts" with the local papers, especially Vechernyi Dushanbe and with local radio when the phone line went dead.

Others described seminars with local press, articles published, interviews with radio and television, and participation in public roundtables.

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In conclusion, there was a sense that the training sessions had stimulated a great deal of activity. The participants for the most part enjoyed the training sessions

and found them tremendously beneficial, notwithstanding the criticism. There was an overwhelming desire for more concrete, practical training in all aspects of the courses. This emerged from interim evaluations as well as this final one. They felt that the new information they were receiving was interesting and important, but it fell short in the area of the actual nuts and bolts of practice leading to implementation.

#### IV. CONCLUSIONS AND RECOMMENDATIONS

##### **A. Inbuilt Bias and the Culture of Criticism**

The inheritance from the recent Soviet past has created an environment marked by the reluctance to criticize any superior, teacher, foreigner. The reasons for this behaviour are complex, ranging from past learned normative behaviour, to a sense of shyness, awkwardness and awe, combined with feelings of inadequacy and inferiority in the face of westerners and western know-how. This surely has effects on the evaluation process and can be expected to affect the results obtained. World Learning's Jeff Jacobs, in his report mentions this problem, calling it the "non-critical norm" of society.<sup>10</sup> As already mentioned, he notes that individual evaluation forms were haphazardly completed, with little thought given to the questions. However, he also points out that in informal, one-on-one conversations, the individuals were considerably more openly critical than they were on paper. He further observed that having trainees participate in a general evaluation forum was fairly fruitless, as it does not deal with the basic non-critical norm. Future training might take this into account, and try to address this fundamental problem.

Not unrelated to this is the fact that telephone interviews, market research, and surveys are not part of the normal social life of citizens of the former Soviet Union. Central Asians in particular were even more isolated than Soviets of the Baltic Republics, Ukraine and Russia, in terms of exposure to westerners and western ways. Thus, due both to their unfamiliarity with this form of social practice, as well as the aversion on the part of many of the respondents to frank criticism, we can expect that some of the empirical results of this evaluation exercise to be biased toward the non-critical.

Taking this into consideration--as well as the not inconsiderable logistical impediments--it is recommended first, that evaluations based on telephone interviews be avoided whenever possible. Second, future evaluation forms should be constructed using predominantly open-ended questions. Such a format is far more conducive to elicitation of productive responses. As an alternative mode of evaluation, small focus groups might be attempted. Other NGOs in Central Asia have used this format very successfully.

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<sup>10</sup> ibid.

## B. Understanding the Context

A central problem that emerges from the above feedback is that the trainers were unprepared to deal with the specificities of the local situation. This led to the dissemination of inappropriate material and information, which sometimes resulted in resentment and disaffection on the part of the participants, who felt that they and their problems were not adequately understood and taken into account. The following are suggestions as how best to remedy this for future training programs.

It should be a priority to find trainers who have extensive local knowledge and experience of the cultures in which they are working. If this is not possible, it is essential that the trainers be familiar with the political economy of the region, for example, the role of the state at the local level, history of Soviet Union and the role of the Central Asian republics in it. In addition, they must receive cultural sensitivity and cultural awareness training prior to the seminars. This would alleviate faux pas such as the one discussed above, where some of the women during the Finnish session were dressed and sitting in ways that were interpreted by the participants as extremely insulting and offensive. Such behavior only distracts from the training, as well as undermines the credibility of the trainers and creates a negative ambiance.

If it is not possible to find trainers who also are experts in the region, it is essential to build into the budget for the training adequate time for the trainers to acquire the necessary background. This would certainly entail background reading in specialist literature, and should also include receiving custom-designed tutorials by regional experts, including anthropologists, economists, and political scientists. Though one rarely can satisfy everyone (as evidenced by some of the vastly contradictory responses elicited), or avoid all cultural faux pas, a great deal of respect can be won by making explicit efforts to understand a given situation and culture. This makes a significant difference in the overall effects of the training.

Other foreign NGO training programs have found that one problem they have experienced is an inability on the part of the trainers to conceptualize the significance of the **transitional period** which the Central Asian Republics currently are undergoing. Instead, the trainers have a simplistic, Manichaeian view of the society: they recognize the previous Soviet command economy and one-party rule; and they understand western-style liberal democracy. However, the Central Asian Republics fall between these proverbial stools, and neither model is appropriate. An adequate understanding on the part of future trainers of the contemporary situation and transitional nature is essential.

## C. Methods

### 1. Approach

If the trainers still do not have the experience and the answers needed by the trainees, a different learning approach is in order. For example, these seminars seem largely to have employed prescriptive approaches, attempting to lay out concrete solutions to problems and situations familiar to the trainers. However, these often proved inappropriate to the target population. Instead, a more proactive, participatory approach should be used, whereby the participants themselves would be responsible for first, identifying, then discussing, and finally coming up with solutions to problems.

## 2. Autonomy, flexibility and initiative

In the report prepared by the Finnish team after their first seminar, the trainers complained about problems with the participants' approach. They described it as 'old fashioned,' and said that there was an inability and unwillingness to plan and work independently, and to take initiative.

Many other foreign training programs in the Central Asian Republics have reported similar problems. This surely is one of the most challenging aspects faced by the trainers. In a society where there never has been any deviation from the norm of traditional, hierarchically defined lecturing as the very definition of education, small break-out groups, individual study and projects, role playing, and the like, are seen as extraordinarily radical at best, dubious, worthless, and suspicious at worst. It takes an exceptionally motivated and dedicated trainer to convince otherwise skeptical trainees to trust in such methods.

Most of the participants were regional directors, and therefore in appropriate positions of responsibility--in theory--to be able to implement change. However, due to a history of a highly centralized state, permeating every aspect of society, some of the regional directors still feel threatened, or at a loss in terms of their ability to take independent decisions and action at a local level. Assistance and training is definitely needed about how to act and make one's own decisions. Traditionally, the risks of taking decisions on one's own were far too high to be considered worthwhile. Instead, a deep-set pattern of receiving and obeying orders from on high is the modus operandi. It will take a good deal of understanding and thought on the part of future trainers about the significance and widespread repercussions of this system in order adequately to deal with overcoming the consequent problems.

This can be achieved, and there have been some remarkable success stories locally, with local converts now proselytizing, and where the acceptance of new training techniques have ramified out to many other arenas. One way to rectify this is for the trainers to discuss their plans with other people experienced in analogous training programs in the area.

Some sort of a grass-roots organizing training might be in order for regional directors and their staffs. Deep-set social and cultural patterns need to be

questioned as novel notions such as the ideas of individual agency, and personal responsibility and accountability need to be fostered. These are very delicate and complex issues, and should be addressed by highly skilled professionals with extensive knowledge of the history, social psychology and sociocultural system of Soviet Union.

There appeared to be an overwhelming preference for the Swedish training methods over the Finnish. It is very important to highlight that this criticism is not meant to imply that the Finnish training failed--it did not, by any stretch of the imagination. However, it could have been more effective, in the numerous ways discussed throughout this report. Inferences drawn from the interviews would suggest that this is due to a variety of factors:

- 1) the Swedish trainers better understanding of andragogical theory and practice,
- 2) better preparation,
- 3) greater degree of flexibility.

Future training should make use of these constructive practices, even to the point where Swedish trainers and methods be used as models to train other potential trainers.

#### **D. Local Expertise**

The regional headquarters of the Red Cross/Red Crescent in Almaty, Kazakhstan is an invaluable resource. The trainers should receive extensive briefings prior to the training from this locally based staff. Furthermore, this staff should be in a position to vet the training methods and content prior to, and, if necessary, during the sessions, as they are in a better position to understand local needs and appropriateness.

#### **E. Indigenous Trainers**

A long term goal should be to train a cadre of local experts, drawn from indigenous staff, who in turn can become specialist trainers. Highly motivated individuals should be identified for intensive training. This would eliminate the need for interpretation at sessions, an unfortunate aspect to the training. A great deal is lost in interpretation, a stilted and limited form of indirect speech which only hinders communication. Moreover, many if not most of the problems arising from the trainers' ignorance of local conditions and practices would be overcome. In addition, this would have the advantage of not making the local Societies so utterly dependent upon first world Red Cross organizations. Local Red Crescent/Cross workers should be intimately involved in the micro-design of the training sessions, so as to prevent such errors as that of the collection box.

#### **F. Volunteers**

Since volunteers are essential to the successful functioning the Red Cross/Red Crescent societies it would seem crucial to deal with the confusion arising from conceptual conflation of the Soviet-style volunteer with the Red Cross/Red Crescent sort. Attention needs to be paid to this issue, and perhaps an alternative discourse needs to be developed, devoid of the historical stigmas.

#### **G. Secrecy vs. Openness**

As discussed above regarding the territorial attitude of the accountants, there is a problem with the sharing of information. This can have negative effects in many fora of a Society's work. Future training might try to tackle this problem at some level.

#### **H. Training Sites**

It is recommended that all training be held in isolated sanatoria or other conference sites. The trainers mentioned that some of the participants seemed not to take the sessions in Almaty seriously, since they had a high absentee rate. However, it should be understood that in this part of the world such training courses are seen as perks and rewards for good work. Considering that this is the presumption, if such courses will be offered in capital cities such as Almaty, in particular, the trainers should be well aware of this when scheduling. It is not realistic to think that this will not be the case. Considering that in most areas of Central Asia, even the most basic and banal consumer items are unavailable, anyone who has the opportunity to go to the city will be expected to spend a fair amount of time in procurement of goods. One of the participants repeated numerous times during his interview that there should have been more leisure time incorporated in the schedule, with perhaps the seminar running for an additional day or two to compensate. Though he was the only one who explicitly brought this issue up in the interviews, clearly many others shared his sentiment, as evidenced from their absence from the sessions.

## **I. Complementary Funding Sources**

It was not clear from the comments of most of the respondents whether or not they had had sufficient exposure in the training to alternative sources of funding. In only a few cases was there evidence of attempts to solicit assistance and funds from other sources, such as a sister Red Cross Society. One participant listed finding a partner Red Cross Society as a top priority in their strategic plan. However, several other participants mentioned that they would very much like to learn more about the ways and means of applying and seeking grants from other organizations and countries. For any future training, it would seem critical that they receive this information. As this is an alien practice in this part of the world, essential to this information is explicit training in grant proposal writing. One organization that provides this type of training is the USAID contractor Counterparts, which runs regular grant-writing workshops in Central Asia.

## **J. Recommendations of Participants**

A number of participants suggested that it would be extremely beneficial for them to go on study tours to other countries in order to witness first-hand the activities of other Red Cross Societies. A suggestion was India, as an appropriate country facing analogous economic problems--more relevant than European or Scandinavian countries, the latter of which enjoy a wealth of public support far beyond the imaginations of the Central Asian ONS. One person raised the possibility of local Red Crescent staff observing the activities and practices of other Societies by working in either short-term, or extended stay internships.

In verbal and written comments, many respondents referred to the lack of fit between theory and practice. "We need to know how to apply this information in the local conditions," is a typical criticism. Furthermore, many participants, particularly at the conclusion of the first Finnish seminar, requested concrete information about the relevant legal framework in which they work, and information about other international foundations, which could be of use to them. It would seem that these sorts of concrete needs and requests could be addressed in future training.

## **K. Follow-up**

Finally, considering the virtual inundation of information received by the participants in the training seminars follow-up programs are very important in the process of institutional development. The Red Cross is in the planning stages of setting up a team of Resource Development Advisors to the Operating National Societies. This program will be extremely important. In addition, other sorts of short or long-term resident specialist advisors, regular visits to assess needs and progress, study-tours, additional training, and the like are recommended, all of which would aid in organizational development and viability. Furthermore, this

would reinforce the concern expressed in Jeff Jacob's report, about verification of understanding of the new material and methods.

#### **L. Final comments**

Despite the criticism above, it is important to place these training seminars in their proper context. This is one of the very first non-governmental organizations to have attempted to carry out such comprehensive work on institutional development in Central Asia. Compared to the much easier work environment in Russian and some of the other former Soviet Republics, the five Central Asian Republics contain their own unique and imposing challenges. These trainers deserve a great deal of commendation for having carried out this difficult work.

When compared to many other training programs sponsored by foreign NGOs in the Central Asian Republics, this one merits special recognition for its unqualified success with the incorporation of innovative teaching techniques in the sessions. Other training programs often encounter resistance and lack of cooperation on the part of the trainees in the face of techniques such as role playing, small break-out workshops, individual projects, discussion, and the like. That these techniques worked so effectively, and elicited such categorical enthusiasm from the participants says a great deal in terms of the skill and professionalism of the trainers.

Though mindful of the caveats discussed above, in summary this report shows that the four training sessions evaluated here evidenced a high degree of success. They fulfilled their mandate of offering technical assistance, institutional development and the strengthening of organizational capacities within the time frame set to carry this out. The Central Asian Red Crescent/Red Cross Societies, as indigenous NGOs yet with US partners, perfectly fulfill the criteria set out by the USAID/World Learning Contract. The training programs discussed here have made enormous strides towards achieving the long-term goal of institutional self-sufficiency and viability by providing support and assistance to local NGOs.

APPENDIX A

SURVEY INSTRUMENT--RUSSIAN

## АНКЕТА

“Я хочу заранее поблагодарить вас за то, что вы согласились принять участие в проведении этого процесса оценки. Мы очень высоко ценим ваше мнение и ваши соображения. Всякий раз после проведения Красным крестом/Красным полумесяцем обучающих семинаров, аналогичных тому, в котором вы участвовали, к ним предъявляется требование о нанятии независимых экспертов, которые не связаны с деятельностью Красного креста, для проведения оценки, подобной этой, и для этого есть несколько причин. Например, необходимость выяснения эффективности проведенного обучения. Было ли оно для вас полезным? Помогло ли в вашей работе? Повлияло ли оно на вашу организацию? Соответствовало ли оно вашим целям? Красный крест также хочет знать ваше мнение о возможном усовершенствовании курса, чтобы иметь возможность внести соответствующие изменения при проведении обучающих семинаров в будущем. Еще раз благодарим вас за ваше содействие.

После завершения всех интервью и на их основе будет написан полный отчет. В этом отчете НЕ будут указаны имена опрошенных людей. НИ ОДИН человек ни в вашей, ни в какой-либо другой стране никогда не будет иметь доступ к личной информации, содержащейся в этих интервью. Ваши ответы будут анонимными, и навсегда останутся на 100% конфиденциальными. Мы благодарим вас за вашу честность при ответе на вопросы.”

“Для начала мне хотелось бы задать вам несколько вопросов, которые можно определить как вопросы “об общих условиях проведения обучения”

ДА    НЕТ

1. Легко ли вам было добраться до места проведения семинара?

а. Шведский семинар

б. Финский семинар

2. Было ли обучение организовано доступным образом?

а. Шведский семинар

б. Финский семинар

3. Удобными ли были комнаты, в которых проводился семинар?

а. Шведский

б. Финский

ДА    НЕТ

4. Было ли слишком холодно или слишком жарко в этих комнатах?

а. Шведский семинар

б. Финский семинар

ДА НЕТ

5. Было ли достаточно спокойно в помещении, чтобы вы могли сконцентрироваться?
- а. Шведский семинар
- б. Финский семинар
6. Было ли у вас достаточно места для работы?
- а. Шведский семинар
- б. Финский семинар

\*\*\*\*\*

“Спасибо. Теперь я хочу перейти к вопросам о реализованной методологии обучения”

7. Как бы вы в общем оценили обучающие навыки (мастерство) ваших преподавателей?

Удовлетворительно Неудовлетворительно

- а. Финский семинар
- б. Шведский семинар
- в. (Если неудовлетворительно, пожалуйста, объясните)

ДА НЕТ

8. Вы полагаете, что преподаватели имели достаточное понимание той ситуации в Средней Азии, в которой вы работаете?

(Например, существуют ли какие-нибудь конкретные исторические, экономические или политические условия в Средней Азии, отличающиеся от других стран мира, в которых работает Красный крест/Красный полумесяц, т.е. условия, требующие применения особой методологии и адаптации курсов, которые помогли бы сделать эти семинары более приемлемыми для вашей ситуации?)

[если “нет”, перейти к <а>; если “да”, перейти к <б>]

- а. Каким образом эта проблема могла бы быть решена? Что они должны были бы знать о вашей стране или лучше понимать?

6. Комментарии (по желанию, можно дать ответ путем обсуждения конкретных преподавателей)

9. Ниже приведены компоненты курсов. Какую бы оценку вы дали каждому из них?

Удовлетворительно      Неудовлетворительно

а. Лекции

Шведский семинар  
Финский семинар

б. Обсуждения

Шведский семинар  
Финский семинар

в. Работа в группах

Шведский семинар  
Финский семинар

г. Ролевая игра

Шведский семинар  
Финский семинар

д. Изучение конкретных примеров

Шведский семинар  
Финский семинар

е. Видеофильмы

Шведский семинар  
Финский семинар

ж. Комментарии

ДА      НЕТ

10. Пополнили ли эти семинары ваш прежний опыт работы в Красном полумесяце?

а. Шведский семинар

б. Финский семинар

ДА    НЕТ

11. Относились ли к вам как к ответственному, опытному взрослому человеку и как к равному?

а. Шведский семинар

б. Финский семинар

12. Поощряли ли ваши преподаватели вопросы от аудитории и проведение дискуссий, ведущих к приобретению новых знаний и умений?

а. Шведский семинар

б. Финский семинар

13. Что вы думаете о сбалансированности между теорией и практикой при проведении различных занятий: было ли дано достаточно конкретных примеров и практических упражнений, направленных на облегчение понимания новых теоретических понятий?

Удовлетворительно    Неудовлетворительно

а. Шведский семинар

б. Финский семинар

в. Комментарии

14. Вас уже просили дать оценку проводимому обучению; Обращали ли внимание ваши преподаватели на вашу оценку и ваши предложения по усовершенствованию материала обучения, и пытались ли они внести изменения?

ДА    НЕТ

а. Шведский семинар

б. Финский семинар

15.I. Выполнили ли вы домашнее задание после проведения второго шведского семинара?

ДА    НЕТ

15.II. Выполнили ли вы домашнее задание после проведения первого финского семинара?

ДА    НЕТ

[если нет, задать следующие вопросы:]

а. Было ли задание понятным?

ДА    НЕТ

- б. Было ли задание интересным?
- в. Было ли у вас достаточно времени?
- г. Достаточную ли подготовку дал вам семинар для его проведения?
- д. Прочие причины

\*\*\*\*\*

“Теперь я хочу задать вам несколько вопросов о содержании курса”

16. Во время проведения семинара было ли уделено Достаточно времени, Слишком много времени ИЛИ Недостаточно времени следующим вопросам?

**СЛИШКОМ\*\*НЕДОСТАТ.\*\*ДОСТАТОЧНО**

- а. Организационная структура
- б. Оценка потребностей
- в. Стратегическое планирование
- г. Финансовое управление, управление бюджетом и отчетностью
- д. Сбор средств
- е. Составление запросов на финансирование
- ж. Набор добровольцев
- з. Прочие

17. Соответствовало ли вашим потребностям обучение по сбору средств?

ДА    НЕТ

[если нет, укажите почему]

18. Каковы были сильные стороны каждого курса?

а. Шведский семинар № 1

б. Шведский семинар № 2

в. Финский семинар № 1

г. Финский семинар № 2

19. Каковы были слабые стороны каждого курса?

а. Шведский семинар № 1

б. Шведский семинар № 2

в. Финский семинар № 1

г. Финский семинар № 2

20. Федерация Красного креста и Красного полумесяца планирует проведение такого обучения в Российской Федерации. Есть ли у вас предложения по усовершенствованию этих курсов?

\*\*\*\*\*

“Следующие вопросы будут касаться влияния обучения на вашу работу и его применения”

21. На основе того, что вы узнали в процессе обучения, удалось ли вам набрать новых добровольцев?

ДА    НЕТ

a1. Сколько пассивных членов?

a2. Сколько активных членов?

б. Какова основная трудность при наборе добровольцев?

в. Каков размер членских взносов?

22. Использовали ли вы методы сбора средств, о которых вы узнали из этих семинаров?

ДА    НЕТ

23. На основе проведенного обучения, выполнили ли вы какую-нибудь работу по взаимоотношениям с общественностью?

ДА    НЕТ

[если "да", перейти к <23а>; если "нет", перейти к <23б>]

23а. Пожалуйста, опишите:

23б. Почему нет?

24. Были ли претворены в жизнь вашей организацией какие-нибудь конкретные проекты (или выполнена конкретная работа), которые возникли в результате проведенного обучения?

ДА    НЕТ

[если да, продолжать по порядку; если нет, перейти к <25>]

а. Что это за проект?

б. Существует ли письменное описание проекта?

в. Были ли найдены конкретные источники финансирования для этого проекта; если да, то что это за источники?

г. Существует ли план проекта?

д. На кого направлен этот проект? Каким образом?

е. Каково текущее состояние проекта?

ж. **Дополнительные замечания:**

25. **Каковы прочие основные изменения в вашей работе, в частности, в работе вашего офиса и вашего региона, которые вызваны проведенным обучением?**

\*\*\*\*\*

**“Наконец, я хочу задать вам несколько вопросов относительно подбора и подготовки кадров”**

26. **Каким образом вы были наняты на эту работу?**

27. **Каким образом вас уведомили о том, что вы выбраны для прохождения этого обучения?**

28. **Занимаете ли вы руководящую должность в офисе вашего Национального общества?  
[если нет, то какова ваша должность?]**

29. **Что вам сказали о цели предстоящих обучающих семинаров до их начала?**

30. Каковы были ваши ожидания?

31. Каковы были ожидания вашего руководителя?

32. Написали ли вы отчет по прослушанному курсу после его завершения?

ДА    НЕТ

33. Обсуждали ли вы материалы курса с вашими коллегами по работе?

34. Хотите ли вы сделать заключительные комментарии, критические замечания, предложения относительно каких-либо аспектов курса?

APPENDIX B

SURVEY INSTRUMENT--ENGLISH

## QUESTIONNAIRE

Opening statement to be read to all interviewees:

"I'd like to thank you in advance for agreeing to be a part of this evaluation process. We value your opinions and ideas very highly. Whenever the Red Cross/Red Crescent has training sessions such as the ones in which you participated, they are required to do have independent evaluators, who do not come from Red Cross, to carry out evaluations such as this, for several reasons. For example, they want to know how effective the training was. Was it useful to you? Was it helpful? Has it had an impact on your organization? Was it appropriate? They also want to know how you think it could have been improved, so that they can change it accordingly for future training sessions. Again, thank you very much for your cooperation.

A report will be written based on all the completed interviews. This report will contain NO names of any of the individuals who participated. NO ONE in your countries or any others, will ever have access to the personal information contained in this interview. Your answers will be anonymous, and they will always remain 100% confidential. We appreciate your total honesty in your responses."

**"To begin, I would like to ask you some questions about what I will call the 'general learning environment'**

**YES**

**NO**

**1. Was the site of the training easy to get to?**

a. Swedish

b. Finnish

**2. Were the training sessions conducive to learning?**

a. Swedish

b. Finnish

**3. Were the rooms comfortable?**

a. Swedish

b. Finnish

4. Were the rooms too cold or too hot?

a. Swedish

b. Finnish

5. Was it quiet enough to concentrate on the training?

YES NO

a. Swedish

b. Finnish

6. Was there enough space to work?

a. Swedish

b. Finnish

\*\*\*\*\*

"Thank you. Now I would like to ask you about the actual training methodologies"

7. How would you describe the presentation (teaching) skills of the trainers in general?

Satisfactory Unsatisfactory

a. Finnish

b. Swedish

c. [If unsatisfactory, please explain]

YES NO

8. Do you think that the trainers had enough understanding of the Central Asian context in which you work?

(For example, are there specific historical, economic, or political conditions in Central

Asia that are different from other areas of the world where the Red Cross/Red Crescent works, that require special methodology and adaptations in the courses which would have made them more relevant and appropriate to your situations?)  
 [if "no", go to <a>; if yes, <b>]

a. How could this problem have been solved? What should they have known, or understood about your country?

b. Comments [if they wish, they may respond by discussing specific trainers]

9. How would you rate these course components:

satisfactory -- unsatisfactory

a. Lectures

Swedish  
 Finnish

b. Discussions

Swedish  
 Finnish

c. Group exercises

Swedish  
 Finnish

d. Role Playing

Swedish  
 Finnish

e. Case studies

Swedish  
 Finnish

f. Videos

YES NO

Swedish  
Finnish

g. comments:

10. Did the courses build on your previous experience in the Red Crescent?

YES

NO

a. Swedish

b. Finnish

11. Were you treated as a responsible, experienced adult and as an equal?

a. Swedish sessions:

b. Finnish sessions:

12. Did the trainers encourage discussion and questions that led to new knowledge or skills?

YES

NO

a. Swedish sessions:

b. Finnish sessions:

13. What do you feel about the balance between theory and practice in the different training sessions: were enough concrete examples and practical exercises provided to help you understand the new theoretical concepts?

**satisfactory -- unsatisfactory**

a. Swedish sessions

b. Finnish sessions

c. Comments

[comments, cont.]

14. You were asked to write evaluations of the training; did the trainers pay attention to your evaluations and suggestions for improvement of the courses, and try to change?

YES NO

a. Swedish sessions

b. Finnish sessions

15. I. Did you complete the homework task after the second Swedish session?

YES NO

15. II. Did you complete the homework task after the first Finnish session?

YES NO

[if no, ask the following:]

a. Was the assignment clear?

b. Was the assignment interesting?

c. Did you have enough time?

d. Did the course prepare you sufficiently?

e. Other

\*\*\*\*\*

"Now I will ask you some questions about the the course content"

16. Were the following topics given the right amount of time, Too Much OR Not Enough time and attention during the training?

TOO MUCH\*\*NOT ENOUGH\*\*ENOUGH

a. Organizational Structure

b. Needs Assessment

c. Strategic Planning

d. Financial, budgeting, accounting  
management

e. Fund raising

f. Proposal writing

g. Volunteer recruitment

h. Other

17. Did the training on fundraising teach you what you needed to learn?

YES

NO

[if no, why not?]

18. What were the strengths of each course?

a. Swedish #1

b. Swedish #2

c. Finnish #1

d. Finnish #2

19. What were the weaknesses of each course?

a. Swedish #1

b. Swedish #2

c. Finnish #1

d. Finnish #2

20. The Red Cross/ Red Crescent Federation is planning to conduct this training in the Russian Federation. Do you have any suggestions for improving the courses?



**"The following questions are about the impact and application of the training"**

21. Based on what you learned in the training courses, have you been able to recruit new volunteers?

**YES**

**NO**

a 1. How many passive members?

a 2. How many active volunteers?

b. What is the greatest problem in recruiting new volunteers (aktivet)?

c. What are your membership dues?

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22. Have you used fundraising methods you learned in the training?

YES

NO

23. Arising from your training, have you carried out any public relations activities?

YES

NO

[if "yes," ask <23a>; if "no," ask <23b>]

23a. Please describe:

23b. Why not?

24. As a result of the training, have there been any specific projects you have carried out for your organization?

YES

NO

[if yes, continue; if no, skip to <25>]

a. What kind of project is it?

b. Is there a written project description?

c. Have specific funding sources been found for this project; if so, who are they?

d. Is there a project plan?

e. Who will benefit? How?

f. Current status of project?

g. Other comments:

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25. What are other general impacts that the training has had in your work--specifically, in your office and in your region?

\*\*\*\*\*

**"Finally, I want to ask you a few questions about Selection and Preparation"**

26. How were you selected for your job?

27. How were you notified of your selection for this training?

28. Are you a manager at your Operating National Society office?  
[if not, what is his/her position?]

29. What were you told about the purpose of the training sessions prior to attending them?

30. What were your expectations?

31. What were the expectations of your supervisor?

32. Did you write a report on the training sessions afterwards?

YES NO

33. Are there any final comments, criticisms, suggestions about any aspect of the course you would like to make?

"Thank you very much for the time you have given us, and for your participation and assistance in this project"

APPENDIX C

TABLE OF RESPONSES

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APPENDIX D

TIME FRAME OF TRAINING

## ANNEX II

## IMPLEMENTATION SCHEDULE

## I: Leadership and Management Training/SRC Folk College

| Date of Training     | ONS              | Location of Training   | Seminar |
|----------------------|------------------|------------------------|---------|
| 4-8 April 1994       | Turkmenistan RC  | Ashgabat, Turkmenistan | SRC 1   |
| 11-15 April 1994     | Uzbekistan RC    | Tashkent, Uzbekistan   | SRC 1   |
| 27 June-1 July 1994  | Kazakhstan RC/RC | Almaty, Kazakhstan     | SRC 1   |
| 4-8 July 1994        | Kyrgyzstan RC    | Ysyk-Köl, Kyrgyzstan   | SRC 1   |
| 11-15 July 1994      | Tajikistan RC    | Leninabad, Tajikistan  | SRC 1   |
| 5-9 September 1994   | Turkmenistan RC  | Ashgabat, Turkmenistan | SRC 2   |
| 12-16 September 1994 | Uzbekistan RC    | Tashkent, Uzbekistan   | SRC 2   |
| 26-30 September 1994 | Kazakhstan RC    | Almaty, Kazakhstan     | SRC 2   |
| 3-7 October 1994     | Kyrgyzstan RC    | Ysyk-Köl, Kyrgyzstan   | SRC 2   |
| 10-14 October 1994   | Tajikistan RC    | Leninabad, Tajikistan  | SRC 2   |

## II: Fundraising and Financial Management Training/FRC

| Date of Training      | ONS              | Location of Training   | Seminar |
|-----------------------|------------------|------------------------|---------|
| 14-18 November 1994   | Turkmenistan RC  | Ashgabat, Turkmenistan | FRC 3   |
| 21-25 November 1994   | Uzbekistan RC    | Tashkent, Uzbekistan   | FRC 3   |
| 16-20 January 1995    | Kazakhstan RC/RC | Almaty, Kazakhstan     | FRC 3   |
| 23-27 January 1995    | Kyrgyzstan RC    | Ysyk-Köl, Kyrgyzstan   | FRC 3   |
| 30 January-1 Feb 1995 | Tajikistan RC    | Leninabad, Tajikistan  | FRC 3   |
| April 1995            | Turkmenistan RC  | Ashgabat, Turkmenistan | FRC 4   |
| April 1995            | Uzbekistan RC    | Tashkent, Uzbekistan   | FRC 4   |
| May 1995              | Kazakhstan RC    | Almaty, Kazakhstan     | FRC 4   |
| May 1995              | Kyrgyzstan RC    | Ysyk-Köl, Kyrgyzstan   | FRC 4   |
| June 1995             | Tajikistan RC    | Leninabad, Tajikistan  | FRC 4   |

APPENDIX E

RESULTS OF FINNISH SURVEYS

# Seminar on Resource Development - Central Asia 94-95

## 1st Stage -- Evaluation of the seminar for the regional committees.

Below are noted the goals and objectives of each part of the 1st stage seminar. Please note (in your opinion) to what extent these goals were realized in the course of the seminar.

### 1. MONDAY

1. opening seminar
2. video - on vital necessities
3. Forecasts and expectations of results from this seminar
4. Issues and problems related to fundraising  
(outside/inside) brain storm method
5. Strategic planning  
(garden exercise, 3 short exercises)

### 2. TUESDAY

1. organizational ?'s, who is responsible for what?
2. home work on analysis (one aspect of work or full budget?)
3. Financing - basic elements
4. Local specifics in Finland
5. Financial management (examination of particular examples)
6. Financial (budget) report
7. Greetings from Finland

### 3. WEDNESDAY

1. Making the most of resources  
--committees  
--organizational structure -- staff
2. Video -- strength in numbers
3. Volunteers -- their role and selection
4. Introduction to Public relations  
--simulation: how to make contacts with the media

### 4. THURSDAY

1. Video -- revenue, income generation
2. Problem solving
3. Fundraising strategies  
--brain storming (finding ideas)  
--my best plan, my most serious blunder  
--the easiest, most difficult to implement  
--aspects of membership
4. Action plans  
--homework for the 2nd stage
5. Role play (simulation) -- looking for and contacting sponsors
6. Evening entertainment

### 5. FRIDAY

1. Drawing conclusions  
--transition to 2nd stage

### Questions:

10. Please note what knowledge gained in the course of the training seminar will be useful to your work with the Red Cross.

11. Give your comments concerning the training methods used in the seminar.
12. Give your suggestions for your group leader as to what additions/changes should be made in the content or method of instruction of the seminar to improve it and make it even more successful.
13. Mark on a scale your score of the seminar in terms of its usefulness and applicability to your Red Cross Red Crescent.
14. Take this opportunity to influence the preparedness of the 2nd stage seminar -- what do you expect in the way of content or training methods?
15. Other comments on the 1st stage of the seminar?

Responses to the 1st stage questionnaires: (NOTE: not all participants responded, and some responded with a few answers)

| ?                                  | Uzbekistan | Turkmenistan |
|------------------------------------|------------|--------------|
| 10.                                |            |              |
| all useful                         | 5          | 2            |
| almost all                         |            | 2            |
| fundraising                        | 3          | 3            |
| volunteers                         | 1          | 1            |
| financial mgt.                     | 2          | 1            |
| strategic plan                     | 2          |              |
| public relations                   |            | 1            |
| brain storm                        |            | 1            |
| RC regional work                   |            | 1            |
| 11.                                |            |              |
| RC regional work                   | 1          |              |
| clear, comprehensive               | 3          |              |
| great instruction                  | 1          |              |
| good enough                        | 1          |              |
| excellent                          |            | 2            |
| effective                          |            | 2            |
| targeted at right level            |            | 1            |
| Finances                           |            | 1            |
| 12.                                |            |              |
| Teachers good                      | 1          | 2            |
| More practical material and videos | 4          | 2            |
| not at right level                 | 1          |              |
| several answered --none            |            |              |
| 13. scores on a scale of 4.        |            |              |
| score of 4                         | 7          | 10           |
| score of 3                         | 1          |              |
| 14.                                |            |              |
| Fundraising in regions             | 1          |              |
| How to implement this practically  | 4          | 1            |
| More on the RC                     | 2          |              |

More on Finland 1  
Expect high outcomes 1  
Concrete fundraising 1  
Laws in society 1

15.

Hold seminar in Tashkent 1  
More concrete e.g.  
on fundraising 1  
Laws in society 1  
Fundraising in CA 1  
More practical ?'s  
on Fin. mgt. 1  
More concrete exercises 1  
More time to interact with and learn about RC 1  
Knowledge acquired commensurate with program 1  
several answered --none

# Seminar on Resource Development -- Central Asia 94-95

## 2nd Stage -- Evaluation of the seminar:

Below are enumerated the goals and tasks of each part of the 2nd stage seminar. Please note to what extent these goals were reached in the course of the seminar.

Scores: 1 - highest -- 5 - lowest

### 1. MONDAY

1. opening of the seminar
2. year in the regions, districts (working groups)
3. Examples of practical work in resource development: Zimbabwe
4. Video tape overview

### 2. TUESDAY

1. homework: evaluation of the campaign (fundraising?)
2. running the campaign -- from A-Z
3. volunteers
4. video (Singapore fair?)
5. Strategic planning -- taking into account the unexpected (working groups)

### 3. WEDNESDAY

1. Public relations (working groups)
2. video tape (on marketing, PR is crossed out?)
3. making flyers and brochures (working groups)
4. Finding partners: International Federation of the Red Cross and Red Crescent, International Red Cross committees, participating and acting societies, other local NGOs.
5. Simulation (role play) on cooperation

### 4. THURSDAY

1. strategic planning for 1996 (working groups)
2. Simulation in strategic planning

### 5. FRIDAY

1. Final exam
2. concluding session

### Questions:

1. Please note what knowledge you acquired in the course of this training seminar which you will be able to put to use in your work with the Red Cross.
2. Give your commentary on the methods of training employed in the seminar.
3. Give your suggestions to the group leader as to what additions/changes should be made in the content or methodology of the course to make it even more successful (to perfect it).
4. Mark on a scale of 1-5 your value (score 5 -- most valuable, 1-- useless) of the seminar in terms of its usefulness and applicability to the work of the Red Cross.  
(some sheets had scoring of 1-4, 4 being the highest)
5. Other comments on the 2nd stage of the seminar.

Responses from Turkmenistan only:

1. 100%, all, will run seminars using your materials.
2. Clear, comprehensible, good exercises, concise, excellent, good.
3. More practical exercises, give homework daily
4. scores of 5 and 5/4
5. none

## Daily evaluations:

### Evaluating the Resource Development Seminar - 1st and 2nd Stages

1. Did the work of this seminar correspond to (relevant to) your area of work and meet your requirements?

not at all --1 -----5--fully

2. Will the seminar material prove useful to you in your work? 1-5

3. How professionally and effectively run was this seminar? 1-5

4. Which of the sections of today's' program were most useful?

5. Which section was least useful?

6. Do you have any particular recommendations to make to help improve our program?

Responses to questions 4, 5, and 6. (NOTE: not all responded, some responded several times)

? and sections                      Uzbekistan                      Turkmenistan

#### Most useful

|                        |    |    |
|------------------------|----|----|
| Strategic planning     | 12 | 12 |
| Fundraising            | 16 | 16 |
| Video films            | 11 | 4  |
| Public relations       | 4  | 4  |
| Disaster preparedness  | 4  | 5  |
| Financial report       | 4  | 4  |
| Financial mgt./plan    | 6  | 2  |
| Simulations/role-play  | 4  | 4  |
| Youth/volunteer work   | 2  | 1  |
| Problem solving        | 1  |    |
| Branch level org.      | 2  |    |
| Exper. exchange        | 1  |    |
| Social programming     |    | 3  |
| Making brochures       |    | 1  |
| Brain storming         |    | 2  |
| Legal basis for donors |    | 3  |
| Many responded --all!  |    |    |

#### Least useful

|                             |   |   |
|-----------------------------|---|---|
| Branch level org.           | 3 |   |
| Budget mgt.                 | 3 | 2 |
| Video                       | 3 | 1 |
| Planning (discuss of goals) |   | 4 |
| Youth work                  |   | 3 |
| Finance report              | 1 |   |
| Fundraising                 |   | 2 |
| Exper. exchange             | 2 | 1 |
| Public relations            |   | 1 |
| Disaster relief             |   | 1 |

|                          |  |   |
|--------------------------|--|---|
| (garden exercise)        |  | 1 |
| Too much on RC           |  | 1 |
| Several responded --none |  |   |

Comments:

|                                                          |    |   |
|----------------------------------------------------------|----|---|
| Need:                                                    |    |   |
| (to be) More practical                                   | 10 | 6 |
| More concrete                                            | 3  | 2 |
| Less repetition                                          | 5  | 4 |
| More visual aids                                         | 5  | 3 |
| More simulations                                         | 2  | 3 |
| More info. on RC                                         | 4  | 3 |
| Less time for exercises                                  | 1  |   |
| More focus on regions                                    | 1  | 1 |
| Too little follow up                                     | 1  |   |
| Pass out more material                                   | 1  |   |
| More exper. exchange                                     |    | 2 |
| More homework                                            |    | 4 |
| Trainers need to know more about Central Asian societies |    | 2 |
| More time                                                |    | 1 |
| Seminar can be applied to our work                       | 2  |   |
| Our systems are similar                                  |    | 1 |
| Training was clear                                       |    | 1 |
| 1st day was most interesting                             |    | 2 |

**EVALUATION**  
of the  
**Institutional Development Programme**  
in  
Russia, Kazakhstan, Kyrgyzstan,  
Tadjikistan, Uzbekistan and Turkmenistan  
1993-95

The opinions expressed in this report do not necessarily reflect those of the Federation or the National Societies of Kazakhstan, Kyrgyzstan, Russia, Tajikistan, Turkmenistan and Uzbekistan.

Made by:  
Luntan Bayarmaa  
Lars Birgegaard  
Alexei Gartinski

October, 1995

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## ACRONYMS

|         |                                                             |
|---------|-------------------------------------------------------------|
| AmCross | American Red Cross                                          |
| CC      | Central Committee                                           |
| ET      | Evaluation Team                                             |
| ID      | Institution Development                                     |
| FRC     | Finish Red Cross                                            |
| JRC     | Japanese Red Cross                                          |
| ONS     | Operating National Society                                  |
| PNS     | Participating National Society                              |
| RRC     | Russian Red Cross                                           |
| SRC     | Swedish Red Cross                                           |
| SWOT    | Strengths, weaknesses, opportunities and threats (analysis) |

## FOREWORD

This evaluation report is the result of a team work. The three members of the team have jointly made the analysis and stand behind all arguments and conclusions contained in the report. Writing has been the responsibility of undersigned. Hence, all shortcomings in terms of language and presentation rests with me.

In this foreword special thanks should be extended to Antonina Solovyova who undertook field data collection and analysis for Kyrgystan and to Dana Suyundikova and Georgei Katznelson, who served as interpreters in Central Asia and Russia respectively.

A warm word of thanks is also directed to all respondents who patiently tried to answer our seemingly endless tirades of questions. It is their cooperation which has made this into what hopefully will be a valuable learning experience.

Lars Birgegaard,  
Team Leader.

## SUMMARY

During 1993-95 an institutional and resource development training programme was implemented. It focused primarily on middle level managers in the national societies of Russia, Georgia, Kazakhstan, Kyrgyzstan, Uzbekistan, Turkmenistan and Tadjikistan. In all countries the Swedish Red Cross through its Folk College designed and implemented two week-long courses labelled Institution Development and Leadership. In Kazakhstan and Central Asia the programme was expanded with two additional week-long courses on Resource Development implemented by the Finish Red Cross. In all 27 Institution Development and Leadership courses and 10 Resource Development courses have been held.

~~The evaluation team has not been able to establish the number of participants in the courses~~ but on average some 20 participants attended the courses in Russia and some 25 the courses in <sup>the</sup> Kazakhstan and Central Asia. <sup>available</sup>

The programme was coordinated by the Federation and funded by the Swedish, Finish, Japanese and American Red Cross Societies.

While the programme was planned and implemented with the best of intentions by a number of highly committed and positive persons, it has experienced a number of problems. <sup>how hard to know this</sup>

One basic problem was for **foreigners** to comprehend the unique features of the process of radical and rapid political and economic transformation and the implications of these changes on the Red Cross and Red Crescent Societies in the countries involved. <sup>- was probably the best to understand change - local will overcome all else</sup>

The problems to design a relevant training programme was exacerbated by the absence of proper needs assessments at the level of the trainees in either of the two sets of courses. As a result the topics for training did only in part reflect the priority concerns of the trainees. This was particularly the case with the courses on Institution Development and Leadership.

To give the different topics a relevant content also proved to be a problem. The designers and facilitators were handicapped by their previous limited or lack of experience of working in an international environment and their limited knowledge and understanding of the conditions under which the trainees live as individuals and their organisations function.

This resulted in difficulties to chose relevant experiences, case studies, videos, etc. for presentation. There was an understandable tendency to refer to Swedish and Finish experiences which mostly were of questionable relevance. Furthermore, it constrained the trainers' ability to facilitate assessments of the potential of "foreign" experiences and the development of viable adaptations. It also constrained the trainers' ability to answer questions posed by participants. <sup>disagree</sup>  
<sup>this is not audiology</sup>

With very few exceptions the participants were very positive to the training methodology applied in the courses. This should be seen in light of the fact that they had never attended a participatory learning event before. Participants generally reported a higher appreciation of the teams from the Folk College.

Other observations indicate that the teams from the Folk College were successful in applying a participative adult learning (andragogic) approach. The facilitators were selected through a formal recruitment process (within the SRC) in which strong emphasis was put on personal characteristics and attitudes as a selection criterion. Extensive efforts were made to prepare the facilitators through a series of meetings. These meetings were continued during implementation as a feedback and learning mechanism. The teams proved flexible and culturally sensitive.

The teams from the Finish Red Cross were less successful in applying a participative adult learning approach. Their approach was more characterised by pedagogy than andragogy which implies a (adult) teacher (child/youth) student relationship. Within this framework the experience of the trainees becomes less important. The teacher has something to deliver. Teaching becomes more normative and prescriptive. Teachers talk more and students listen. This is not to say that the teams lectured to students. However, it means that the application of a participatory approach, which was attempted, was coloured by pedagogy.

The level of cultural sensitiveness in the Finish teams could perhaps have been somewhat higher. This in combination with more of an adult leaning approach could have prevented that corrective measures were resorted to in order to "keep order in the class".

It should be added that as in the teams from the Swedish Red Cross Folk College some Finish facilitators were more successful than others.

The impact of the programme in relation to its objectives has been limited. In relation to the objectives of the courses on Institution Development and Leadership the impact is even very limited. An initial positive effect on the moral of the participants has largely faded. The courses on Resource Development have had some impact in relation to the objectives to enhance programme planning and budgeting and to give recognition to the importance of image. An explanation to this impact seems to be that these topics were felt to be more relevant than other topics. Despite this observation, the overall conclusion is that the results of resource development courses still must be termed unsatisfactory.

*how much?*  
*? vague*

Four main reasons seem to explain the limited impact of the programme. Firstly, the prime concern of a majority of the trainees was the survival of their organisations. The content of the courses did not adequately reflect this situation.

Secondly, the content in terms of experiences, case studies, concepts, models, methods, etc. that were presented was often of limited relevance in the context of the trainees. A recurring observation by the participants in the interviews was that what they saw and heard was interesting but not applicable.

*how we follow way?*

Thirdly, too much was attempted in terms of coverage in the courses. This had a price in terms of the depth in which topics could be dealt with.

Fourthly, in the view of the evaluation team even well designed training programmes may not be the most efficient way to promote a process of institutional development. *what would be?*

In the absence of a consolidated financial reporting system it has not been possible to establish the costs of the programme. However, the estimate made by the ET suggests that the programme has been costly indeed. The Russian part of the programme has cost in the order of US\$ 545,000 (745,000 including 50% of the cost for the development delegate) and the programme in Kazakhstan and Central Asia in the order of US\$ 425,000 (625,000 including delegate costs). This means \$ 32,000 (44,000) per course-week or \$ 1,400 (1,900) per trainee in Russia and \$ 21,000 (31,000) per course-week or \$ 850 (1,100) per trainee in Kazakhstan and Central Asia.

*Replications at the oblast level?*

It has not been possible to divide costs on local and foreign costs but a fair guesstimate is probably that the bulk are foreign costs. The use of expatriate facilitators obviously contributed to this.

The evaluation team finds it somewhat ironic that a programme which was designed to teach needs assessment, programme planning including preparation of a budget and the significance of monitoring and reporting was planned

- without a proper needs assessment
- never produced a consolidated programme plan
- never produced a consolidated budget
- failed to define an organisation and management system for the programme whereby one organisational unit was made programme-in-charge and accountable and roles, tasks and relationships between the actors were defined
- ◆ permitted funds to flow through different channels without a consolidated monitoring and reporting system.

Among other this situation resulted in inefficiency, duplication of work and slow or no action suggested by feed-back. One of the more disturbing implications is that no-one can tell at this stage what the costs of the programme have been.

The role of the recipient national societies has been notably limited in managing the programme. Given that the Federation and the PNSs had very limited knowledge of the recipient societies at that time, the evaluation team accepts this albeit with hesitation. However, looking ahead the national societies have to be made directly in charge of any development programme making them accountable project owners. In turn they should also be held accountable if failing. *- in what way?*

A section of this report is devoted to a tentative discussion of institutional development in the future. The argument is hard to summarise here but it may suffice to say that a major conclusion is that training should not be made the main strategy to institutional development. In fact, it should probably play a secondary role.

Bearing in mind the very considerable resources spent and the meagre results, a summarising conclusion is probably that this programme hardly was worthwhile.

However, this conclusion is drawn in retrospect when the ideas of institutional development and the situations of the recipient societies are much different. At the time the programme was initiated it probably made good sense. What is important at this stage is to draw the lessons from this experience. This is the more important for two reasons. Firstly, the lessons are many and often conclusive. Secondly, the lessons have been costly.

Despite its somewhat gloomy message, it is the hope of the evaluation team that this report is accepted as a contribution to institutional development in the constructive spirit it is intended.

## I. THE PROGRAMME

With the view to strengthen the capacity of the national societies in Russia, Georgia, Kazakhstan and the Central Asian republics (Uzbekistan, Tadjikistan, Turkmenistan, Kyrghystan) a training programme has been implemented. The programme was formulated for Russia and Georgia in 1992, extended to cover Russian Far East in 1994 and further extended to Kazakhstan and Central Asia in 1994. Implementation started in 1993 and carried on into 1995.

The programme was a multilateral effort coordinated by the Federation Secretariat. It was funded by the Swedish Red Cross, the Finnish Red Cross, the Japanese Red Cross and the American Red Cross. USAID?

The prime responsibility for the design and implementation of the courses rested with the Swedish Red Cross through its Folk College (courses one and two) and with the Finnish Red Cross (courses three and four). The Federation regional delegations in Moscow and Almaty provided administrative support.

The programme focused on the middle level management in the societies. This means that the majority of the trainees were from the oblast level. (Oblast is the middle level of the now typical three tier structure of these national societies. The third level is called rayon). In addition, selected staff from the central committees (national headquarters) of the national societies participated.

The programme consisted of a series of week-long courses. In Russia, Georgia and the Russian Far East two complementary courses were designed. In Kazakhstan and Central Asia two more courses were added. The programme design prescribed that the same trainees, as far as possible, should participate in the two and four courses respectively. Altogether 17 courses have been held in Russia and Georgia and 20 courses in Kazakhstan and Central Asia. On average some 20 participants attended the courses in Russia and some 25 in Kazakhstan and Central Asia. Details on the courses in terms of location and timing are given in Annex 2.

The content of the two first courses was broad covering the International Red Cross and Red Crescent Movement, volunteerism, needs assessment, financial management, fund-raising and budgeting, leadership, training and evaluation. The third and fourth courses in Kazakhstan and Central Asia were intended to focus more specifically on resource development and covered activity and financial planning, budgeting, financial management, book-keeping, resource development, image and fund raising. Some details of the syllabus of the courses are given in Annex 3.

## II. THE TERMS OF REFERENCE

The TOR (see Annex 1) instructed the Evaluation Team (ET) to examine the planning and execution of the programme, in order to evaluate:

- effectiveness of needs analysis and the methodology used for this
- appropriateness and relevance of the approach, content and methods of the training programme
- impact of the training including learning by participants, and practical programme and other follow up initiatives
- integration of the training into an overall Institutional development Process within the National Societies
- the effectiveness of the use of resources involved in the programme
- the effectiveness of the international cooperation in the programme - including the role of the Federation; the roles of donor and recipient Societies in the design, implementation and follow up; and the interaction between the ONS involved and the trainers
- the overall appropriateness of the programme, and with the benefit of hindsight, what other alternatives might have been applied

The evaluation was also expected to provide a basis for recommendations on future action.

## III. EVALUATION METHODOLOGY

Earlier evaluation experiences with the programme have faced problems with biased responses. In the daily evaluations of the courses participants tended to give maximum score to each and every part. In an evaluation of the Central Asian programme (Mandell, 1995) binary questions were almost all answered with the positive alternative. Open questions later on in the same interview produced information which contradicted the answers given to the binary questions.

This was one reason why semi-structured interviews and probing with a series of check-lists, <sup>where they</sup> one for each category of respondents, rather than questionnaire interviews were chosen. A second important reason was that emphasis in this evaluation has been placed on finding explanations and understanding of what took place rather than precision in measurement. Semi-structured interviews and probing is generally a more effective approach to achieve this objective. Given the approach chosen this evaluation is qualitative rather than quantitative.

*how was this accomplished?*

Interviews were made with:

- trainees
- leadership of ONS
- the designers of the course programmes
- staff concerned with the programme in the Federation Secretariat, the delegations and the PNS (the interviews with the Japanese and American Societies were made by phone)

The ET also met with some staff and activists at central committee, oblast and rayon level who did not take part in the training. *how many and at what level?*

The ET interviewed 96 course participants. A list of persons interviewed is given in Annex 4. Two methodological problems were of particular importance. Firstly, whereas course objectives had been formulated no attempts had been made to gather baseline data. Therefore, skill enhancement, for instance, had to be established through indirect observations looking for application of skills, concepts, methods etc. while attempting to establish if the courses were the cause. This approach inevitably introduced an element of subjectivity both in establishing cause-effect relationships and levels of change. It is probably difficult to say to what extent the ET succeeded in countering these problems. However, as the findings generally are quite consistent and clear in their directions, this issue seems to be of lesser significance.

A further comment on measuring impact should be made. The ET considered whether time lags (between courses and application) could contribute to explain (low) levels of impact. A reservation for this possibility is probably prudent, although the ET is of the opinion that what has not been applied now is increasingly less likely to be applied as times go by. One indication would be that trainees from earlier courses often showed difficulties to even remember the subjects covered. *Data?*

The second methodological problem of special importance was a foreseen difficulty to get the respondents to give their unreserved opinions. Knowing this may have conditioned the minds of the team members to "discount" for suspected inflated answers due to politeness, fear of proving to be a poor student, etc. The main remedy to this problem was the semi-structured interview approach trying to create a non-threatening and relaxed atmosphere. The composition of the ET also contributed to overcome the problem. Two team members came from recipient national societies. <sup>of course</sup> Of the two one is a Russian national and the other is a fluent Russian speaker having lived in Russia for several years.

Taken together it is the opinion of the ET that the results presented in this report sufficiently adequately reflect true conditions to permit the conclusions which are drawn. *— where is the data upon which the opinion is based?*

#### IV. THE CONTEXT OF THE PROGRAMME

It is well-known that the countries of the former Soviet Union are undergoing profound political and economic changes with far-reaching implications for the Red Cross and Red Crescent Societies. These implications are felt directly as they affect the organisations and they are felt indirectly in the way they affect almost all in their individual capacities.

Here it may suffice to emphasise the extraordinary pace at which change takes place. This makes adjustment and reorientation a most difficult task for individuals as well as organisations. Since planning ahead for more than a few months is more or less impossible, a feeling of chaos and insecurity prevails.

At the same time a great majority seems to doubt that the bottom of the decline has been reached. On a national scale social problems and needs increase at an alarming rate at the same time as resources at all levels and with all structures in the societies, including the Red Cross and the Red Crescent, shrink.

The Red Cross and Red Crescent Societies have had to face a shift from a situation of generous and secure funding with considerable staff resources to a situation of extreme shortages of funds over a very short period of time. The main explanation is that the prime source of funding, the primary organisations collecting membership fees, have virtually disintegrated.

Alternative sources of funds have been very hard to find. Common people are impoverished struggling to satisfy even basic needs. Their possibility and willingness to give contributions in cash or kind (as volunteers) have proven limited indeed.

Scores of industries are closed down, others are making continuous losses and the successful ones are still few. Contributions given by such enterprises as was often the case in the past are generally unrealistic to expect.

Still, a growing number of individuals are improving their situation and some are doing so in a conspicuous manner. However, **experience** shows that these newly-rich seldom show interest in supporting Red Cross/Crescent activities.

Though it is often alleged that the former Soviet Alliance was directly funded by government, in fact government funds ~~were~~<sup>were</sup> almost exclusively earmarked for international disaster relief assistance and paying statutory contributions to the Federation. Now though, as no other sustainable sources of funding seem to be available, the real growing dependence of Red Cross and Red Crescent committees on central and local government funding is emerging. However, highly strained government budgets at both central and local levels make such funding hard to find and very inadequate when provided.

At the same time as resources are shrinking the competition for them has increased. Particularly in Russia a large number of NGOs with principles and activities similar to those of the Red Cross are emerging. These organisations also try to interest the general public, government organisations and enterprises to provide funding.

where is data to support these conclusions

Can full have been ONS for

As a result of the virtual disappearance of the traditional funding base and the great <sup>obst</sup> difficulties to find alternatives, most Red Cross and Red Crescent Societies have seen their <sup>work</sup> activity levels severely reduced and a forced exodus of staff. The disruption of support from lower levels of the structures has meant that the oblasts have become increasingly unable to provide support to the rayons and the central committees are increasingly failing to support the oblasts. Each level and each unit is now largely left to fend for themselves unless they are lucky to become involved in external relief or other support programmes.

For a majority of the Red Cross Red Crescent organisations the situation has become a matter of survival.

It is in this context the training programme has to be seen. We will have reasons to come back to this observation.

## V. THE EVOLUTION OF THE PROGRAMME

With few exceptions it is at the early stage of a programme that the most important decisions are taken. This is the time when the focus of the programme is decided upon (e.g. training rather than something else), when the content of the programme is determined (training in what and for whom, for instance) and this is the time when the organisational framework takes shape. Also in situations when there is a commitment to "process" and flexibility, these early choices tend to set the basic framework within which *some* alterations can be made but which generally precludes more fundamental revisions. That is why it is relevant to look at the early phase of any programme.

### Russia

The present programme evolved under unique conditions. In 1992 the Alliance of Red Cross and Red Crescent Societies of the USSR had been dissolved leaving the Russian Red Cross (RRC) to find an identity as a national society. Mounting funding problems already impeded support and service delivery programmes. The general decline of the economy in the country had triggered a major relief operation funded and coordinated through the Federation, and made the once strong and powerful RRC a severely weakened recipient society. This revised status was hard to accept.

At the same time the Federation had only a very limited experience of Russia for understandable reasons and it would prove to take time for the newly opened Moscow regional delegation to find its role and relationship to the RRC. The delegation was also very much preoccupied with the large relief operation and paid only secondary interest to development.

In this situation Sweden financed a (Federation) development delegate with the Moscow delegation. This delegate made his best to find an entry point to promote a working relationship with the RRC in the field of development. He found the basis in a consultant report (the Wittington report) commissioned in 1992 by the Federation. This report reviewed the institutional situation of the Red Cross and Red Crescent Societies in the 12 newly independent states of the former Soviet Union.

This initiative on the part of the delegate was also prompted by a strong feeling for the need to find a programme in the field of development as a means to develop the relations with the RRC. Both the RRC and the Federation delegation in Moscow felt a strong urge to do something, even though for both parties it was not immediately clear what.

It should also be noted that at this time (1992) the Federation was only in the process of developing its ideas on institution development. There was no clear conceptual framework and no operating principles to lean on.

Under these circumstances the discussions between the development delegate and his counterpart in RRC resulted in an idea of a training programme aimed at institution strengthening. Eventually this initiative resulted in a protocol of intentions with the RRC whereby the idea of developing such a programme was officially acknowledged.

With the consent of the head of the delegation and with the approval of the concerned desk officer in the Swedish Red Cross (SRC), the Moscow development delegate contacted the (SRC) Folk College. This institution was known to the delegate. Furthermore it was known that the Swedish aid agency SIDA was potentially interested in funding a programme of this nature. The Folk College was invited to Moscow for discussions with the RRC. This visit in late 1992 resulted in a request to the Folk College to work out a proposal for a training programme which they did.

Extensive discussions and consultations over the content and the format of the training programme followed with the RRC throughout 1992-1993. The outcome of these discussions was very close to the original proposal made by the Folk College, however.

#### Russia Far East

During 1992-1993 the Japanese Red Cross (JRC) was involved in a major relief programme in the Russian Far East funded by the Japanese government. In connection with this programme the JRC delegation stationed in Khabarovsk initiated training workshops for oblast committee staff involved in the programme; this training also included elements of general knowledge about the International Red Cross and programme management. Following an interim review of the training programme in European Russia in early 1994 (the review team included the then head of the JRC delegation in Khabarovsk) it was decided to extend this programme to the areas covered by the JRC relief programme.

#### Kazakhstan and Central Asia

Inspired by the Wittington report the American Red Cross (AmCross) submitted a proposal for an institution development programme for all 12 national Red Cross and Red Crescent societies of the former Soviet Union to the USAID already in 1992. USAID approved a programme for Central Asia only and demanded matching funds to its grant.

AmCross wanted the programme to be implemented through the Federation. The Federation which - which apart from discussions with the American Red Cross - had not really been part of the preparation of the programme was somewhat concerned that the programme might be too much of a desk product from Washington. Discussions with AmCross eventually resulted in an acceptance of the idea to make use of the experiences in Russia and engage the Folk College.

During the implementation of the programme in Russia it became increasingly evident that participants were giving far higher priority to resource mobilisation issues than the programme. At the same time the Folk College did not feel that they had sufficient expertise in this field. Therefore, when the extension of the programme to central Asia was considered, an extension of the course programme to cover resource mobilisation more in depth was proposed.

Among other through its involvement in the work of resource mobilisation in the Federation Secretariat, the Finnish Red Cross (FRC) was considered to be successful in this field. The FRC was therefore approached suggesting their involvement in the extended programme to which they agreed. The FRC also pledged funding.

#### **Salient points in the process that far**

A number of salient points with implications for the future of the programme can be identified at this stage.

As in many similar situations donor perceptions, initiatives and funding played a decisive role. Under the circumstances in this case this should not necessarily be seen as a criticism. It is merely a fact.

Individuals came to play a significant role. Given the absence of a clear understanding and policy on institution development on the part of the Federation and given the preoccupation with relief in the Moscow delegation, this became the case for the development delegate in Moscow (1992/93). His perceptions what the programme might involve (training) was important and being a Swede so was his familiarity with the Swedish scene. The SRC Folk College was an obvious choice as implementing training institution.

The interest of the Japanese delegate participating in the mid-term review of the Russian programme was clearly instrumental in extending the programme to Russian Far East.

Related to the role of individuals is the development of bilateral relationships and perceptions in what ostensibly was a multilateral programme. As will be further discussed in section XVI, the programme never found a clear organisational and management framework. Roles and responsibilities were not clear. The programme could probably better be described as a collection of bilateral projects or activities more or less loosely connected. This has characterised the programme throughout its implementation.

## VI. SELECTION OF TRAINEES

It was early agreed that the programme would focus on strengthening the middle level management of the RRC. This focus was later maintained for Russia Far East, Kazakhstan and Central Asia. In Russia a somewhat modified version of the two courses was given for staff from the central level.

More specifically middle level management referred to the oblast (second tier) level. Aiming for a wide coverage, it generally meant that the chairperson and one or two other members of staff from an oblast were invited.

The ET team thinks that given the circumstances this was a well argued choice. *why?*

## VII. NEEDS ASSESSMENT

As far as the ET can judge, no proper needs assessment was made at the level of the participants as part of the design of the training courses. This was the more problematic as the designers of the courses at the Folk College and in the Finnish Red Cross had no prior experience of the societies and the participants for whom they were to design the courses.

While the Wittington report was available, it could hardly be regarded as a needs assessment for a training programme. To serve this purpose it is too general and not based on a structured and extensive analysis of the situation at the oblast level.

The Folk College held ~~extensive discussions~~ with the HQ of the RRC. In these discussion ~~RRC representatives expressed views on what the training priorities were. Again this can not~~ be accepted as an adequate needs assessment. The participants themselves were never given an opportunity to express their preferences. Their situation was not explored at first hand. Rather RRC HQ and Folk College course designers tended to define needs on their behalf. Thereby one of the basic principles in adult learning was not fully honoured namely to focus learning on issues which the learners themselves regard as important.

Already at the end of 1992 the situation of the oblasts was such that a training needs assessment and a reflection of priority concerns at that level would have resulted in a different course content. (See section IX). The situation deteriorated at an accelerated pace in 1993 and onwards. Whereas adjustments were made in the course content during this period, these adjustments hardly fully addressed what became an increasing discrepancy between course content and the priority concerns of the participants. *what were these priority concerns?*

When the programme was extended to Kazakhstan and Central Asia, the relevance of the course content and training approach (for the two first courses) developed in Russia was discussed with the chairpersons of the national societies. An approval was given and the courses were implemented.

*But there was a meeting in Sept 93 at Lake Issyk-Kul with representatives*

Again this can not be seen as an acceptable substitute for a proper needs assessment at the level of the participants.

The expansion of the programme to four courses with the two additional courses focusing on resource mobilisation can be seen as a recognition that this issue was a priority concern of the participants. Still the question why the two first courses were maintained and why their content was basically unchanged from the Russian application begs an answer.

Prior to the design of the two courses on resource mobilisation, the project officer from the Finnish Red Cross travelled to Kazakhstan and Central Asia visiting the national societies. This was hardly a structured needs assessment and the outcome of this trip does not seem to have played a major role in the design of the courses.

### Recommendations

- *The learning needs as they are felt by the trainees should be paramount in determining the content of a training programme.*
- *A thorough and systematic needs assessment at the level of the trainees and with their direct involvement is a must in the design process.*
- *Short-term visits and discussions will not do. Structured methods should be applied to make the trainees defining learning needs and setting learning objectives. *what exactly?**

### VIII. UNDERSTANDING THE CONTEXT

With few exceptions none of the course designers and trainers from the Folk College and the Finnish Red Cross had any previous experience of Russia, Kazakhstan and Central Asia in general and the Red Cross and Red Crescents in these countries in particular. Only one of the trainers had experience of international Red Cross work for any extended period of time (6 months or more).

*What  
time  
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The understanding of the situation in the region poses particular problems for two reasons. Firstly, the countries concerned are in the midst of a economic and political transformation of a nature with no precedence in history. Experiences from elsewhere seem to be of limited significance only. Secondly, the process of change is dramatically fast. What is a reasonable analysis of the situation at one point in time has proven to be more or less outdated in a matter of months rather than years.

At the same time understanding the context is a must in designing and implementing any development programme, and specifically so when designing a training programme. It is evident that the Swedish and Finnish course designers and trainers were at a serious disadvantage in this regard.

The Folk College made commendable efforts to address this problem. A series of meetings and seminars were held both before and during implementation of the programme trying among other to enhance cross-cultural sensitivity. Representatives from the RRC were invited to give full-day presentations of the RRC. Reading material was made available. The Finnish Red Cross made considerably more limited but some efforts with the same objective.

However, not even the efforts by the Folk College proved to be adequate. Trainers and designers from the Folk College to a large degree failed to understand the context in which the participants of the courses live as individuals and function as Red Cross Red Crescent staff.

The most important consequence was that the possibilities to give a relevant content to the topics chosen for the courses were reduced. It also made it difficult to chose relevant experiences from Sweden, Finland and elsewhere for presentation and it made it difficult to answer questions posed other than in a general way. Issues and topics such as volunteers, primary organisations, governance, book-keeping, fund raising campaigns, financial control and legal base are examples where inadequate understanding of the context made communication difficult and reduced the relevance of what was presented.

An underlying problem was that the trainers did not fully understand the constraints under which the course participants function. As we will see in the sections on impact, a consequence was that most of what was presented in the courses was seen as interesting but having limited applicability.

### Recommendations

- *Training/facilitation capacity, including design capacity, should be developed at the national society level. In addition to overcoming the problems of understanding the local context and relevance of course designs, this would also overcome the language problem and substantially reduce costs.* ??  
not practical
- *Where it is not deemed feasible to use local facilitators and designers exclusively (as was probably the case in this programme), mixed teams with a host country facilitator/designer should be attempted.* OK
- *Should this not be possible, it is recommended that provisions are made to ensure that designers and facilitators spend time in the real life situation of the trainees.* Too expensive

### IX. COURSE CONTENT

The content of the different courses in terms of topics as well as the content of the different topics was conditioned by the problems discussed in previous sections; no proper needs assessment an inadequate understanding of the context.

#### The Institutional Development and Leadership courses (designed and implemented by the Swedish Red Cross Folk College)

Had a needs assessment been permitted to determine the content of the courses in Russia designed by the Folk College in 1992, it is the opinion of the ET that the content would have been different. Considerably more emphasis would then have placed on fund-raising and related programme planning. Considerably less emphasis would have been placed on leadership and group dynamics, training and training planning, evaluation and volunteers. Probably some of these subjects would have been dropped altogether. As time went by, the need for a major reorientation of the content increased. Changes were made in the content of the courses but hardly to the extent that it meant a major reorientation.

While it may have been difficult to make a major revision of the content during an on-going series of courses (in Russia) a logical point for such a revision would have been prior to implementation of the programme in Kazakhstan and Central Asia.

Furthermore, the courses seem to have attempted to cover too much. <sup>True</sup> As a consequence not enough time could be devoted to each topic. While the Folk College facilitator teams were flexible in time allocations, it still meant that some parts in the curriculum suffered when other parts were expanded. Bearing in mind what is recorded under impact, it seems as if the possibility to successfully cover many topics was overestimated. It should perhaps be recalled that the use of interpreters cuts the effective time with at least 40%. A one week course is therefore in reality not more than a three day course.

Taken together it seems that the courses would have benefited from focusing on a few priority issues of the participants and by building learning blocks around these issues into a logical whole where parts support one another. This was hardly the case with the design that was made. <sup>Good learning how to learn</sup>

#### **The Resource Development courses (designed and implemented by the Finnish Red Cross)**

These courses ostensibly seemed to be more in congruence with the priority needs of the participants. The content was also more narrow in focus than the courses designed by the Folk College. The courses were designed on the perception that resources is more than a matter of money and that resource mobilisation is a broader issue than fund raising. As part of this broader issue image and activity planning was considered important as was the issue of how to manage funds once raised.

On this basis the topic of volunteers and volunteer organisations became an important topic in the curriculum. The ability to manage resources suggested inclusion of book-keeping, financial management and control. As to fund raising the perception was focused at campaigns in which volunteers could play an important role. The logic seemed to be there. Primarily as a result of insufficient knowledge of the context, this course design became considerably less relevant than it could have been, however.

Firstly, looking at some of the main elements in the courses it does not seem that resource management is such an acute problem for the National Societies to justify the substantial amount of time allocated for it in the curriculum. <sup>True</sup>

What does not seem to have been recognised is that the Red Cross and Red Crescent societies use a well defined albeit different accounting system which has to be followed to meet government requirements. For formal reasons there is presently no room for change. <sup>Books</sup> Furthermore, this part of the courses seemed to be too advanced for the chairpersons and considered ABC by the accountants attending.

The section on financial management may not have been entirely relevant as situations of hyper-inflation was not explicitly dealt with. Incidentally, the chairladies seem to know what financial management means under such circumstances as they usually successfully manage to convert cash receipts into goods as soon as possible.

Secondly, the focus on campaigns among the general public as a strategy for fund raising was hardly relevant. Under present circumstances people struggle hard to satisfy their own very basic needs. Their capacity and willingness to support social and charity work is demonstrated to be limited indeed. The development of an ability to plan and implement a campaign, even if successful, does not seem to develop a particularly relevant capability at this time.

The possibility that this capability may come to use later is a poor consolation to many. The organisations of the trainees are under threat of extinction and fund raising is by far the most burning issue. To be relevant any strategy for fund raising has to deal with this immediate situation.

### Volunteers and volunteerism - an issue in all courses

The issue of volunteers and volunteerism was an important element both in the courses designed by the Folk College and by the Finnish Red Cross. However, the promotion of the volunteer concept as perceived in Sweden and Finland does not seem to be particularly relevant.

The problem of relevance has its roots both in the past and in the present. From the past there is a legacy of perceptions among Red Cross and Red Crescent staff and the general public as well which is not easy to change. In the past the Red Cross and Red Crescent primary organisations were work-place based. The activists were the substance of these organisations.

Activity levels varied but were generally very low. Many became activists as a career measure as being active in a social organisation was an important criterion for becoming a member of the ruling party. The majority of the members paid their fees as a social obligation and under pressure from colleagues rather than as an expression of their individual personal commitment and concern.

In addition to a reorientation of minds and perceptions there are also very real constraints for the volunteer concept in the present situation of most people. In the difficult and deteriorating economic and social situation, they have hardly any room for volunteerism. People cannot afford volunteerism. Their financial resources are meagre and their time is scarce. They have to use it well and make sure they get a material remuneration for what they do.

Under these circumstances the concept of volunteerism becomes highly dubious. The examples of local branches with scores of volunteers serving on committees, forming work groups, carrying out fund raising and other activities in a Swedish or Finnish setting simply make little sense at present in Russia and Central Asia.

The fact that the trainees recognise the "importance" of volunteers and understand what is a true volunteer, is not a justification for promoting the concept at present. It does not contribute to solving the immediate survival problems the participants are facing.

## Understanding the context - once more

Exposing trainees to experiences of others is essential for well-known reasons. However, selecting what experiences to present it is also important to ensure that these experiences are not so different that they are seen as irrelevant by the trainees. This is unfortunately what happened to a considerable extent in all four courses.

Given their limited international exposure, the trainers understandably presented their Swedish and Finnish experience. They showed how things are done at different levels in the Swedish and Finnish Red Cross. However, the world in which these societies operate and the societies themselves are so different from the world of the trainees that the relevance of experiences from Sweden and Finland is put into question from the very outset.

This problem was exacerbated since the trainers had limited or no first hand knowledge and understanding of the context of the trainees. They simply could not know how useful different examples were and they were at a disadvantage in facilitating an analysis of how different ideas could be adjusted to local (trainee) conditions.

The commendable attitude of the trainers that whatever they presented were only examples and that whatever ideas they may convey had to be adapted to local conditions did not seem to solve the basic problem of relevance.

## Recommendations

- *Course content has to be based on a needs assessment carried out at the level of the trainees in which the trainees as active participants have a decisive influence of the selection on content and setting of learning objectives.*
- *Strategies, concepts, methods, etc. promoted by the trainers have to be <sup>made</sup> relevant in the context of the trainees.*
- *Experiences, case studies, videos, etc. have to be selected with explicit and strong <sup>yes</sup> consideration of relevance of the trainees.*
- *The course content has to be largely right from the beginning as fundamental changes <sup>are</sup> are hard to make during implementation.*
- *A course of the kind given in this programme should preferably focus on fewer topics <sup>good</sup> and treat them more in-depth.*

## X. COURSE METHODOLOGY

The observations below are partly based on observations by the participants in the past courses and partly on more "professional" observations made by Federation staff and interpreters who followed the courses for shorter or longer periods of time. The ET also observed one of the Finnish teams during the initial stage of phase III in Moscow.

The ET would indeed have preferred to have seen the different teams in action for a more extended period of time in order to form a more comprehensive opinion on the actual application of course methodology. However, as our own observations, though limited, generally confirmed very similar observations made by others, we feel confident that the findings we present are justified.

With hardly any exception the participants were very positive to the methodology applied in the courses. Many were overwhelmed. The participants particularly emphasised that the methods activated all, made all work hard, promoted a free discussion, created a non-threatening atmosphere and made good use of visual aids. At the same time, for nearly all of them this was the first occasion that they had experienced participatory learning methods as opposed to the very traditional lecturing they all had experienced in seminars in the past. It is beyond doubt that the courses made a lasting and very positive impact on the participants in this regard. This positive attitude was shown to all courses though participants generally expressed a clear preference for the application by the Swedish Red Cross Folk College.

### Observations by non-trainees

All teams had daily review and planning meetings. This was professional and commendable. <sup>- not true</sup>  
Use was also made of written participants' evaluation on a daily basis. (The apparent very positive bias in the replies made them less useful as planning tools, however).

At the same time neither the Folk College nor the Finnish teams had set learning objectives <sup>true</sup> for the different topics in the courses. This made it more difficult for the trainers to assess what they had achieved.

### Andragogy versus pedagogy

There is a vast empirical and normative literature on adult learning or andragogy. Part of this literature elaborates the differences between a learning situation for adult and a learning situation for children or youth. Here it suffice to make only a few brief comments on this large subject.

In an andragogical situation the trainer is more of a facilitator assisting the trainee to diagnose and define his/her training needs, providing methods to process information, activating the trainees to become the key actors in finding solutions to problems and satisfying (learning) needs. Fundamental is also that learning is based on the accumulated experience and knowledge of the trainee.

In learning situations characterised by pedagogy, accumulated experience becomes less important. The teacher has something (knowledge) to deliver. Teaching becomes more normative and prescriptive. Teachers talk more and students listen.

### The methodology of the Finnish teams

The Finnish teams were less successful in applying a methodology which should characterise adult learning or andragogy.

Despite some attempts to apply an andragogical approach by the Finnish teams, a more predominant impression is that the methodology was framed by the trainers own experience of pedagogy which is typical to (adult) teacher (child/youth) student relationships.

The trainers tended to present their experience drawing less upon the trainees' experience. Rather than approaching a topic by mapping the trainees' experiences and building on this in a session, the (less relevant) experience of the trainers was often used to introduce the topic. Inadequate time was often allocated for discussions of the limitations/adaptability of such experiences among the trainees. Too much of a one-way delivery came to characterise many of the sessions.

The instructions for group work were not always clear and more could have been done to facilitate the group work. The groups tended to be left to make their assignments until time for presentation in plenary. It also appears that more could have been done to summarise discussions and extract and focus on key learning points in such summaries.

The time needed for group work discussions in plenary seems to have been underestimated too often. Interesting presentations were therefore often left without discussions and comments between groups.

Visual aids such as videos were often used in the same way; an experience was shown but inadequate time was given to discuss. A tight time schedule made it necessary to move on. Clear instructions on what to look for in the videos were not always given.

There is evidence that the Finnish teams improved their teaching methodology from course III to course IV. However, many of the deficiencies listed above were still observed by the ET during the first workshop of phase III in Moscow. Regrettably it has to be stated that further improvements would be required to reach a professional level.

### The methodology of the Folk College teams

The Folk College team was more successful in applying an adult-learning and participatory methodology. The interim review of the Russian programme (in 1994) also observes that "the participatory method seems to be very good and highly appreciated".

To avoid repetition it may suffice to note that on the different aspects where the Finnish teams had difficulties the Folk College teams by and large had considerably less problems.

What seems to have contributed to the achievements of the Folk College teams was that most of the time a person with solid training background served as team leader. In this capacity the team leader could and did direct, support and assist the team members.

Having said this it should also be noted that also the <sup>??</sup>Folk College teams with few exceptions were not professional trainers. Despite thorough preparation they were indeed learning by doing and their initial performance was in all likelihood less impressive than later on.

## Recommendation

- *Ensure that andragogy and participation characterise the approach of the training institution and the trainers selected for designing and implementing a training programme of this nature.*

## XI. THE IMPACT OF THE PROGRAMME

The impact of the programme is analysed in relation to the objectives formulated for the two sets of courses. We also refer to section III on methodology where the problem of measuring impact are discussed.

### Training objectives

Objectives had been formulated both for the Institution Development and Leadership courses designed by the SRC Folk College and the Resource Development courses designed by the Finnish Red Cross.

#### *Objectives for the Institution Development and Leadership courses (courses I and II, Russia, Kazakhstan and Central Asia)*

- Confidence building
- Increased capability to assess and make priorities according to local needs
- Assessment of internal capacity through SWOT analysis
- Improved short- and long-term planning capacity including goal formulation and action planning
- Recruitment, training and guidance of volunteers
- Knowledge of tools and methods for dissemination of what is learnt in the courses

These objectives, which were slightly modified during implementation, were expected to contribute to an overriding goal of strengthening and enhancing the capacity of the National Societies.

#### *Objectives for the Resource Development courses (courses III and IV, Kazakhstan and Central Asia)*

- Manage long-term and short-term financial planning
- Understand relationship between financial planning and activity planning
- Know basics of budgeting, financial management, book-keeping and control
- Understand role of volunteers in resource development
- Understand the importance of image building, public relations and marketing

- Knowledge to look for different forms of funding and to develop fund-raising campaigns

Both sets of objectives, and particularly the latter, are demanding. No baseline data related to these objectives were available which made objectives achievement measurement difficult. (See further comments in section III on evaluation methodology).

Observed impact related to the objectives  
for the Institutional Development and Leadership courses

### *Confidence building*

There is clear evidence in the interviews with the participants that the courses gave a strong initial moral boost. The feeling of belonging to a world-wide movement, not being forgotten in a difficult situation, meeting foreigners and learning about their experiences and of meeting one another, which is increasingly difficult, all contributed to a strong stimulating effect.

For a number of reasons, however, this initial enthusiasm eventually seems to have faded. Apparently the failure to apply what had been learnt in the courses took its toll. A rapid deterioration of the general economic and social situation with frustrating implications at the personal as well as the organisational level constrained optimism and enthusiasm. Data

At the same time external assistance declined. Programmes for humanitarian assistance were curtailed and the support to the most cherished oblast level activity, the visiting nurses programme, was cut.

Under these circumstances it is hardly surprising that the one shot injection of stimuli through the courses no longer helps much to keep spirits high.

### *Capability to assess and make priorities according to local needs*

Virtually no application of the needs assessment approach as promoted in the courses could be observed among the respondents. A number of reasons may explain this lack of application.

Firstly, most oblasts already focus their activities on highly vulnerable groups that were identified prior to the courses without any needs assessment. They feel confident that the prime focus on impoverished and lonely old people is justified. In this sense they have set and do set priorities without applying the explicit procedure advocated in the courses.

Secondly, many oblasts (and rayons) work closely with the (government) health and social protection services. This service often identify individuals in particular need of assistance through hospitals and their network of social workers and provide the names to the Red Cross/Red Crescent. The system seems to work well and tends to make needs assessment and identification of vulnerable groups redundant (at least as perceived by the trainees).

Thirdly, in a situation where survival is at stake the selection of activities is often affected by other concerns than who are the most vulnerable groups.

Fourth, and related, the increased dependence upon external assistance from donors with their own ideas of who are the most vulnerable and what should be made for them, tends to make independent needs assessment on the part of national societies at different levels a non-issue. As mentioned before the ET could see very consciously set priorities although they were not based on formal needs assessments. This point should be made to give credit to what is happening; central committees and oblasts do have a rationale for what they do. (One may at times disagree with their rationale but that is another matter).

In summary the ET could see very limited impact in relation to the second training objective.

### *SWOT analysis*

Though respondents recalled SWOT as a topic presented during the courses, only few reported to have undertaken a SWOT analysis on their own. In a situation when the difficulties and the weaknesses are so obvious, most respondents seemed to question the need for such analyses.

### *Short-term planning*

To assess the impact of training in this respect plans, funding requests, programme proposals and budgets prepared by the respondents before and after training were reviewed.

With very few exceptions the ET did not see any programme plan which came anywhere near what could be expected in Russia. Either the "plan" was confined to a budget, and generally an incomplete annual budget, or it was a letter for a fund request. There were no analysis of goals and objectives, etc.

A considerable number of old plans, funding requests, programme proposals and budgets have been reviewed in the offices of the respondents.

Overall there still seems to be a notable confusion about what planning is. There is also a conceptual confusion about plans, budgets, programmes, fund requests, etc.

As will be discussed below, some impact on programme planning was observed in Kazakhstan and Central Asia.

This difference makes the ET conclude that the impact in terms of ability in short-term planning as a result of the Folk College courses was very limited.

### *Long-term planning*

No single observation on long-term planning was made. Most of the respondents felt that planning for a period of more than a few months was unrealistic and not very meaningful under present circumstances. "We don't even know if we are here in a few months time" as some respondents put it.

### *Recruitment, training and guidance of volunteers*

The respondents generally have understood what a true volunteer is as distinct from their activists. They have also understood the "significance" of volunteers, or put differently, what a resource volunteers could be if you had them.

However, for reasons given in section IX the whole concept of volunteers as presented in the courses is not particularly relevant under present circumstances. While efforts at times had been made to recruit volunteers, this has not been successful.

Therefore, again the ET can hardly other than conclude that the impact has been very limited.

### *Provision of tools for dissemination of course knowledge*

Several respondents indicated that they had attempted to inform their colleagues about what had taken place in the courses... Looking at the content and the time allocated for such information meetings, it was clear that they hardly can be regarded as serious attempts to pass on the knowledge acquired in the courses. They may have been useful information meetings but hardly more.

It was also clear that the participants had not used the methods and tools ostensibly provided in the courses. The reasons are several.

Firstly, the trainees had had only one short exposure to the methods and they had not had an opportunity to practice them (as facilitators).

Secondly, the methods and tools were used by foreigners which may have provided a psychological barrier to try.

Thirdly, a number of technical constraints were reported (no access to flipcharts, overheads, videos, markers etc.).

Fourthly, some respondents mentioned that the facilitators in the courses were several and could help one another while the respondents would have no help if they tried.

At the same time it should be noted that a few participants managed to use some of the methods, with one who actually adapted and made use of several of the tools and techniques provided in the courses. However, all of them had either a solid training background or continuous training experience as well as training facilities to apply that knowledge. This may be an indicator of what it takes to achieve acceptance and use with the approach taken in the courses.

### *Unexpected effects*

The courses had at least two "unexpected" effects in the sense that they were never explicitly formulated beforehand.

Firstly, according to the trainers, they themselves "learnt a lot" as a result of the programme . This is of potential importance and use not least in their own societies. They learnt about the countries and the national societies they worked with. They also considerably improved their subject matter knowledge which - particularly among the Swedish trainers - was deficient when the courses started. (See further comments in section XII on facilitators). The trainers also acquired considerable experience in working through interpreters and in facilitating courses in general, which at least some of them lacked before the courses started.

Secondly, the courses offered an opportunity for the participants to exchange information and experiences not related to the course content as they were brought together; a rare experience these days. Likewise, it offered an opportunity for the central committee to meet and inform oblast level staff.

### *Conclusion about the impact of the Institution Development and Leadership courses*

Taken together the ET cannot escape the conclusion that the impact from the Folk College courses was very limited.

An objection to this rather harsh conclusion could be that we have underestimated the potential long-term impact. This may be the case. However, the conditions which tended to make the content of these courses of lesser relevance thereby reducing impact (application) seem likely to remain for several years. Furthermore, the fact that too many subjects were covered in the courses remains. In conclusion we are therefore not too optimistic about long-term impact. What has not happened now in terms of impact is unlikely to happen in the years to come.

### **Impact of the courses on Resource Development (implemented in Kazakhstan and Central Asia)**

#### *Improve the knowledge and capability in financial planning, financial management, book-keeping*

A closer look at the objectives for these courses (page 18) shows that the three first objectives are related. They all refer to improving the ability to "handle money-matters" in an organisation.

As noted elsewhere (section IX on course content), some of the issues behind these objectives were of lesser relevance to the national societies in Kazakhstan and Central Asia. The book-keeping part was too simple for accountants and too complex for chairladies. Planning for a period exceeding a few months was considered of limited relevance given the pace of change and the prevailing uncertainty. Financial management in a situation of hyper-inflation boils down to conversion of cash to kind without delay which was the strategy applied already.

For these reasons it is hardly surprising that the ET was not able to observe much of impact in relation to the corresponding objectives.

### *Improve the understanding and capability in activity planning and budgeting*

Some impact was noted with respect to activity planning and budgeting. Respondents generally referred to these issues when asked what they had found of practical use in the courses. It can be concluded that the concept of a programme and the need to elaborate a separate write-up with an accompanying budget per programme is generally understood. Respondents frequently referred to the significance of programme planning as something new which they had learnt. They generally had an opinion on how such planning differed from planning in the past. However, the application of this knowledge varied considerably and was generally limited.

When applied it did not mean that programme planning including preparation of budgets was well done. Most of the programme plans shown to the ET were very simple and often highly incomplete even when looked upon with modest ambition levels. Considerably more (on the job) training seems to be required...

Since both the Institution Development and Leadership courses (Swedish Folk College) and the Resource Development courses (Finnish Red Cross) covered activity planning, the question can be raised which of the courses resulted in the impact that was observed. Since a general difference between Kazakhstan and Central Asia on the one hand and Russia on the other hand in terms of understanding and application of the programme planning concept could be observed, it is our conclusion that the impact observed in Kazakhstan and Central Asia largely can be ascribed to the resource development courses. It should be recalled that the resource development courses were not given in Russia.

### *Increase the understanding of the importance of image*

One issue which was emphasised in the resource development courses referred to the significance of the image of the society. This message seems to have been taken in by a large number of participants. When asked to identify important and useful topics dealt with in the courses, reference was frequently made to the question of image. In the absence of an easy translation to Russian, many course participants used the English word, image.

The conclusion about impact of the resource mobilisation courses in this respect is supported by the fact that the ET observed no similar recognition in Russia. In those interviews the issue of image was less frequently mentioned.

### *Volunteers in resource mobilisation*

As in the courses implemented by the Folk College, the sessions on volunteers hardly produced any applicable results. Volunteers in resource mobilisation was understood by the participants but of little relevance as they see very limited prospects to recruit volunteers in numbers that matter.

### *Improve the capability to manage campaigns*

As argued above (section IX on course content), it is questionable if fund-raising campaigns among the general public is a viable strategy for fund-raising given their impoverishment. To the extent the capability to plan and implement such campaigns was enhanced, it may yet have limited impact; participants may have learnt something they do not need - at least not now.

Yet, with some hesitation the ET would at least ascribe the courses some potential impact in this regard.

### **Conclusion about the impact of the Resource Development courses**

Taken together, the courses seem to have had some impact in relation to some of the learning objectives (notably activity planning and budgeting as well as image). At the same time it must be noted that in a larger number of objective dimensions no or very limited impact could be established.

In comparison with the impact of the courses implemented by the Folk College, the resource development courses seems to have had a somewhat higher degree of impact. This is so although the training methodology used by the Folk College was superior.

This leads to one interesting conclusion. It seems that the relevance of the topics was of greater importance for impact than learning methodology.

## **XII. THE FACILITATORS**

The facilitators from the two countries had a number of features in common. All seem to have been highly committed, positive and enthusiastic about their tasks and they possessed a solid Red Cross background. At the same time it must be noted that almost all facilitators had very limited if any experience of working in an international environment and nearly all lacked experience of present Russia, Kazakhstan and Central Asia. In this regard the Finnish teams were at an advantage with two members reasonably proficient in Russian. Furthermore, with few exceptions none of the facilitators had any training background or were experienced trainers.

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It is somewhat surprising that none of those in charge of recruitment of facilitators considered the use of former Swedish or Finnish delegates as facilitators. Likewise, delegates were not used in the preparation of the facilitators.

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### **The Folk College teams**

The Folk College used a structured and formal recruitment procedure in selecting facilitators. The positions were advertised, applications called for, a set of selection criteria established and interviews were made with the applicants.

In the selection of team members strong emphasis was placed on personality and attitudes rather than on subject matter competence. The argument was that the latter can be provided whereas basic personal characteristics and attitudes are much harder to do something about. This selection criterion eventually proved to be of utmost importance and goes a long way to explain the success of the Folk College teams.

Strong attempts were made to ensure that the team leaders had a solid background as trainers. The Folk College made strong efforts to prepare the facilitators for their task. A series of seminars were held before as well as during the implementation of the programme in a continuous learning process for the facilitators. However, while commendable these preparations could only partly make up for the lack of international experience and understanding of the local context. (See section VIII on understanding the context).

Overall the Folk College facilitators as a group were successful. As discussed in section X they succeeded in applying a participatory adult-learning approach. Furthermore, they were notably successful in building close personal relationships with the trainees as was repeatedly demonstrated to the ET. They were generally more flexible and culturally more sensitive.

#### The Finnish Red Cross teams

Unlike the Swedish facilitators the Finnish facilitators were selected mostly on the basis of their subject matter experience.

Their preparation was less thorough partly due to the time factor; all facilitators were overworked in their positions with the Finnish Red Cross. At the same time they were expected to prepare the background material (curriculum and handbooks) for the courses. For reasons argued in the section on training methodology the teams were not fully successful in applying a participatory adult learning approach. It is also possible that their level of cultural sensitiveness could have been higher. This in combination with more of an adult learning approach might have prevented that corrective measures were resorted to by some facilitators in order to keep "order in the class".

However, we would refrain from generalising this observation. As in the Folk College teams, there were individuals who were more successful than others in establishing a constructive learning atmosphere.

#### Uni-national teams of facilitators

In this programme uni-national teams of facilitators were used. There seems to be two major reasons to question this approach. Firstly, it may be difficult to find the number of trainers needed who can meet the criteria implied above in one specific country. Secondly, a uni-national team will tend to present the experience of one country only. To the extent that the training is organised by strong societies in the North for weaker societies in the South or the East, this single experience may not be entirely relevant.

It seems preferable to have multinational teams of facilitators with experiences from different contexts including countries and societies closer to that for which training is planned.

### Recommendations

- *Trainers should preferably have both previous training experience and subject matter knowledge; subject matter knowledge alone will hardly do.*
- *For training abroad the trainers should have experience from work in an international environment, preferably in the country in which training is to take place or in countries with a similar economic, political and social environment.*
- *Emphasis should be placed on personality and attitudes when selecting trainers.*
- *If possible, training teams should not be uni-national but multinational including facilitators from the host country.*
- *The trainers should have a demonstrated ability to apply a participatory and andragogic approach.*

### XIII. TEACHING AIDS

In connection with the courses the participants were provided with handbooks produced by the Folk College and the Finnish Red Cross respectively. These handbooks were highly appreciated by the participants. Many respondents claimed to read the handbooks and indicated that the sections on the Red Cross Movement, fund-raising and planning were of interest. The significance of these handbooks was augmented under present circumstances where virtually no written material on these subjects is available. The national societies cannot afford to print even basic material.

The interest in the handbooks is the more noteworthy as they also suffered from the problems of relevance in terms of topics and content as the courses did.

Teaching aids such as flip-charts, overheads and videos were extensively and successfully used. Again the use of these aids was appreciated by the participants. However, few indicated that they could make the use of such aids part of their own work. The main reason indicated was that such aids either are not available or that they are too expensive.

### Recommendations

- *Written material for future reference should be prepared and given to the trainees.*
- *Trainers should try to use local material (paper for flip-charts, crayons rather than markers, etc.) and aids which are available and affordable to the trainees.*

#### XIV. INTERPRETERS

With very few exceptions the participants appreciated the work of the interpreters and found no problems that the courses were conducted this way. Most of the interpreters were of high quality and this aspect of the courses was an unreserved success.

#### XV. COST EFFECTIVENESS OF THE PROGRAMME

As is further commented upon in the next section, the ET has not been able to establish how much money that has been spent on this programme. A highly tentative figure for the Russian part would suggest that the direct costs have been in the order of US\$ 545,000 (200,000 from JRC, 193,000 from SRC direct to the Folk College and 152,000 from SRC to the Federation). To this figure should be added the share of the development delegate costs that can be ascribed to the programme (the costs for a delegate amounts to some US \$ 130,000 per year).

A similarly tentative figure to Kazakhstan and Central Asia would be some 425,000 (70,000 expended by the FRC and 357,000 by the Federation). The Federation claims that the American Red Cross have made part of their contribution directly to FRC. At the time of writing it has not been possible to confirm any figure.

Based on these estimates the cost per course-week has been some \$ 32,000 in Russia and some 21,000 in Kazakhstan and Central Asia. If 50% of the delegate costs (for three years) are included, the figures increase to 44,000 and 31,000 respectively.

Estimates per trainee are difficult to calculate as the ET has not been able to determine an exact figure on the number of trainees in the courses. Based on an estimated average of 20 participants in Russia and 25 in Kazakhstan and Central Asia the cost per trainee is in the order of \$ 1,400 (1,900) and \$ 850 (1,100) respectively. The figures in brackets include costs for development delegates. A higher cost for Russia is to be expected given higher design and preparation costs.

Whatever the exact figures may have been, it is clear that the programme has been expensive. To put the figures in context it may be mentioned that a chairlady in Russia was given training for two weeks "worth" three years salary. If costs are related to objective achievement (efficiency), it is clear that programme efficiency is very low indeed.

## XVI. PROGRAMME ORGANISATION AND MANAGEMENT

It is somewhat ironic that a programme which was designed to teach needs assessment, programme planning including preparation of a budget and the significance of monitoring and reporting itself

- ♦ was planned without a proper needs assessment
- ♦ never produced a consolidated programme plan
- ♦ never produced a consolidated budget
- ♦ failed to define an organisational and management system for the programme whereby one organisational unit was made programme-in-charge and accountable
- ♦ failed to define roles, tasks and relationships between the actors
- ♦ permitted funds to flow through different channels without a consolidated monitoring and reporting system

One consequence of this situation was that, in reality, there was hardly a programme but a set of more or less loosely related bilateral activities or projects ostensibly under the umbrella of the Federation.

This in turn resulted in duplication of work, inefficiency and increased costs. A case in point is the impressive number of reviews and evaluations of the programme. The Russian part of the programme has been subject to one mid-term review and two evaluations (including this). The Kazakhstan and Central Asia part has seen no less than five in-depth reviews or evaluations. The large number of actors has resulted in extensive bilateral, generally uncoordinated, visits from PNSs and in extensive travelling and meetings in the planning process.

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The absence of a programme-in-charge resulted in slow or no action when this was suggested by feedback information. For instance, there was feedback information suggesting that the performance of some of the teams was not up to standards during implementation but no action was taken.

The unclear role allocation between actors and the process approach to programme formulation resulted in limited assessment of alternatives in selecting training institutions.

One of the more disturbing implications of the weak organisational and management structure of the programme is that no-one at this stage can tell what the costs of the programme have been. The ET has made considerable efforts to assemble information from the different actors and put it together without succeeding. There is now a crude estimate, no more. (See section XV on cost effectiveness).

Though the RRC was extensively involved in discussing the design of the programme as noted in section IV, the role of the recipient national societies has been notably limited in managing programme activities.

Given that the Federation and the PNSs had very limited knowledge of the recipient national societies at that time and for reasons of efficiency, the ET accepts with some reservations this role allocation. However, looking ahead a rather different perception should rule. The operating national societies have to be made directly in charge of any development programme making them accountable project owners. In turn they should also be held accountable if failing.

### Recommendation

- *As the ET is led to believe that the problems of organisation and management experienced in this programme may - to a varying degree - characterise other programmes with several participants, including the Federation, it is recommended that the Federation makes a special effort to map and analyse this problem complex and seek more efficient organisational and management models for multilateral cooperation.*

## XVII. WAS THE PROGRAMME WORTHWHILE?

Bearing in mind the very considerable resources spent on this programme and the meagre results it has produced, the answer to the question in the headline unfortunately is an unqualified no. The programme was not worthwhile.

At the same time, this conclusion is drawn in retrospect in a situation when ideas on ID are much clearer, when the situation in the countries where the training took place and the situation of the Red Cross and Red Crescent Societies are much different and when the relationship between these societies and the Federation and the supporting national societies has matured.

At the time when the programme was initiated, things looked differently. Under the circumstances it probably made good sense. As this evaluation has shown, the programme could have been designed and implemented more successfully. It could also have been designed with a pilot phase that was evaluated before implemented on a large scale.

However, at this stage it is important to draw the lessons from this experience. This is the more important for two reasons. Firstly, the lessons to be drawn are many and often conclusive. Secondly, the lessons have been very costly. It is our hope that this evaluation could provide a basis for a constructive dialogue.

## XVIII. INSTITUTIONAL DEVELOPMENT IN THE FUTURE

The ET certainly does not pretend to have an answer to the question of what institution development (ID) might entail in the future and what might be relevant support strategies. As a contribution to the continued debate and search for answers we still venture to provide some sketchy thoughts both of a general nature and also more directly concerned with the programme areas.

### Conceivable characteristics and principles for ID

*Developing a  
strategic plan*

ID is generally thought of as a series of specific efforts in order to enhance a process of change aimed at improving the performance of an organisation.

Change often takes time to bring about. Therefore, ID generally is a long-term undertaking and should be seen as a process. However, in order to yield results this process needs to have a momentum. One-shot activities seldom result in sustainable change.

ID generally needs to address several dimensions of an organisation. A useful way of categorising such dimensions is given in the Characteristics of a Well-Functioning National Society, which can be used as a check-list of areas to work with in order to improve a society's performance.

Preconditions and priority areas (dimensions) for ID efforts will vary from organisation to organisation and within one organisation over time.

In order to be successful, an ID process has to be controlled and managed by the organisation itself rather than be imposed from outside.

In order to make ID successful the members of an organisation, and particularly its leadership, must want to see their organisation develop and accept that this involves change.

At the same time ID is very much a political process in which power structures and relationships may be affected.

To avoid challenges of power structures and relationships at an early stage in an ID process, ID may preferably focus on less "political" dimensions initially (e.g. resource mobilisation rather than governance).

### Principles for support to ID

Any support to ID should be designed with the explicit recognition of the kind of principles and characteristics listed above.

Any support should take as its point of departure the existing resources, activities, external relations, working procedure, administrative systems, etc. of the organisation under focus.

The support should be designed to assist the organisation to solve its key problems or exploit promising opportunities. That is to say that ID activities should be designed in relation to the activities or programmes of the organisation and not separated from them. This is to ensure that ID activities are seen as useful and relevant and not as something for their own sake.

The support should not attempt to address a large number of institutional weaknesses on a broad front but single out a limited number of the key ones and take a gradualist and step by step approach.

The support should try to identify activities which can produce early and tangible results. Whereas general models in terms of principles and approach to ID can be elaborated, the actual support has to be adjusted to the specific characteristics of each organisation.

An ID support should extend over a number of years (3-5 years). ID interventions based on annual appeals can not be recommended. Long term financial commitments should be the basis.

The external (to the organisation) support can include techniques and methods for problem identification, analysis and solution, technical advice (e.g. legal advice, advice on administrative systems), exposure to experiences of others (experiences of technical assistance personnel, net-working involving other organisations, etc.), to serve as a discussion partner, capability to facilitate and sustain participatory processes as well as providing stimulus and encouragement. In certain situations the external support may also include service delivery support in order to maintain a minimum level of activity (as long as this is not turned into an alternative to mobilisation of local resources).

The support is primarily conceived as a matter of making resource persons available to work on a very concrete basis with the organisations concerned. A model where such resource persons spend spells of time with an organisation rather than is posted permanently is foreseen.

When a number of similar organisations (say district chapters) embark on an ID programme, workshops and other forms of exchange of experiences and joint problem solving activities would become important.

In this model training is a means of secondary importance. Training may prove useful when a particular, usually technical, skill is to be enhanced. However, training should only be used if and when specific training needs have emerged in the ID process.

### **ID in Russia, Kazakhstan and Central Asia**

The ET has made a highly superficial attempt to apply the framework for ID developed above to the Russian context. We would like to stress that further analysis (through a far more participatory approach than circumstances permitted us to use, at the end of our mission) would be required to verify and probably modify our suggestions. Except for the first step (see below) our focus was at the oblast level.

Firstly, an attempt was made to establish a generalised view of the ID issues of critical importance facing the RRC at central and oblast level respectively. Dimensions of ID were identified using the Characteristics of a Well-Functioning Society. This analysis was made with the overriding concern of survival at all levels in mind. The result, which can not be argued in detail here, was as follows:

- Dimensions of high significance at both central and oblast level: human and financial resources, activities and management
- Dimensions of high significance only for the central level: mission and legal base
- Dimensions of low significance for both levels: governance, constituency, organisational structure - levels/relations/systems and procedures

Space limits prevent us from presenting the arguments behind this ranking. In brief, however, based on our observations in this evaluation we have identified human and financial resources and activities as the critical dimensions in response to the dramatic problem of survival.

The focus of an ID support programme at this stage should be to ensure survival of Red Cross committees at oblast level. At least three strategies (in order of priority) are conceivable namely:

- 1) developing the capacity and the capability to mobilise local financial resources,
- 2) linking other support programmes to ID and to survival and
- 3) to provide an income generating asset.

### **Mobilising local financial resources**

As we have noted elsewhere, the decline in the economies has resulted in a severe shortage of financial resources at all levels and an unwillingness among the general public to support development and social service activities. Under these circumstances no-one seems to know what are the best sources of funds and what are the best ways to tap them. Clearly there is no standard solution to be looked for. Different situations and different contexts may suggest different solutions. However, the ET has tentatively concluded that the main source of funds at oblast (and rayon) level in the foreseeable future is likely to be local governments and business enterprises with the former being more important.

There is also a widespread idea at oblast level that membership fees is a potentially important source of funding. The ET may be less convinced but accepting the strong interest in this possibility, and given the uncertainty of what are viable solutions to fund raising, we would suggest a pilot programme testing two approaches as follows.

### **Fund raising from local government and business enterprises**

Applying the process and ID support approach outlined above, an external resource person should assist a number of pilot oblasts to determine ways to provide a gain to a sponsor in return for funds (prestige, PR, reducing workload, complementing government activities, etc.), selection of activities, the need for and form of presentation of planned activities, follow up and reporting requirements, etc.

## Membership fees

A concept which is different from both the traditional concept of primary organisations and from the Swedish/Finnish concepts of volunteer and volunteer organisations could be tested. For consideration and elaboration we envisage a work-place based approach where a contact person (volunteer) is recruited with the sole task of disseminating information about the oblast activities and collection of membership fees.

A basic difference from the past is that the motivation for engagement (function as a contact person and paying a membership fee) is a concern for people (generally elderly people) in need in their own environment. Another difference is the focus on specific activities rather than general purposes as a basis for paying a membership fee and the limitation to one single activity for the activists - fee collection based on feedback on activities.

The concept is also different from a Swedish/Finnish concept in that no organisational structure with a range of activities is aimed for at primary level. Recruitment of numbers of volunteers is not a prime concern.

## The pilot programme input and organisation

The programme should be owned and implemented by the RRC. It should be made part of the RRC organisational structure as a temporary project organisation.

The core input by the programme would be a number of locally recruited resource persons headed by a senior and widely experienced resource person with experience from ID through facilitation of internal processes. (It may be necessary to look outside the Red Cross movement for such persons). This person should train and assist a cadre of local resource persons preferably recruited from within the RRC. Each such resource person should assist 2-3 oblasts. The pilot programme should extend no less than three years.

## Linking other programmes to ID

Linking service delivery or relief programmes to ID may undermine rather than strengthen the survival capacity of an oblast by diverging the focus from developing a local resource base. Therefore, linking such programmes is as much a matter of ensuring that they do not become a substitute for own efforts. This can be achieved by testing the approaches outlined above in oblasts already supported by other programmes. Such support has the added advantage that it provides the oblast with a basic level of activity and often also resources to keep key staff in office which should be preconditions for ID support discussed above.

Where other programmes (e.g. relief) involve provision of lasting assets (e.g. buildings), they should be planned with the view to provide a continued source of income after its immediate use (e.g. through letting).

## Provision of income generating assets

This is a variant of the last proposition. A donor may consider to provide funding of a lasting asset (e.g. an office building or a warehouse) with the explicit and sole view to provide an oblast with a continuous source of income ensuring at least a nucleus of key staff.

## TERMS OF REFERENCE

for final evaluation, steps I and II  
of the Institutional Development Training Programme  
by the  
International Federation of Red Cross and Red Crescent Societies  
with the Russian, and Central Asian National Societies

### Background

When they opened in the early 1990's, the International Federation's Regional Delegations in Moscow and Almaty were tasked to provide support to the development of the National Societies in their regions - Societies who were facing many challenges in terms of economic, political and attitudinal change happening throughout their region.

During 1992, with the break-up of the former Alliance of Red Cross and Red Crescent Societies of the Soviet Union, initial assessments carried out with the National Societies identified Institutional Development as a key issue to be tackled. The Swedish Red Cross and its Folk College was initially approached to develop a training programme on Institutional Development with the Russian Red Cross, they were later joined in this work by the American Red Cross, Finnish Red Cross and the Japanese Red Cross, and the scope of the training programme extended to the National Societies of Central Asia.

The training began in the Russian Red Cross in early 1993, and ran through to early 1995. The training in Central Asia began with an assessment of needs in late 1993, and ran through 1994 and has been finalised in June 1995.

In February 1994, an interim review of the ID training programme in the Russian Red Cross was carried out. The recommendations of this evaluation ranged from the need to *integrate* the ID *training* into a practical ID *process* within the NS to a number of practical recommendations on the *content* of the training programme.

### Final Evaluation

Process:

It has been decided to integrate the evaluations of the Russian, Georgian and Central Asian training programmes. This will allow us to capitalise on the learning from these three experiences coming from the similarities and differences in approach. The aim is to examine the impact on the programmes in each of the Societies and oblasts involved and to make recommendations for future action, possibly using experience from one Society/oblast to support another.

## Objectives:

The final evaluation will examine the project planning and execution, in order to evaluate:

- ♦ effectiveness of needs analysis and the methodology used for this
- ♦ appropriateness and relevance of the approach, content and methods of the training programme
- ♦ impact of the training including learning by participants, and practical programme and other follow up initiatives
- ♦ integration of the training into an overall Institutional Development Process within the National Societies
- ♦ the effectiveness of the use of resources involved in the programme
- ♦ the effectiveness of the international cooperation in the project - including the role of the Federation; the roles of donor and recipient Societies in the design, implementation and follow up; and the interaction between the ONS involved and the trainers,
- ♦ the overall appropriateness of the programme, and with the benefit of hindsight, what other alternatives might have been applied
- ♦ what were the unplanned effects of the try

The final evaluation will also provide a basis for recommendations on future action.

## Methods

The Team leader shall propose methods for evaluation which shall realise the above objectives. These methods shall be discussed to the Europe Department of the Federation before the meeting in Geneva of the team on August 17, and during this meeting (17 to 23 August) these methods will be finalised.

## Evaluation team

A *team* has been established to provide the following skills and attributes:

- ♦ knowledge of the region, awareness of its language, culture and historical background
- ♦ knowledge of the National Societies of the region
- ♦ technical skills and experience in institutional development and related training in voluntary, non governmental organisations, preferably in countries with similar recent history to those in the programme
- ♦ experience in evaluation of similar programmes

This team is:

- Mr Lars Birgegard, independent consultant, recruited by the Swedish Red Cross, Team leader
- Mrs L Byarmaa, Head, International Department, Mongolian Red Cross, Member Federation Development Commission
- Mr Alexi Gartinski, Officer, Training Department, Federation Secretariat Geneva, formerly staff member of the USSR Alliance of Red Cross and Red Crescent Societies

## Process

This evaluation is proposed in six phases:

### 1. April/May:

Initial evaluation to be carried out with the Operating National Societies in the programme - ie in RRC plenum, Central Asia leaders' meeting, using questionnaire formulated by Moscow delegation (April / May).

### 2. August 17 to August 25:

Discussions with Federation Secretariat, trainers involved in the programme, PNS - through interviews, visit to Geneva, Swedish Folk College, Fincross. Phone interviews with American and Japanese Red Cross staff involved in the programme, and a study of interim evaluations etc. During this time, the programme of work will be finalised, including methods of data collection, interviews etc.

### 3. August 26 to September 10:

Data collection - visits to selected oblasts and leadership of the Central Asia NS, the Almaty Delegation and sub delegations in Biskek and Dushanbe. The team may have to split in order to effectively cover all areas.

### 4. September 12 to 27:

Data collection - visits to selected oblasts in the Russian Red Cross, including Russian Far East. Meetings with Moscow Regional Delegation, RRC leadership and finish with meeting participants of RRC Phase III training for trainers (all have taken part in Phase I and II) representing 16 oblasts of the Russian Federation. The team may have to split in order to cover Far East as well as other oblasts.

### 5. September 28 to October 8:

Preparation of final report. This to be divided into two sections - time for work as full team, and secondly with team leader taking final responsibility for editing and presentation.

6. December 8 - 11 (\*\*\*):

Meeting involving the NS of Russia, Central Asia, Georgia, Sweden, Finland, Japan and United States, and the Federation delegations and Secretariat to discuss findings and recommended follow-up.

### **Other Issues**

Visits to the Societies and oblasts concerned will be organised by the development delegates in Moscow and Almaty. Programmes for these visits will include meetings with the Leadership of the Society Central Committee, meetings with participants of the training in the Central Committee and at oblast level, discussion with other people within the central committee and oblast, discussions with other agencies working in the region. Phases three and four will begin and end with meetings with the Regional Delegation staff in Almaty and Moscow respectively.

### **Expected output**

The team should submit a clear and honest evaluation of the programme with recommendations for future action. This report to be discussed with all parties during Phase six of the evaluation. The final report will follow the outline proposed by the Secretariat and should ideally be a maximum of 30 pages, not including annexes. It should be presented in hard copy and disc format by October 9 to allow for translation and discussion within Societies.

## LOCATION AND TIMING OF COURSES

Institutional Development and Leadership Training  
Swedish Red Cross

| RUSSIA            |             | Phase 1           | Phase 2           |
|-------------------|-------------|-------------------|-------------------|
| Youth Seminar     | Ivanovo     | 28.06- 07.07.1993 |                   |
| Central Committee | Moscow      | 20.09- 24.09.1993 | 29.11- 03.12.1993 |
| Oblast Committees | Moscow      | 22.11- 26.11.1993 | 11.04- 15.04.1994 |
| Oblast Committees | Novosibirsk | 14.02- 18.02.1994 | 23.05- 27.05.1994 |
| Oblast Committees | Saransk     | 21.02- 25.02.1994 | 30.05- 03.06.1994 |
| Oblast Committees | Rostov      | 28.02- 04.03.1994 | 06.06- 10.06.1994 |
| Oblast Committees | Novgorod    | 28.02- 04.03.1994 | 23.05- 27.05.1994 |
| Oblast Committees | Khabarovsk  | 11.11- 15.11.1994 |                   |
|                   |             | 28.11- 02.12.1994 |                   |
| Oblast Committees | Irkutsk     |                   | 13.02- 17.02.1995 |
|                   |             |                   | 20.02- 24.02.1995 |

| CENTRAL ASIA |           | Phase 1           | Phase 2           |
|--------------|-----------|-------------------|-------------------|
| Turkmenistan | Ashgabat  | 04.04- 08.04.1994 | 05.09- 09.09.1994 |
| Uzbekistan   | Tashkent  | 11.04- 15.04.1994 | 12.09- 16.09.1994 |
| Kazakhstan   | Almaty    | 27.06- 01.07.1994 | 26.09- 30.09.1994 |
| Kyrgyzstan   | Ysyk-Kol  | 04.07- 08.07.1994 | 03.10- 07.10.1994 |
| Tadjikistan  | Leninabad | 11.07- 15.07.1994 | 10.10- 14.10.1994 |

Resourse Development Training  
Finnish Red Cross

| CENTRAL ASIA |           | Phase 1           | Phase 2    |
|--------------|-----------|-------------------|------------|
| Turkmenistan | Ashgabad  | 14.11- 18.11.1994 | April 1995 |
| Uzbekistan   | Tashkent  | 21.11- 25.11.1994 | April 1995 |
| Kazakhstan   | Almaty    | 16.01- 20.01.1995 | May 1995   |
| Kyrgyzstan   | Bishkek   | 23.01- 27.01.1995 | May 1995   |
| Tadjikistan  | Leninabad | 30.01- 03.02.1995 | June 1995  |

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## SYLLABUS OF COURSES

**Swedish Red Cross**  
**Institutional Development and Leadership Training**  
**Phase 1**

- |           |                                                                                                                                                                                                                                                                            |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Monday    | a.m. Introduction<br>Presentation of participants and facilitators<br>Participants' expectations<br>p.m. The International Red Cross and Red Crescent Movement<br>Historical background<br>The emblem<br>The Strategic Workplan for the 90's<br>The Fundamental Principles |
| Tuesday   | a.m. The voluntary organisation<br>What is a voluntary organisation ?<br>What is a volunteer?<br>The National Society<br>Group work and presentation by the participants<br>p.m. SWOT-analysis at Oblast level<br>Presentation of Swedish Red Cross                        |
| Wednesday | a.m. Needs assessment<br>vulnerability analysis<br>local needs<br>p.m. Programme / Project planning based on needs assessment<br>Group work                                                                                                                                |
| Thursday  | a.m. Programme / Project planning (continued)<br>p.m. Working with volunteers<br>job description<br>recruitment                                                                                                                                                            |
| Friday    | a.m. Budget / Fundraising<br>p.m. Preparations Phase 2<br>Course evaluation<br>Summary                                                                                                                                                                                     |

**Swedish Red Cross  
Institutional Development and Leadership Training  
Phase 2**

- Monday            a.m. Introduction  
                         Refer back to Phase 1  
                         p.m. Presentation ICRC  
                         Summary
- Tuesday           a.m. Fund development  
                         Planning for fund development strategies. Contact with  
                         enterprises and business companies, income generating  
                         activities  
                         p.m. Group dynamics and leadership  
                         The importance of team work  
                         Cooperation and communication  
                         Summary
- Wednesday       a.m. Continued Group dynamics and Leadership  
                         Conflict in groups  
                         Group processes  
                         Leadership style  
                         p.m. Group dynamics and Leadership (continued)  
                         Support  
                         Competence and development  
                         Summary
- Thursday          a.m. Training and Training Planning  
                         The role of the training in the Red Cross  
                         Pedagogy  
                         Methods  
                         p.m. Training and Training Planning (continued)  
                         Planning and conduct  
                         The role of the trainer  
                         Summary
- Friday             a.m. Evaluation  
                         Evaluation as a tool for development  
                         Various evaluation techniques  
                         p.m. Conclusions  
                         Evaluation Phase 2  
                         Closing

Finnish Red Cross  
Resource Development Training  
Phase 1

- Monday
- a.m. Seminar opening
    - Ice Breaking
    - Aims and goals of the seminar
    - Video *A Vital Need*
    - Expectations and Apprehensions for the training
    - Group work
  - p.m. Identify your problems with fundraising
    - External/ internal
    - Brainstorming
    - Strategic Planning (A *Garden* Exercise, 3 short exercises)
- Tuesday
- a.m. Organisation: who does what?
    - Analysing Homework (one activity or whole budget)
    - Budgeting (basics)
    - District realities in Finland and locally
  - p.m. Financial Management (case studies)
    - Book-keeping control
- Wednesday
- a.m. Resource Development (committees, unit-the staff )
    - Video *Strength in Numbers* ( 13'30 ")
    - Volunteers (role, recruiting, group work based on video)
  - p.m. Image, Public Relations (role play: what to tell the media?)
- Thursday
- a.m. Video *Income generating* (13'12")
    - Problem solving Session 2 (individual group work)
    - Fundraising activities (brainstorming ;fishing for ideas; my best campaign; worst failure, easy and impossible ones, membership drives)
  - p.m. Activity plan (identifying our strengths)
    - Home work for Phase 2: *Plan and implement a fundraising campaign*
    - Role play: going out to ask money
- Friday
- a.m. Tying it all together
    - Evaluation
    - Towards Phase 2

**Finnish Red Cross  
Resource Development Training  
Phase 2**

- Monday
- a.m. Seminar opening
    - A year in local Branch/Rayon (analysing activities linked with resources, starting new, finding resources)
    - Management style (group work)
  - p.m. Resource Development
    - Case examples: Zimbabwe, Nepal...
    - Videos
    - Case examples (continue)
- Tuesday
- a.m. Homework evaluation & Campaigns from A to Z (budgeting, supervision, evaluation, human financial resources)
    - Campaigns (continues)
  - p.m. Volunteers (recruiting, training, support, rights, duties, promotion)
    - Video *Singapore fair*
    - Planning with unexpected: operations, campaigns (group work)
- Wednesday
- a.m. Public Relations (group work)
    - Video *Public Relations and Marketing*
    - Leaflets & brochures (group work )
  - p.m. Looking for partners
    - ICRC/IFRC, PNS, ONS, Local experience
    - Co-operation with other NGOs authorities (role play)
- Thursday
- a.m. Planning day for 1996:
    - Overall plan, financial plan and budget
    - needs, aims
    - process/ participation
    - methods
    - resources: personal, training material, funds, organisation
  - p.m. timetable
    - links between national, regional and local planning (group work)
    - role play
- Friday
- a.m. Final exam
    - Closing session

## LIST OF PERSONS INTERVIEWED

## Federation

|                     |                            |                                                           |
|---------------------|----------------------------|-----------------------------------------------------------|
| Margareta Wahlstrom | Under Secretary General    | Disaster Response and Operations<br>Coordination Division |
| Ibrahim Osman       | Under Secretary General    | National Society Cooperation &<br>Development Division    |
| Ilkka Uusitalo      | Director                   | Europe Department                                         |
| John Geoghegan      | Deputy Director            | Europe Department                                         |
| James Hill          | Desk Officer/Russia/C.Asia | Europe Department                                         |
| Yasuo Tanaka        | Desk Officer               | Asia/Pacific Department                                   |
| Anja Toivola        | Acting Director            | Institutional & Resource Development                      |
| Hakan Sandbladh     | Head                       | Relief Health Service                                     |
| David Eby           | Development Delegate       | Federation, Almaty                                        |
| Leen Revallier      | Head of Delegation         | Federation, Moscow                                        |
| Taisto Vanhapelto   | Development Delegate       | Federation, Moscow                                        |

## Participating National Societies / Implementing Institutions

|                  |                       |                          |                    |
|------------------|-----------------------|--------------------------|--------------------|
| Sten Furbo       | Head                  | International Department | Swedish Red Cross  |
| Johan Schaar     | Head                  | Development Department   | Swedish Red Cross  |
| Birgitta Weibahr | Programme officer     |                          | Swedish Red Cross  |
| Helena Korhonen  | Head                  | International Department | Finnish Red Cross  |
| Akira Nakata     | Director              | Development Cooperation  | Japanese Red Cross |
| Tom Baker        | Desk Officer          |                          | American Red Cross |
| Inger Malmstrom  | Head                  | Development Department   | SRC Folk College   |
| PeGe Persson     | Programme Coordinator |                          | SRC Folk College   |

## Facilitiators

Finnish teams:

Gun Raikkonen  
Outi Parnanen  
Marjut Helminen  
Armas Rahola  
Riitta Tuomala

Swedish teams:

Vibeke H... Cavallius  
Anders Sjoshand  
Ewa Jonsson  
Ben Hult  
Lena Vesper  
Elisabeth ...  
Tomas ...

## Operating National Societies

### Kazakhstan Red Crescent & Red Cross Society

|                        |                  |                                     |
|------------------------|------------------|-------------------------------------|
| Dr. Erkebek Argymbaev* | Director General | National Committee                  |
| Ms. Kulyan Ishanova    | Head             | National Operation Department       |
| Mr. Kanat Umbetaliev   | Chairman         | Almaty Oblast Committee             |
| Ms. Irina Denisenko    | Chief Specialist | National Operation Department       |
| Mr. Nurlan Uderbaev    | Chairman         | Aktyube Oblast Committee            |
| Mr. Vladimir Shults    | Chairman         | Akmola Oblast Committee             |
| Ms. Damilya Rakhimova  | Chairperson      | Karaganda Oblast Committee          |
| Mr. Erken Kozhakhmetov | Chairman         | Semey Oblast Committee              |
| Ms. Olga Tazova        | Chairperson      | Manghystau Oblast Committee         |
| Ms. Galina Belova      | Chairperson      | East Kazakhstan Oblast Committee    |
| Mr. Makhmud Esirkepov  | Chairman         | South Kazakhstan Oblast Committee   |
| Ms. Askarova Lyazzat   | Officer          | Tchimkent, South K.Oblast Committee |
| Ms. Bourkitova Koulash | Officer          | Tchimkent, South K.Oblast Committee |
| Ms. Abramova Tatyana   | Officer          | Karaganda Oblast Committee          |
| Ms. Ileuzhau Eldyaeva  | Chief Accountant | Karaganda Oblast Committee          |
| Ms. ...                | Officer          | Karaganda Oblast Committee          |
| Ms. ..                 | Chairperson      | Temertao Rayon Committee, Karaganda |

### Turkmenistan Red Crescent Society

|                        |                    |                                      |
|------------------------|--------------------|--------------------------------------|
| Ms. Zukhra Ellieva     | Chairperson        | National Committee                   |
| Ms. Liliya Ashirova    | Deputy Chairperson | National Committee                   |
| Ms. Nataliya Levaya    | Chief Specialist   | National Committee                   |
| Ms. Olga Akieva        | Chairperson        | Balkan Veloyat (Oblast) Committee    |
| Mr. Kurban Ishankuliev | Chairman           | Dashkhowuz Veloyat Committee         |
| Ms. Roza Karimova      | Chairperson        | Mary Veloyat Committee               |
| Mr. Abdu Rashid Agaev  | Deputy Director    | Mary Hospital                        |
| Mr. Dzhuma Kurbanov    | Chairman           | Lebap Veloyat Committee              |
| Ms. Gulnara Eresheva*  | Accountant         | Lebap Veloyat Committee              |
| Mr. Altybai Yangiev    | Chairman           | Denau Rayon Committee, Lebap Veloyat |
| Ms. Marina Chaiko*     | Accountant         | Akhal Yeloyat Committee              |

### Uzbekistan Red Crescent Society

|                          |                         |                                     |
|--------------------------|-------------------------|-------------------------------------|
| Mr. Vladimir Dvorkin*    | Deputy Chairman         | National Committee                  |
| Mr. Pulat Abdullakhmanov | Head, Int.Dept          | National Committee                  |
| Ms. Flyura Latipova      | Chairperson             | Tashkent Oblast Committee           |
| Ms. Abadan Bazarbaeva    | Chairperson             | Karakalpakstan Republican Committee |
| Ms. Sh.A.Iusupova        | Chairperson             | Andijan Oblast Committee            |
| Ms. Zamira Muzaffarova   | Chief Instructor        | Tashkent City Committee             |
| Ms. Zamira Palvanova     | Chairperson             | Khorazm Oblast Committee            |
| Ms. Lyudmila Khashimova  | Chairperson             | Samarkand Oblast Committee          |
| Ms. Venera Subkhankulova | Head, Training Unit     | Samarkand Oblast Committee          |
| Mr. Shukurov Ilham       | Deputy Chairman(former) | Samarkand Oblast Committee          |

## Tadjikistan Red Crescent Society

|                          |                          |                            |
|--------------------------|--------------------------|----------------------------|
| Ms. Zioda Davlyatbekova* | Chairperson              | National Committee         |
| Ms. Iraida ...           | Assistant to Chairperson | National Committee         |
| Mr. Khamdon Khamidov     | Senior Instructor        | Humanitarian Relief Dept   |
| Mr. Ergash Abdulazizov   | Deputy Chairman          | Dushanbe City Committee    |
| Mr. Komil Khasanov       | Deputy Chief Accountant  | National Committee         |
| Mr. Kharitdin Sattorov   | Deputy Chairman          | Khatlon Oblast Committee   |
| Ms. Svetlana Rakhimova   | Deputy Chairperson       | Gisar Rayon Committee      |
| Mr. Abduljon ...         | Chairman                 | Khodjent Oblast Committee  |
| Ms. Olga Davrukova       | Chairperson              | Tchkalovsk City Committee  |
| Mr. Saiffitdin Tuichiev  | Deputy Chairman          | Khodjent Rayon Committee   |
| Mr. Khamud Sattarov      | Deputy Chairman          | Pendzhikent City Committee |
| Mr. Khaitboy Rustamov    | Deputy Chairman          | Ura-Tyube City Committee   |
| Mr. Tukhtasun Mamadov    | Deputy Chairman          | Kanibadam City Committee   |

## Kyrgyzstan Red Crescent Society

|                           |                          |                           |
|---------------------------|--------------------------|---------------------------|
| Ms. Raisa Ibragimova*     | Chairperson              | National Committee        |
| Mr. Iskander Osmonov      | Assistant to Chairperson | National Committee        |
| Ms. Galina Suslakova      | Head, Org. Department    | National Committee        |
| Mr. Adulbek Chotbaev      | Chairman                 | Chuy Oblast Committee     |
| Mr. Zholdubai Maatkerimov | Chairman                 | Naryn Oblast Committee    |
| Mr. Toton Tashibekov      | Chairman                 | Talas Oblast Committee    |
| Ms. Karlygash Asykbaeva   | Chairperson              | Yssyk-Ku Oblast           |
| Ms. Toraim Zhunusova      | Chairperson              | Osh Oblast Committee      |
| Ms. Tatyana Mityagina     | Chairperson              | Uzden District Committee  |
| Ms. Gulimkhan Zakiryaeva  | Chairperson              | Soviet Rayon Committee    |
| Mr. Abdrasul Nazarov      | ...                      | ...                       |
| Ms. Orozokan Akimbaeva    | Chairperson              | Jalal- Abad Oblast        |
| Ms. Mairam Narynbaeva     | Chairperson              | Jalal-Abad City Committee |
| Ms. Gulsina Kadirbekova   | Chairperson              | Aksy Rayon Committee      |

## Russian Red Cross Society

|                          |                      |                          |
|--------------------------|----------------------|--------------------------|
| Mr. Vladimir Milukov     | Deputy Chairman      | Central Committee        |
| Ms. Luidmila Potravnova* | Deputy Chairperson   | Central Committee        |
| Ms. Valentina Shishkina  | Head, Programme Dept | Central Committee        |
| Ms. Alexandra Bulgakova  | Head, Finance Dept   | Central Committee        |
| Ms. Lydia Khrameyeva     | Chairperson          | Okrug Committee; Moscow  |
| Ms. Liudmila Sinchagova  | Chairperson          | Okrug Committee, Moscow  |
| Ms. Alla Korshunova      | Chairperson          | Okrug Committee, Moscow  |
| Ms. Tatiana Strongina    | Chairperson          | Western Okrug Committee  |
| Ms. L.A. Chavkina        | Chairperson          | Northern Okrug Committee |
| Ms. N.F. Kalashnikova    | Chairperson          | Eastern Okrug Committee  |
| Ms. T.I. Sytcheva        | Deputy Chairperson   | North-West Okrug Comm.   |
| Ms. E.Z. Kuyzmina        | Chairperson          | Basmany Committee        |
| Ms. N.A. Dorofeyeva      | Chief Specialist     | Moscow City Committee    |