

# DONOR RELATIONS & RESOURCE MOBILIZATION STRATEGY

## **SUMMARY**

**CONSULTANCY REPORT FOR DPPC**

FINANCED BY CIDA

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# 1. EXECUTIVE SUMMARY

## CONTEXT

Ethiopia is undergoing a period of accelerated change. It is a post-conflict era marked by a lessening of immediate emergency pressures and a new willingness by donors to engage in long term programming relationships. However, the overall context for resource mobilization is increasingly difficult. The global environment is such that donor attention is pulled from one crisis to another; an apparent competition for a dwindling pot of aid resources played out in the news headlines. New strategies and ways of working are needed to respond to these emerging realities.

The impetus for a resource mobilization strategy originated with the DPPC within their overall efforts to build internal capacity – it is not a donor driven initiative. One of the central DPPC concerns is that the process must become more systematic with a clear blueprint of how to approach donors, who to approach, how to engage them in the best manner, and what tools to use. Currently, fundraising is largely focused on producing appeal documents, on chasing reporting details, and in trying to keep up with the litany of individual donor demands.

## STRENGTHS AND SUCCESSES

There are many examples that demonstrate the benefits of approaching donors and NGOs in a constructive and collaborative fashion. Generally, the more the DPPC has opened up its processes, the more positive has been the donor response.

- **Management of 2000 Emergency Response**
  - DPPC did an admirable job of managing the relief operation, especially in terms of logistics.
- **Avoidance of Duplication**
  - The DPPC has played a very important role in coordinating the NGOs and donors to avoid overlap in geographical areas of operation.
- **Food Aid Needs Assessment**
  - This has evolved to include donors and NGOs in all aspects of the process including “number crunching”. Tremendous good will and trust has been built through this exercise.
- **Food Aid Targeting**
  - This issue is no longer raised as a major donor concern because it is being addressed jointly with GoE, donors and NGOs in an open and collaborative process (although much work remains to be done).
- **Opening up the Monitoring Process**
  - DPPC now shares all available operations information with donors (with open access in the field as well).

- **Local Fundraising**

- During the conflict, over 280 million Birr was raised through fundraising including 51 million Birr from Ethiopians living abroad.
- Amhara region DPPC organized a local fundraising event in Addis in response to the 2000 drought and raised 21 million Birr in one evening targeting local business people.

- **New Donor Initiatives to Address Chronic Food Insecurity**

- USAID has proposed an innovative multi-year pilot program in Amhara region to address both chronic and acute needs in two woredas.
- The EU is working to provide cash support in a flexible manner to compliment food inputs in addressing the chronically food insecure.
- These are welcome new initiatives from the DPPC perspective.

## CONSTRAINTS

Many of the donor concerns centre around the need to make a clear distinction between acute and chronic food insecurity. Chronic food insecurity requires a more integrated multi-year developmental approach to address the root causes. While food aid is an important part of the response, by itself it will not solve the structural causes of chronic food insecurity. Other general donor concerns are:

- **Ownership by Government**
  - Food aid and food security expenditure has largely been outside of GoE budgeting.
  - Food aid appeals are presented to donors without a clear picture of the government response. The lack of any GoE commitment to the 2001 appeal did not encourage donors to respond.
- **Understanding and Addressing Donor Needs**
  - Many donors feel that DPPC does not fully understand their policies, priorities, funding mechanisms or the constraints they face.
- **Collaboration**
  - Donors unanimously want more constructive dialogue and collaboration with the DPPC. Their frustrations come in not having consistent mechanisms for collaborating in an efficient manner.
- **Information Flows and Needs**
  - Some donors do not feel they are getting the information needed nor in the appropriate format to convince their HQs to take action in the face of many competing interests.
  - Donors want global information in an overview that brings together all donations and distributions of food aid, information on food utilization right down to the

beneficiary level, and an analysis of the impact on the beneficiaries.

- DPPC Bulletins and updates: these come in a confusing number of formats and do not necessarily tell the donors what they need to know.

#### ▪ **Annual Appeal Process**

- The Annual Appeal process is perceived as outdated, overly complex, and expensive in terms of both time and money.

#### ▪ **DPPC Capacity**

- “The DPPC needs more bodies and more specialists”. There is a lack of skilled experts, of adequate training, of incentives, of adequate infrastructure and equipment, combined with a heavy workload. Capacity gets weaker the further you move from the centre. Some donors feel that the DPPC does not admit when it lacks capacity.

#### ▪ **Relationship between NGOs and DPPC**

- It is important to have NGO support in order to ensure donor support. Although the overall relationship has improved especially over the last few years, some NGOs are not confident that they are fully trusted partners.
- A number of operational barriers need to be addressed to increase the ability of NGOs to implement effectively.

#### ▪ **Lack of Continuity from Donors**

- Rapidly shifting and evolving donor policies are confusing.
- High turnover of donor staff: donor policy can often be interpreted differently by new staff.

#### ▪ **Lack of Understanding by Donors**

- Some donors can be too simplistic in their approach not appreciating the complexity of the problems faced.
- There can be a lack of appreciation within the international community of how difficult it is to get things done with the constraints the DPPC faces.

### LESSONS LEARNT

#### **Good Relationships are the Foundation for Effective Resource Mobilization**

- Transparency and collaboration are essential for building trust. Trust is essential for resource mobilization.
- Good personal relationships are just as important as strong professional relationships between organizations. Personalities matter.
- Government is strongest when it invites open collaboration. Establishing joint problem solving mechanisms lends credence to government efforts.

#### ▪ **Transparency and Collaboration Overcome Problems**

- The very fact that collaboration exists is often enough to take the controversy out of issues. A problem often ceases to be mentioned as a burning donor priority if donors feel it is being seriously addressed

in a way that gives them a voice (e.g. the needs assessment process).

- Experience shows that even the most difficult and controversial issues can be tackled effectively if the right collaborative process is used.

#### ▪ **Collaboration Disarms the Critics**

- It is much easier for donors and NGOs to be critical of the DPPC when they are not engaged in solving the issues themselves.

#### ▪ **NGOs Influence Donors and Attract Resources**

- NGOs are a powerful lobby group in their home countries. They are often consulted by donors both here and in the home country. They can also access resources not available to governments.

#### ▪ **Broadcast Successes**

- Packaging good news is important. It can make a difference how you present your information.
- Encourage best practice stories and be prepared to celebrate government, NGO and donor successes. Analyze and tell others about successes.

### RECOMMENDATIONS

This strategy involves changing the way the DPPC operates and, in doing so, improving its ability to mobilize resources. To do this, it is recommended that the DPPC commit to building on past successes by engaging with donors and NGOs in a spirit of cooperation and mutual understanding. By clearly signalling their intention to work in a spirit of open collaboration, the DPPC will be able to bring the best and most appropriate assistance to the people of Ethiopia.

The strategy components are:

#### ▪ **Emphasize Government Ownership & Commitment**

- Make the first contribution
- Detail existing GoE contributions
- Increase local fundraising

#### ▪ **Focus on Advocacy**

- Advocate for the beneficiaries
- Advocate on policy
- Advocate for donor concerns
- Advocate for DPPC

#### ▪ **Strengthen Relationships**

- Learn from other countries
- Institute regular consultation
- Increase team building skills
- Go to the field together
- Review together
- Meet informally (personal relations matter)
- Formally thank partners
- Review NGO approach

#### ▪ **Be Proactive to Solve Donor and NGO concerns**

- Encourage joint problem solving
- Use working groups
- Develop an operational guideline

▪ **Systematically Understand Donors & NGOs**

- Establish a donor profiling system
- Educate donors on DPPC constraints
- Diversify the donor base

▪ **Address Transparency Issues**

- Improve reporting on global resources
- Provide information on individual donor contributions
- Update distribution plans
- Improve communications

▪ **Re-define Outputs**

- Re-design information products
- Change annual appeal process
- Address media relations
- Explore the use of the Internet

▪ **Address Internal DPPC Issues**

- Ensure political will
- Address workload issues
- Improve staff motivation

## 2. CONTEXT

Ethiopia is undergoing a period of accelerated change. It is a post-conflict era marked by a lessening of immediate emergency pressures and a new willingness by donors to engage in long term programming relationships. The overall mood is positive and forward looking after a period of severe food insecurity and conflict. Consequently, the way is open to engage in meaningful discussions between the Ethiopian Government and its partners on a host of fundamental issues. Within this context, the Disaster Prevention and Preparedness Commission (DPPC) wishes to move forward by defining a resource mobilization strategy.

The overall context for resource mobilization is increasingly difficult. The global environment is such that donor attention is pulled from one crisis to another; an apparent competition for a dwindling pot of aid resources played out in the news headlines. Afghanistan is merely the latest in a series of such events that capture the world's attention and, consequently, the lion's share of its resources.

Traditional fundraising elicits sympathy which reinforces the differences between the giver and receiver, rich and poor, the more and less powerful. "The more you think of yourself as a philanthropist, the more someone else feels compelled to be a supplicant".<sup>1</sup> It is easier to remain distant in the face of distress when beneficiaries are viewed as objects of pity, rather than as people in a struggle in which we are also implicated.

The challenge is not only with the DPPC but also with the donor and NGO community to re-define the relationship in new ways. There must be a deeper understanding and respect for each others circumstances and position, and a willingness to openly discuss problems and take the responsibility to jointly solve them. The biggest challenges to be faced are within our own institutions and governments.

## 3. LESSONS LEARNT

### ▪ Good Relationships are the foundation for effective resource mobilization

- Transparency and collaboration are essential for building trust. Trust is essential for resource mobilization.
- Good personal relationships are just as important as strong professional relationships between organizations. Personalities matter.
- Government is strongest when it invites open collaboration. Donors jointly solving problems leads credence to government efforts.

### ▪ Transparency Builds Confidence

- It is important to acknowledge the road blocks, gaps and constraints the DPPC faces. This in fact builds confidence.
- Examples where the DPPC has been forthcoming about the problems that they face have had a very positive effect on donors. In January, the Commissioner acknowledged the donor concerns about the differentiation between chronic and acute population groups and, with the mere acknowledgement, built donor confidence. He built confidence by stating clearly what the DPPC was planning to do to address the issue. He also petitioned the donors for a gradual approach to the problem to ensure that no groups fall between the cracks.

### ▪ Collaboration Overcomes Problems

- The very fact that collaboration exists is often enough to take the controversy out of issues (to "take the issue off the boil"). For example, once donors began collaborating with DPPC on food aid targeting, it ceased to be mentioned as a burning donor priority because donors felt the issue was being seriously addressed in a way that gave them an equal voice. While there still remains much to be done, it is no longer a focus of donor ire.

### BUILDING ALLIANCES

The trend internationally is to build alliances, often amongst unlikely partners. For instance, an interesting announcement came out of France in October 2001. UNICEF France, the French Red Cross and the NGO Action Against Hunger have announced a joint campaign to raise resources for Afghanistan. In addition, they have gone further to announce joint implementation to build on their comparative advantages. With one stroke they have eliminated competition amongst themselves and are demonstrating that the whole is greater than its parts. When increased competition is viewed with innovation, new opportunities can produce powerful results.

<sup>1</sup> Michael Edwards "Future Positive", pg.200

- Collaboration can be risky and painful but in the end, the benefits outweigh the risks.
- Experience shows that even the most difficult and controversial issues can be tackled effectively if the right collaborative process is used.

#### ▪ **Collaboration Disarms the Critics**

- It is much easier for donors and NGOs to be critical of the DPPC when they are not engaged in solving the issues themselves. For example, former complaints about the needs assessment process have turned to praise for the collaborative outcome. Seek to co-opt donors into addressing problems.

#### ▪ **NGOs influence donors and attract resources**

- NGOs often can access resources not available to governments (for example, ECHO can not fund governments directly and must use NGOs. However, they allow NGOs to implement through government bodies).
- NGOs are a powerful lobby group in their home countries. They are often consulted by donors both here and in the home country.

#### ▪ **Broadcast Successes**

- Analyse and tell others about successes. Be generous in publicising donor contributions.
- Packaging good news is important. It can make a difference how you present your information. For example, the DPPC must become better at telling donors how much they actually contribute to overall operations.<sup>2</sup>
- Encourage best practice stories and be prepared to celebrate government, NGO and donor successes.

### **APPLYING LESSONS TO A STRATEGY**

The realm of political events are always a major influence on resources. Decisions will continue to be taken in Brussels and Washington that are based on wider political prerogatives. Macro political machinations may be beyond the control of the DPPC, but influencing the donor representatives and the Ethiopian government are not. While the ability of country based donor representatives to positively influence their HQs to release funds or to alter policy varies greatly, their ability to damage these efforts is undisputed. The area that is very much within DPPC control is the relationship with these donor representatives and the power to turn them into DPPC advocates. The strategy must centre on building and strengthening this key relationship.

#### **LESSONS FROM THE ADVERTISING WORLD**

The advertising industry annually generates billions of dollars across the world as corporations vie for ways to attract our attention. Advertising campaigns of great cost and sophistication saturate all forms of media; from newspapers through to the internet. However, the holy grail in the advertising world remains a concept simply called “word of mouth”. This recognizes that consumers have become more sophisticated and increasingly immune to the flashy presentations that bombard them. In fact, consumers rarely believe the promises made in an advertisement. What is effective is when someone whom they personally know and trust tells them (by word of mouth) that a product is worthwhile. Word of mouth endorsements are so effective that corporations go to great lengths to try to generate it themselves. In the end, there is nothing as persuasive as hearing it yourself from a trusted source.

In the same way, the DPPC needs to rely on “word of mouth” to influence donor agencies. Who are the trusted friends of the donors? The answer is the donor representatives and officers in-country, the embassy representatives and staff, and the NGO community. These are the people that will pass on the “good word” to the donor headquarters. On the other hand, they are also the ones to communicate the opposite message if relationships have not been carefully cultivated at each of these levels – “word of mouth” can have the opposite effect. Although the DPPC needs to have professional reports, appeals and other outputs, these matter little if the donor’s trusted friends are passing a contrary message. All the advertising tricks will pale next to this.

The lesson for DPPC is that building strong relationships with this core “constituency” should be a central priority up and down the organization.

<sup>2</sup> Treasury example: For years before the conflict, the government was being criticized for spending too much on the military. It turned out that one of the reasons the military expenditure appeared so high was that the police force was included under the military line item in the budget. Once the budget was split to differentiate between the two (as is the case in most countries), the overall figure was much lower.

One of the largest donors to Ethiopia had a telling comment, **“for us, and many donors, money is not an issue”**. What does this statement mean? It is a reflection of the donor point of view and the priority they give to what they see as underlying issues and constraints. It is not just the problems themselves, but the approach to solving the problems that is important to donors. If they are not engaged, they are not willing to compromise — the issues become black and white and, the more their frustrations build, the less flexible they become. Understanding the context and reasons behind this statement are key to building an effective resource mobilization strategy.

## 4. THE RESOURCE MOBILIZATION STRATEGY

### 4.1. GOALS AND OBJECTIVES

#### GOAL OF THE STRATEGY

- To increase DPPC’s ability (and that of the Ethiopian Government) to access resources (both food and non-food) in a timely, efficient and structured manner.<sup>3</sup>

#### OBJECTIVES OF THE STRATEGY

- To define and set in motion a process that will serve to strengthen relationships between DPPC and the international community so that resources will be maximized and put to best use.
- To positively influence aid resource decisions
- To reduce negative influences on resource decisions
- To diversify the funding base by creating new avenues of funding

#### DEFINING THE TARGET GROUP

The first step in an effective strategy is to define who the DPPC should focus on. The DPPC is limited in its capacity and must be strategic in focusing its energy and resources. It makes sense to study the donor community and prioritise those who the DPPC are trying to positively influence.

- Who do we want to influence (and who can we influence?)  
This depends on two things: which agencies or groups have the most potential resources and an analysis of who has the most influence over aid decisions within these groups. The first question is straightforward to answer – the donors. Who within the donor agencies has influence will vary according to the degree of decentralized decision making within an agency and the nature of the resource.<sup>4</sup> However, the target group that is directly within the DPPC’s sphere of influence is the Addis based aid community.

#### RESPONSIBILITY FOR THE STRATEGY

Resource mobilization is everyone’s responsibility. Each member of the DPPC has the power to positively (or negatively) influence the target group because the tone and tenor of DPPC daily activity has an impact of its ability to mobilize resources. Resource mobilization cannot be relegated to just one department if it is to be effective. It is arguably the most important task within the DPPC. It should become the primary objective of senior management, and one that colours all other activities. Each interaction with a donor or NGO is an opportunity to strengthen the influence on resource decisions — just as each negative interaction that affects

<sup>3</sup> It is important to note that this is not just a food mobilization strategy; it is a resource mobilization strategy. Both food and non-food resources are needed to mitigate and respond to disasters.

<sup>4</sup> For example, emergency funding is most often accessed from a worldwide allocation which is allocated by the headquarters based on perceived need. Development funding is more often at the wider discretion of in-country officials and can be more political in its allocation.

DPPC's reputation can damage its ability to raise resources. "If you are not part of the solution, you are part of the problem".

Donors are willing to accept that they too have a responsibility to push for more integration, more support for DPPC, more coordination in the food security sector, rather than just accepting the way things are. However, many donors find it easy to continue with the way things are now unless they are actively engaged.

The donors and NGOs do have a major role to play in the resource mobilization strategy. In the end, they too must become more proactive in taking responsibility for mobilizing resources for the beneficiaries of Ethiopia.

## **5. STRATEGY COMPONENTS**

### **5.1. EMPHASIZE GOVERNMENT OWNERSHIP & COMMITMENT**

#### **OPERATING PRINCIPLES**

The intention of the government is clear in the various policy documents including those of the DPPC — the government aims to lessen its dependence on foreign aid and strive for self-sufficiency. However, it is recognized that this a long term initiative. In the meantime, Ethiopia must find ways to canvas for assistance in a manner that contributes towards its goal of self-sufficiency.

The Government must demonstrate it's lead role by committing its own resources and demonstrating serious political commitment. Donors need to hear that the government will shoulder the responsibility of responding to the needs of the population. Donors are very willing to join a government initiative to respond to a problem, but they do not want to feel as if they are being given the whole responsibility for response (e.g. that the government is somehow handing them the responsibility to respond to emergencies).

#### **1. MAKE THE FIRST CONTRIBUTION**

- Donors want to see the government contribute a set amount each year towards the appeal — and for the government to lead with this amount. They would prefer that the donors were appealed to only as a "last resort". A positive sign was evident in the Public Expenditure Review where it was stated that food security will now be a budget item (but that it comes under "external assistance").
- The DPPC should continue to clearly communicate upwards within the GoE the strategic importance of leading by contributing resources to any upcoming appeal. Strategically, this contribution would have the most impact if announced with the launch of any appeal.

#### **2. DETAIL EXISTING GOE CONTRIBUTIONS**

- Many donors do not realise the value of the existing GoE contribution to food security and emergency operations. The donor focus tends to be on immediate government contributions rather than the significant ongoing budgetary support to facilitate and support operations. It is important to underline the current level of resources that the government contributes on an ongoing basis.
- One such major GoE contribution is the 52 million Birr that the government has allocated to the national emergency cash reserve (the National Disaster Prevention and Preparedness Fund).

### 3. INCREASE LOCAL FUNDRAISING

Local fundraising on a national scale is a relatively new phenomenon in Ethiopia. Although many traditional mechanisms exist within communities to deal with adversity, the idea of contributing to country-wide appeals has only been genuinely in evidence since the end of the Derg. Yet Ethiopians have been very generous in responding to appeals in times of crisis (see box). Given the levels of poverty within Ethiopia and the uncertain state of the overall economy, this level of giving is impressive. The notion of “Ethiopians for Ethiopians” (“wegen lewegen”) challenges Ethiopians to be the first to assist their own people. The potential is clearly there to tap this trend and to demonstrate that Ethiopians are the first to assist Ethiopians.

**The following steps should be taken in local fundraising efforts:**

1. Set clear objectives at the outset of any appeal or campaign with a specific monetary target. Monitor progress against objectives and targets.
2. Form a national Local Fundraising Committee with several prominent people in the business community, spiritual leaders from the main religious groups, popular figures from sports and entertainment, and even well known figures from abroad who may lend their cachet to such an effort. It is especially important to include senior members of the local media in such a committee.
3. Seek to involve the regions through consultation and joint planning and strategizing. Keep them involved and informed as much as possible.
4. Carefully define the target groups for fundraising activities and identify key contacts within those target groups to influence and bring on board. For example, compile a list of local corporations and businessmen to target in that community. Pay special attention to business people who have roots in the rural areas who may be willing to put their efforts behind a campaign.

#### NIGHT OF A THOUSAND DINNERS

On Nov 30<sup>th</sup>, thousands of individuals around the world hosted a dinner with friends, family and neighbours to raise awareness and funds for a coalition of land mine action organizations. Individuals have a choice of which agencies in the coalition to support, which country to target for support and are given step by step instructions on how to proceed ([www.1000dinner.com](http://www.1000dinner.com)). The web site also allows people to “clear a landmine for free” which uses pre-arranged sponsors to trigger a “free” donation, an idea WFP pioneered. This excellent initiative encourages individual action in a manageable and personally relevant manner that clearly links into a much wider initiative.

This may be an ideal tool to target ex-pat Ethiopians living in the West who could invite people to an Ethiopian dinner in support of DPPC relief efforts. It is recommended that the idea is explored with the Embassies for upcoming local fundraising campaigns.

#### LOCAL FUNDRAISING EXPERIENCES

- During the famine of 1974, the RRC reported that the final contribution from the local population rose from 3% initially to 48% of the total response.
- In the response to the 1994 drought, a total of almost 25 million Birr was collected from local donations. In the previous year’s drought, 30 million Birr in cash and kind was donated.
- During the recent conflict, over 280 million Birr was raised through fundraising including 51 million Birr from Ethiopians living abroad.
- In 2000, Amhara regional DPPC organized a local fundraising event in Addis in response to the drought and raised 21 million Birr in one evening targeting local business people.

5. Seek to identify major corporations that have cache internationally. For example, approach Ethiopian Airlines as a potential partner in a corporate campaign. Possibilities range from launching an advertising campaign through their magazine and general advertising efforts to including envelopes on board Ethiopian Airlines flights for spare change (a method that UNICEF uses to great effect). A partnership with Ethiopian Airlines may also be a way to develop exposure for a campaign through their web site.
6. The expatriate community abroad is a vital group to target. Build on the success of the committees set up in foreign capitals to bring together Ethiopian ex-pats for fundraising purposes during the conflict. The embassies themselves may have innovative ideas of how to reach this group (such as through Embassy web sites). Famous expatriate Ethiopians are ideal for heading fundraising events abroad. Senior DPPC officers should also plan to regularly visit committees if they are travelling abroad in order to share information and encourage the work.

7. Use the opportunity of launching a local campaign to involve the local community in innovative ways. One idea from the DPPC was to use the opportunity to encourage the establishment of grain storage and grain banks in areas vulnerable to drought. Contributions could be made in kind to a locally managed

resource that strengthens their resilience to disasters.

8. Be prepared to give wide exposure to those who contribute to fundraising; from board members to those making the donations. Encourage regions to set and meet targets in the spirit of positive competition. The positive involvement of the media will aid in saying thank you.
9. Pay special attention to the timing of local fundraising activities. Ensure that efforts do not unnecessarily compete with other charity organizations. Instead look to help maximize their efforts as a mark of your own success.
10. Broadcast status of pledges often and be clear in announcing a beginning and an end to a campaign.
11. Involve the national committee and the regions in a level headed assessment of the process. Write down the lessons learnt.

## **5.2. FOCUS ON ADVOCACY**

Advocacy can be an important tool for DPPC to build relationships, problem solve and, by extension, raise more resources. It is a way to reassure donors that their concerns are being listened to and that the DPPC will seek to transmit issues up to higher levels within government if necessary. It is a way for the DPPC to remain engaged in important policy issues and to solidify its importance within the government. It is an opportunity for the DPPC to be an advocate within its own government to lobby for increased government funding.

Advocacy can also work the other way. The DPPC can take advantage of the donor's position and influence to advocate on behalf of DPPC interests. The indication is that donors would respond positively to if DPPC was proactive in using donors to pressure their headquarters, to pressure regions for reporting information, and to generally weigh in to jointly solve problems.

### **1. ADVOCATE FOR THE BENEFICIARIES**

- It is essential to remember that the DPPC is mandated to serve the needs of those most vulnerable to disasters. In its dealings with the international community, the DPPC should advocate for the interests of the beneficiaries and keep them high on the agenda. If the needs of the beneficiaries are kept at the forefront of discussions, inter-agency squabbles can better be put in perspective. No one should go hungry or miss an opportunity to improve their lives because of the relatively minor disputes between agencies. "Put the last first".

### **2. ADVOCATE ON POLICY**

- While the DPPC is not the focal point for food security and related policy discussions, it must be an important player in these discussions. One donor remarked, "while many of the large food security policy issues may be outside of DPPC's direct remit, they are at the forefront of any discussions of food aid. That is why more advocacy and influence from DPPC would be welcome". Take advantage of the new Ministry of Rural Development to move the debate up a political level. Donors very much want to sit down with several key ministries to put their collective concerns on the table in one place. If the DPPC could broker this it would increase their profile. It will certainly increase the ability of DPPC to address donor concerns. Donors are eager to do more if the conditions are right.

### **3. ADVOCATE FOR DONOR CONCERNS (BE A CONDUIT)**

- Positively challenge and work with the donors to harmonize their approach to providing assistance with other donors (e.g. local purchase). DPPC should play a facilitation role.

#### 4. ADVOCATE FOR DPPC ISSUES

- Many of the capacity limitations within DPPC are related to wider issues within the civil service. For example, better employment terms including salaries, access to training, promotion policies based on merit, etc. Donors are keenly aware of many of these constraints and want to see what the GoE's own actions are to address them.
- Continue to promote the NDPPF. DPPC has made good progress recently in establishing the mechanisms for the operation of the National Disaster Prevention and Preparedness Fund (NDPPF). The Fund now has the proper legislative and legal framework and a project manager has been hired. The Technical Committee will soon meet to begin guiding the operation of the Fund. It is now important to distribute information on the NDPPF widely in the donor and NGO community and to continue to advocate for support of this crucial tool.

### 5.3. STRENGTHEN RELATIONSHIPS

#### OPERATING PRINCIPLES

- Use a process orientated approach rather than a product orientated approach.
  - Resource mobilization should not focus solely on the products (appeals, reports, media publications, etc.). Instead, it is the process that is most important with the products simply the tools to establish strong relationships.
- Be non-confrontational (address issues directly, firmly, fairly and professionally)
  - It is important not to blame donors for a lack of response to a government appeal. This appears to be counter to the government message of taking control of its own destiny. It is better to use powers of persuasion than to be critical of a poor response.
  - Avoid being defensive. Avoid claiming capacity to implement that is not there. Admitting mistakes disarms critics.

#### BUILDING THE CULTURE OF COOPERATION

"It's phenomenal what openness and communication can produce. The possibilities of truly significant gain, of significant improvement are so real that it's worth the risk such openness entails. After World War II, The United States commissioned David Lilienthal to head the new Atomic Energy Commission. He brought together a group of people who were highly influential. This very diverse group had a very heavy agenda and they were impatient to get at it. In addition the press were pushing them. But Lilienthal took several weeks to allow these people to get to know each other – their interests, their hopes, their goals, their concerns, their backgrounds, their frames of reference. He facilitated the kind of human interaction that creates a great bonding between people, and he was heavily criticized for taking the time to do it because it wasn't 'efficient'. But the net result was that this group became closely knit together, very open with each other, very creative, and created 'synergy'. The respect among the members of the commission was so high that if there was disagreement, instead of opposition and defence, there was a genuine effort to understand. Non-protective interaction developed, and an unusual culture was born." (Covey 1992)

- Distinguish between the political and operational levels
  - Resource mobilization for strict humanitarian aims should be approached in a non-partisan manner. Disasters know no political boundaries. The DPPC is clearly an integral part of the government including its policies and decisions. However, those political issues that are beyond the direct remit of DPPC should be dealt with at the appropriate level rather than being mixed in with the operational issues surrounding emergencies.
  - Prioritise relationship building on the in-country heads of aid and the implementing officers to focus on operational rather than political partners. With a strong relationship, it is not unusual for a head of aid to fight against a political directive from their own headquarters if they are convinced of the issue.

The final product of building strong relationships is “creative cooperation” sometimes called synergy. Simply defined it means that the whole is greater than the sum of its parts. It means that the relationship that ensues is more powerful, more unifying and able to work as a catalyst to accomplish much more than the individual parts.

## 1. LEARN FROM OTHER COUNTRIES

- There have been a number of recent examples from countries who have undergone similar experiences to Ethiopia. It is important to study these experiences and to seek ways to share the lessons learnt. Ethiopia has much to share and much to gain from the experiences of others.
- Organize exchange visits with the countries involved in the workshop. This solidifies the experiences shared by allowing DPPC to see for themselves first hand.<sup>5</sup>
- DPPC to organize a workshop to share experiences from other countries who have recently dealt with emergencies (e.g., Kenya, Mozambique, SADAC representatives).

## 2. INSTITUTE REGULAR CONSULTATION

- Donors respond very well to an open forum where their concerns can be addressed and problems solved. NGOs likewise react positively to regular meetings where a variety of issues can be openly discussed. However, there is a common view that the process of how meetings are organized is very important - – a poorly run meeting wastes everyone’s time and discourages future attendance.
- DPPC should monitor the outcome of the proposed regular meetings closely. If they are not producing meaningful outputs or addressing real felt needs, the first indicator will be a drop off in attendance and the attendance by junior staff. At that point the DPPC should be proactive to intervene and, with donors and NGOs, either change the objectives/process of the meetings, or disband them. No regular consultation meeting should be allowed to continue that is perceived as wasting time. If in doubt, shut it down.

### THE KENYAN EXPERIENCE

In June 1999, the regional drought stress that was affecting Ethiopia was clearly detected by early warning systems in Kenya. However, the initial response to the early warning signals was very poor. International confidence in Kenya was at a low; issues of governance and corruption were foremost in the minds of donors. Within this context, Kenya was faced with a daunting task to build donor confidence and attract much needed resources.

The Kenyan Government responded with a strong initiative. Mechanisms for collaboration and inter-agency cooperation were established marked by a willingness of government, donors and NGOs to commit time and resources to an evolving process that jointly assessed the situation using a common approach, dramatically redefined the basic food targeting and distribution mechanism, and effectively led to joint management of the entire emergency operation.

A directive came from the Office of the President that provided the political will to push for a number of major changes:

- early warning information was collated and transmitted from one credible source
- the EW information was linked to a common methodology for needs assessment
- the results were presented within a unified appeal process using the same figures of need backed by one voice from the NGOs
- resources were pooled in a joint management structure (reflecting a proactive stance by GoK to channel its own food aid through the structure)
- a national food aid targeting and delivery system was put into place
- common standards and guidelines were developed
- reviews and evaluations were coordinated and jointly undertaken

The process of working together within new structures led to a number of benefits: open information sharing, increased transparency, avoidance of duplication in implementation, empowerment of district structures, and empowerment of communities who were put in control of the food aid resources. The net result has been the development of enhanced trust at all levels.

In the end, a remarkable level of resources was achieved in relation to the appeal (93% of the appeal was pledged). Much of this success can be attributed to the trust and good will built up through the coordination structures established to bring together Government, donors and NGOs.

<sup>5</sup> The Minister of Foreign Affairs in Mozambique is officially interested in such an exchange and WFP is willing to explore funding.

## Recommended Collaborative Mechanisms

### 1. On the strategic level

- Develop a **Board of Trustees** to work with DPPC to strategize about resource mobilization in general. The Commissioners should meet regularly with a clutch of key donors/NGOs who can act as such an advisory committee. The group should be small and targeted at the heads of aid. If properly developed, boards become engaged in issues and tend to become problem solving bodies.

**Note:** This is a very important component for the development and long term success of the resource mobilization strategy. It is essential to have a collaborative mechanism with influential members to guide action. However, the Board could take other forms. For example, if the technical committee constituted to address resource mobilization for the Annual Appeal process is working well, it could continue in this role (see pg. 17). Whatever the form, a body to act as an ongoing advisory committee is essential.

### 2. On the operational level

- develop two levels of collaboration between donors and DPPC:
  - a) Formalize the **Head of Aid meetings** that have been successful into a regular monthly forum. The aim of the meeting is not only to share information, but to problem solve by cutting through normal barriers.
  - b) Institute a **Standing Technical Committee** (such as UNICEF and DPPC have) to address more technical issues at the operational level (i.e. programme coordinator level). The aim of the meeting is to address technical issues in more detail than the heads of aid meetings (which can refer issues to the technical meeting). It is in essence a sub-committee of the heads of aid meeting.

## 3. INCREASE TEAM BUILDING SKILLS

The current level of skills within senior management is relatively high due to the year's of hands-on experience and training. However, new techniques and approaches are constantly being developed and DPPC needs to be abreast of the changes. Upgrading skills and exposure to new techniques is important at all levels but especially for senior management and the experts that directly report to them. The main skill areas for training are those that will assist in building a strong team approach:

- Participatory approaches to management – collaboration in the workplace
- Team building skills (especially vertically between the administrative levels)
- Facilitation skills
- Negotiating for mutual benefit
- Public relations
- Exchange visits

## 4. GO TO THE FIELD TOGETHER

- Encourage DPPC staff at all levels to take donor and NGO staff to the field with them. This is a tool that should be used as often as possible. It builds better relationships, increases understanding of the local situation, and increases the effectiveness of DPPC staff by allowing them to speak from direct experience. Opportunities for field work include: needs assessment, project familiarization (or agency familiarization), project monitoring, project evaluation, and specific visits for trouble shooting or general problem solving. Field visits also can be encouraging for field staff and local officials who have a chance to interact with

headquarters personnel.

## 5. REVIEW TOGETHER

- Develop a learning approach. Currently the DPPC has a policy of regularly reviewing NGO projects with the focus on end of project evaluations. However, this process can vary depending on the DPPC staff involved. If the DPPC representatives approach the reviews in a collaborative manner, the response is usually very positive from the NGO. It can be an important opportunity to solidify experiences and, through both the DPPC and the NGO, to disseminate positive project work to a wider audience. The DPPC can also act as an agent of change by communicating project successes to others. The potential for discovering meaningful lessons learnt are much greater than if a review is approached by the DPPC as a means to police the NGO. In this case, it is more likely that project weaknesses will be focused on to the detriment of future action.

## 6. MEET INFORMALLY (PERSONAL RELATIONS MATTER)

- Informal occasions are an excellent opportunity to expand a relationship, build awareness of each other's viewpoint, and build tolerance. Strive to meet donors in informal situations to encourage rapport. In Tigray, visitors to the region are catered for carefully. Senior officials make it a priority to meet with visitors on at least one social occasion. The informal contact greatly aids the overall work environment and makes communication easier for both sides.

## 7. FORMALLY THANK PARTNERS

- Systematically thank donors in a public way. Publicize donor contributions widely. This reinforces those who give while providing an incentive for those who are yet to. Donor recognition is very important; it is important for donors locally and for their constituents back home (see Donor Profiling - pg15).

## 8. REVIEW NGO APPROACH

- NGOs influence donors:
  - International NGOs are often a potent political force in their own countries. It is much better to have NGOs speaking in support rather than in opposition to DPPC. The DPPC should work with NGOs and donor representatives to have a common approach wherever possible.
  - In 2000, the Food Aid Unit in CIDA HQ was resisting the requests for food aid to address the deteriorating Ethiopian situation. Their policy towards food aid had shifted and the idea of continuing to provide food aid for emergencies was out of fashion. However, when Canadian NGOs began strongly lobbying the Canadian Government, CIDA was forced to make a change in policy and provide food aid to Ethiopia.
- The DPPC should aim to systematically improve its relationships with NGOs by bringing them openly to the table and seeking to engage them to lobby donors:
  - Increase the mechanisms of collaboration with NGOs. One successful initiative from Amhara regions was to hold an annual NGO/DPPC conference to discuss issues and solve problems.
  - Increase cooperation with CRDA to deal with issues common to NGOs. For instance, the CRDA

### NGOs AND AMHARA REGION

- Amhara region DPPC has developed an approach where NGO resources are seen as part and parcel of the government. They feel the government has the ultimate responsibility for these resources and consequently, they share in both the success and failures of projects. They see their role as coordinating and building a conducive operating environment.
- The region has developed NGO guidelines through an open process with consultation at each stage. NGOs have regular consultative meetings with each administrative level of the DPPC including annual meetings at the regional level.
- The result is that the number of NGOs in the region has increased from 30 to 80+ in the last few years. NGOs have been very active in helping to bring additional resources to the region. Accountability has increased as result through joint monitoring and evaluation. This approach has proved more successful than trying to rule NGOs with an iron fist.

collects much useful information on NGOs that could be shared with DPPC. It may serve to reduce the DPPC's workload and help to focus on collecting information that is directly relevant to the DPPC's needs.

- Explore the possibility of jointly developing the NGO guidelines as in Amhara region. Invite NGOs to the table to join in on the process even if the guidelines are at a late stage of development. In general, implement the NGO guideline process in line with the principles of this strategy.
- The whole process of DPPC monitoring should be reviewed. Currently the DPPC tries to collect much too much information that becomes an unnecessary burden for both the NGO and the DPPC. The DPPC should form a working group with NGO representatives to streamline the whole NGO monitoring process in a way that ensures accountability but enhances efficiency and collaboration. The working group should determine which administrative procedures further the policy and aims of the DPPC and which are simply administrative habits that are counter-productive.
- NGOs want to know the proper procedure if an NGO has a conflict, either with their immediate DPPC contact person, another partner, or concerning an operational issue. The DPPC should develop a conflict resolution mechanism for NGOs and DPPC. Having a clear staged approach to solving conflicts builds confidence with all players and reduces the chance of minor issues being blown out of proportion.
- Challenge the NGOs to come together amongst themselves to form a common front on key issues (e.g. in Kenya last year where 41 NGOs released a press statement in support of the joint appeal).
- Build DPPC capacity to adequately facilitate NGO operations. Conduct an internal evaluation to determine what gaps exist to adequately deal with NGO issues.

## 5.4. BE PROACTIVE TO SOLVE DONOR AND NGO CONCERNS

### 1. ENCOURAGE JOINT PROBLEM SOLVING – USE WORKING GROUPS

- Referring issues to working groups made up of donors and NGOs has been a very successful strategy for the DPPC. The collaboration demonstrated in the needs assessment process, for example, can be taken as a model to apply to other areas. It demonstrates that it is possible to come together and solve problems on even the most contentious issues.

#### **Recommendation:**

- The DPPC should continue to use working groups as a means to address major issues by involving a broad range of donors and NGOs. However, caution should be exercised to limit the number of working groups in line with capacity. As one donor commented “the strain better communications puts on both the DPPC and donors is the cost of improved collaboration”. Working groups should be limited to key issues.<sup>6</sup>
- The following working groups should be constituted to meet current priorities:
  - Annual Appeal Working Group:<sup>7</sup> There is clearly a need to revise the DPPC Annual Appeal Process as recognized both by donors and government (see section 5.7). However, the appeal process has been a successful mechanism judging simply by the amount of resources donors pledge each year. While there is broad consensus that the appeal mechanism is inappropriate, the donors must work closely with the DPPC to ensure that the best mechanism can be developed to maximize the most appropriate contributions. The best way to ensure that a new appeal process meets donor and government needs (and most importantly those of the beneficiary) is to convene an Appeal Working Group of senior donor, government and NGO representatives. Aim – to re-define the annual appeal process.
  - Future Strategies Working Group: One of the common complaints of government, donor and NGO staff is that there is little time to explore new fields of development and to reflect on successes of past efforts. The idea of this group is to focus on innovation for future development initiatives by scouring existing projects and literature for lessons learnt and new experiences. Acting as a think tank, the

<sup>6</sup> DPPC should also monitor the outcome of the working groups to ensure they are meeting their objectives. If not they should be adjusted or discontinued.

<sup>7</sup> The DPPC is already taking action on this point.

group has one overriding objective – to innovate. This group would be challenged to “push the envelope” in terms of defining new approaches to deal with issues such as food insecurity while solidifying past experiences and successes.

## 2. DEVELOP A STANDARD OPERATIONAL GUIDELINE

- Explore the option of using the UNICEF – DPPC operational guidelines (Guidelines for the Preparation , Implementation and Monitoring of Emergency Assistance) as a blueprint for a more generic manual on the working relationship between DPPC and operational agencies. It is recommended that the DPPC work with partners to develop such a standard guideline for all implementing agencies. This will serve to clarify roles and responsibilities, and will smooth overall operations.

## 5.5. SYSTEMATICALLY UNDERSTAND DONORS & NGOS

### 1. ESTABLISH DONOR PROFILING SYSTEM

- Donor profiling refers to the systematic collection of information about donors that is relevant to decision making within DPPC. Donor profiles should summarize funding mechanisms, budgetary cycles, policy priorities and potential opportunities for funding.
- The donor profiles should contain the following information (see format pg.23):
  - Key personnel and contact information including contacts in their HQs, analysis of who to deal with to get a decision, policy preferences and programming preferences, preferences for cash or food (or a mix), funding mechanisms or “envelopes” that exist and whether DPPC is eligible, timing of funding mechanisms, timing of financial year, concerns and issues for the donor, and the DPPC strategy for the donor.
- The donor profiles should not only be shared openly with donors – they should be written with donors. A draft profile should be discussed with each individual donor to see if the profile accurately reflects their policies and objectives. Ask donors why they gave in the past and what will make them give in the future (prepare graphs of which donors have given what, how much and when). Use the opportunity to discuss the best strategy for resource mobilization from the donor representative’s view. Seek support from donors to learn from their own agencies how to effectively collect and manage this information. Contact WFP to refine the formats and share in regular analysis; WFP has expressed willingness to develop the donor profiling system with the DPPC.

Donors based at country level are inherently sympathetic and willing to help if approached in the right manner. Donor country representatives need the necessary information, the necessary tools, to make their case to their Headquarters

### 2. EDUCATE DONORS ON DPPC CONSTRAINTS

- Donors and NGOs need a greater understanding of the constraints faced by DPPC in undertaking its duties. A thorough understanding of the DPPC’s operating environment is necessary before sensible problem solving can begin. The DPPC can greatly aid in this process by continuing to be forthcoming about the constraints that the institution faces.
- Organize a two day retreat with donors and the DPPC to outline and discuss major constraints on both the donor and DPPC side.

### 3. DIVERSIFY THE DONOR BASE

- Donor assistance is fickle and can change dramatically in a short period of time. If the DPPC depends on only one or two major donors, they could be in trouble if policies suddenly change. Cultivate relationships with a wide range of potential donors. Seek to keep a range of donors involved even if current donations

are small.

## 5.6. ADDRESS TRANSPARENCY ISSUES

### 1. IMPROVE REPORTING ON GLOBAL RESOURCING STATUS

- Donors clearly need an overview of the current resource status in-country including pledges, deliveries and gaps in the pipeline. The DPPC has worked hard to make improvements in this area. The DPPC website is now being used to update food aid information. In addition, the whole management information system is being addressed with UNDP. These efforts should be solidified in a simple summary table on global resource status. It is recommended that the DPPC advocate for one common report format for all the relevant agencies involved. Section 5.9 includes a proposed information presentation format.

### 2. PROVIDE INFORMATION ON INDIVIDUAL DONOR CONTRIBUTIONS

- This is an area where DPPC has made a number of important improvements. By working with WFP and other interested parties, the Logistics Unit is now able to track shipments by donor to the distribution sites. However, more work remains to be done to report effectively on utilization as well as deliveries.

### 3. UPDATE DISTRIBUTION PLANS

- Distribution plans appear to be a source of contention for some donors because they feel that they take too long to produce, they change often, and donors are not always informed if they do change. Keeping donors up to date on changing operational details is a major challenge for the DPPC given the fact that the regions do not always feel the donor pressure directly and may have other priorities greater than producing information. Donors could be of assistance in educating regions about the importance of timely information.

### 4. IMPROVE COMMUNICATIONS

- The ability to communicate succinctly and on time is essential to building donor confidence. It is better to communicate what one knows rather than waiting for full information. The important thing is to provide regular updates on the most essential issues of the moment.

- A number of specific areas need capacity building efforts:
  - Install email capability within each DPPC department and at regional level. Email is the “lingua franca” of all donors. This should be a priority area of investment for Government (and for co-funding by donors).
  - Upgrade desktop publishing capabilities and overall computer power within the DPPC to ensure that outputs are of a high quality.
  - A technical input is required for the Public Relations department to re-design outputs that are clear simple and concise, yet meet the information needs of the target audience.
  - Upgrade skill levels of experts in appropriate computer skills to meet the new demands for information.

#### COMMUNICATIONS IN NEW YORK

The Mayor of New York City, Rudi Giuliani, was widely credited as handling the September 11<sup>th</sup> terrorist attacks with exceptional skill. Much of this credit came from his management of communications surrounding the event. The mayor met regularly with the media and was open with any information that he had at his disposal. If the information was too sensitive he would explain this while always ensuring he gave out whatever news he could. He was compassionate but professional and, most importantly, he was perceived as delivering whatever information he had. In times of disaster, it is better to err on the side of too much information, even if it is just to say that there is no new information.

## 5.7. RE-DEFINE OUTPUTS

### OPERATING PRINCIPLES

- Outputs refer to any product that is produced to aid in resource mobilization. It includes appeals, relief plans, reports, and the range of public relations publications. They are the visible tools that aid the DPPC in resource mobilization. However, in the past too much emphasis has been put on the outputs rather than establishing proper communications and building solid relationships.
- **Clear, concise and simple:** the overall aim of all outputs is make them clear, concise and as simple as possible, in a professional presentation format. Less is definitely better.
- Make reports available electronically whenever possible. In addition to being quicker, more efficient and less wasteful of resource, it allows agencies to cut and paste information into their reports to their own HQs.

### 1. RE-DESIGN INFORMATION PRODUCTS

- DPPC must become more professional in its presentations and in the documents it produces. Work with willing donors to design reports that provide relevant information in an accessible manner.
- Fortnight Bulletin: This bulletin is due for an overhaul. Currently it does not give donors a sense of the big picture. There is an opportunity here to design this document based on what the donors need, not on what DPPC thinks the donors need. This is another area to harmonize information with the WFP information system.

### 2. CHANGE ANNUAL APPEAL PROCESS

The DPPC is already working to change the annual appeal process with very positive results (see box). Other steps taken by the DPPC include:

- The DPPC has agreed in principle with the regions to distinguish between chronic and acute populations. This implies collecting two distinct types of information:
  - 1) regular in-depth monitoring information on the chronic population
  - 2) event triggered rapid assessments to determine acute emergency needs.
- The DPPC plans to put greater emphasis on strengthening the regular monitoring system and to gradually phasing out the annual nation wide "emergency" assessments. Instead, DPPC will use the strengthened monitoring system to identify areas of stress in advance that then require a rapid assessment to determine acute needs. This will reduce the time and cost of assessing acute needs.

The separation of chronic and acute needs must be a gradual process over the medium term. The experience of 1999 showed that a sudden shift risks turning the chronic population into acute if the multi-year funding resources are not in place. For example, in North Wollo the separation was made and three months later migration was reported because the

#### **"Technical Committee Prepares Requirements for 2002"**

A technical committee comprising members of the DPPC, the donor community, NGOs and UN agencies was established to examine the humanitarian response in 2001, prevailing conditions and prospects and needs for 2002. The committee, established on 16 November 2001 (USAID, DFID, EU, Swedish CIDA, Canadian CIDA, UNICEF, WFP, EUE, DPPC, American funded NGOs, EU funded NGOs), is preparing assistance requirements and implementation strategy through the activities of four working groups.

The first working group has been dealing with an overview of the disaster and response in 2001, a review of the current situation and assistance requirements for 2002. The second group is formulating an overview of food insecurity and modes of assistance in Ethiopia. The third working group is covering resource mobilization, implementation strategies, coordination and monitoring activities. Issues and recommendations raised during the weekly meetings of the committee are being incorporated into a consolidated document by the fourth editorial working group.

The initiative has enhanced collaboration between the DPPC and its partners and provided a forum for exchange of ideas, perspectives and approach emphasizing immediate assistance to those in need, protection of livelihoods and linkages with longer-term development strategies and programmes.

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chronic population was not covered by other interventions. Consequently, it will be necessary to educate donors on the time needed to practically implement the strategy.

Each of the following potential steps will take time:<sup>8</sup>

- 1) adjust needs assessment methodology
- 2) conduct the assessment of chronic and acute populations (or use an interim ballpark figure)
- 3) design (high quality) multi-annual projects to address the chronic population
- 4) lobby for multi-year donor funding of projects
- 5) implement projects
- 6) allow time for project outputs to bear fruits (to build assets of the beneficiaries)

While the problem is structural, there will still be a need for general food aid rations until such time as the multi-year interventions can fill this gap. The challenge before both the government and donors is to ensure that the chronic needs will be picked up if they are not covered by emergency food aid allocations?<sup>9</sup>

### Recommendations

- The DPPC should convene an Appeal Working Group of senior donor, government and NGO representatives to re-define the annual appeal process (see section 5.3 pg 14). Use the Appeal Working Group to develop a strategy to meet food aid needs during the transitional period from emergency food aid to recovery/development assistance. (This recommendation has subsequently been implemented).
- The DPPC with the Ministry of Rural Development should work with donors to develop a menu of intervention packages that can be used to address chronic food insecurity. Each package must include an element of cash or food for early intervention to protect the assets being built from being liquidated at the first sign of stress. The NDPPF can be a central mechanism to bridge funding and bureaucratic delays.
- The Appeal Working Group should determine exactly how a new appeal process will work. Some of the options to work through include:
  - 1) Continue to issue an annual appeal but distinguish between multi-annual chronic needs and current acute needs. GoE to estimate the chronically food insecure (e.g. 4 million beneficiaries) until the new assessment methodology is fully operational.
  - 2) Issue two appeals at the same time each year (Belg and Meher) but focus only on acute needs as stress conditions develop. Address the chronically food insecure population in a separate annual appeal to the donors for multi-year funding.
  - 3) Issue a multi-year appeal for asset creation to address the chronically food insecure. Combine this with a safety net appeal to address acute populations that is updated through ongoing monitoring and localized rapid assessments in times of stress.
- EGS and FFW should not be included in an emergency appeal format unless it is targeted specifically for early intervention in an impending crisis.
- Issue the appeal not only in metric tonnes required but also in terms of labour day or cash equivalents.

#### PLANNING FOR EMERGENCIES

“Although the exact location or extent of crop or pasture failure can not be accurately predicted, it is possible to estimate a minimum and maximum range of outcomes which can be refined as the crop matures. This means that even the emergency component of annual relief or safety net needs can be planned for. Donors and GoE could make multi-year commitments for a minimum level of emergency relief interventions (e.g. 150,000 MT) and only if the needs were in excess of this would an appeal be made. The review of the needs and distribution plans could be handled by the steering committee.”

Donor Comment

<sup>8</sup> These steps are illustrative, not prescriptive. The task of defining the steps in the appeal process should be the responsibility of the working groups.

<sup>9</sup> There are additional risks involved for the GoE in following this approach beyond having vulnerable groups fall between the cracks. Bilateral aid is usually “tied” to conditionality of one form or another. It also opens up a whole range of policy debates that, while necessary to address, can only drag out the whole response process. Finally, the recent experience of attracting multi-year funding has been mixed even before the conflict.

- Jointly release the appeal with as many actors as possible (UN, donor and NGOs). Strive to have one common set of figures for an agreed time period that all players ascribe to. Ensure that FAO joins the effort and does not conduct an independent assessment. Challenge donors and NGOs to join a common appeal process for both acute and chronic needs. (One suggestion: for each emergency dollar requested in an appeal, ask for a matching dollar for recovery)
- Simplify the appeal document into one volume. Strategize with donors and the working group how to design the appeal document to best meet donor requirements.

### 3. ADDRESS MEDIA RELATIONS

The media is a powerful force. This is especially true in a time of crisis. Unfortunately, it is easier to generate bad press than good. This can be a problem for the DPPC when it comes to donor relations. While there is some donor feeling that the DPPC controls and manipulates the local press, from the DPPC's point of view, the press is a force that they do not control and, in fact, feel that they often receive even harsher treatment than donors do.

In general, the DPPC needs to increase its media awareness and improve its relations with members of the press.

#### Recommendations

- Increase awareness of senior DPPC officials on the role of the local and international media
  - Train senior DPPC staff in media awareness and techniques so that they can deal with the media confidently, understand how they work (especially the differences between local and international media) and develop a sound media relations strategy.
  - Provide more extensive training to the Fundraising and Public Relations department in conjunction with officers from the Ministry of Rural Development if possible. DfID has extensive media awareness training experience that could be called upon.
- Local Media: The Public Relations Team does an excellent job promoting the image of DPPC in the local media (e.g. the high profile of the Commissioners especially during the conflict). However, donors do not necessarily see the local media as regularly as they would the international media. Public Relations Team to collect the local media (newspaper, television) items and send them to the donors (capitalize on what good local press there is by ensuring that donors see it).
- International Media: Need more contact with international media to promote issues and thank donors for their contributions. Begin by contacting the local representatives of the major news outlets based in Addis. As with donors, a personal relationship will pay dividends in terms of mutual understanding.
- Seek opportunities to release joint press statements with donors and NGOs. Use the opportunity to establish relationships with the public relations departments of the major donors.
- Promote exchange visits between DPPC and public relations departments of major donors and NGOs. Seek to form a relationship to exchange experiences and expertise. Be proactive in forging alliances.

### 4. EXPLORE THE USE OF THE INTERNET

While the use of the Internet promises much for soliciting donations, there are many issues to consider. The Internet has two potential uses for the DPPC: to share information and to target Ethiopians for donations. In the first instance, the DPPC has already created a website which goes a long way to fulfilling the first objective ([www.telecom.net.et/~dppc/](http://www.telecom.net.et/~dppc/)). This is a very positive step for the DPPC. It uses a clear layout to provide a range of documents and reports to the user. However, the site could be made more useful by canvassing the users on their information needs and by increasing DPPC's capacity to update information on the site.

#### Recommendations

- Strengthen the DPPC web site to better address donor and NGO information needs. Begin by consulting

with donors and NGOs on the type of information required to be posted.<sup>10</sup> It is better to begin with a small prioritised number of reports that can easily be updated rather than aim to post a large number of DPPC reports. Donors and NGOs must also be repeatedly alerted to the existence of the website. If they find the information useful, they will begin to use the site.

- Liaise with the Ethiopian embassies to test their willingness to pursue on-line giving for the expat Ethiopian community (as one of many possible strategies for targeting this group for fundraising). ReliefNet is a non-profit organization which designs Web sites free of charge for humanitarian organizations, allows organizations to describe their efforts to provide humanitarian relief and lets computer users fill out a contribution form to make a pledge via email. The DPPC could benefit from contacting this organization for expertise.
- Make the website a component of any local fundraising efforts. Engage local businesses to donate time and money to build up this capacity. Make it a “home grown” effort with a number of local actors.

## **5.8. ADDRESS INTERNAL DPPC ISSUES**

Much of what a resource mobilization strategy can achieve must be framed in the reality of the institutional constraints that DPPC faces. The DPPC operates under a set of circumstances similar to governments around the world: the pressure to do more with less. Ethiopia is constricted in its resources for the civil service and this is reflected in a number of areas. Salaries and the terms and conditions of service are poor. Opportunities are limited yet the workloads are heavy. Staff motivation is a daunting challenge at best. Donors have to recognize the difficulty of working under these conditions and should be realistic about what can be accomplished. Many newcomers to Ethiopia don't fully appreciate how far the DPPC has come nor do they understand the difficulty of the working conditions. Donors can make a difference by being empathetic and working with the DPPC to alleviate the effects of these conditions where possible.

### **1. ENSURE POLITICAL WILL**

- The task of resource mobilization cannot be relegated to one department. It needs the full backing of the government at as high a level as possible. The Fundraising Team should be the facilitators of the process (that is, it should produce the necessary tools) but it cannot lead on its own. If the success of resource mobilization is based on relationships, it requires the skill and political influence of the top officials in DPPC and the Prime Minister's Office.
- In order for this strategy to work, the Commissioners must specifically be fully behind it. This involves more than initially appears. The Commissioners must ensure that the concepts and overall approach of the strategy are understood and implemented at each level of the DPPC. Staff must be monitored to ensure that the message of relationship building has taken root. It requires an extra burden on the Commissioners on top of their current heavy workloads.
- Seek to co-opt high level government support. For example, invite the PM to chair key meetings (ideally at the start of a crisis) to send the appropriate message. The DPPC can capitalize on their relationship with the PMO to find ways to increase its involvement (and to express this commitment to donors).

### **2. ADDRESS WORKLOAD ISSUES**

- The Fundraising Team is too involved in tasks such as reporting which means it has less time for developing and maintaining the tools to facilitate the resource mobilization process. This is set against a wider background of general workload issues within DPPC, especially amongst the senior staff. The workloads are very heavy compounded by the fact that there is virtually no holiday time taken. It is not an issue that the senior staff complain about but it is critical to the long term implementation of the strategy. In essence, the strategy will be making more demands on senior staff to spend additional time with donors both formally and informally. It will also require more time initially to re-define the key tools for resource

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<sup>10</sup> For example, the site could be used as a way to update the requirements of the annual appeal in addition to an archive for essential DPPC information.

mobilization (although it is recommended that less time be spent on activities that have not produced the required results).

- Prioritise senior staff time to allow for more collaboration with donors and NGOs, and for more contact both formally and informally.
- A key area identified by donors for capacity building is grant management, especially the financial management of donor project funds. If funds earmarked for disbursement are returned to donors because they could not be spent, it undermines long term resource mobilization. The DPPC needs to build the capacity to adequately manage grants and, at the minimum, aim to ensure that allocated funds are utilized.
- Train DPPC staff in priority setting and time management.
- Lobby the GoE for additional resources for alleviating the heavy workload.
- One donor commented, “We would find it much easier and preferable to fund a support position for the DPPC than respond to an ad hoc request for rubb halls”. The DPPC should approach donors to discuss the options of providing technical inputs to assist in addressing specific issues. For example, the DPPC could use a support position in house to re-design the information outputs including the annual appeal.

### **3. IMPROVE STAFF MOTIVATION**

- Resource mobilization is a dynamic process. It requires a high degree of motivation and a proactive approach. Opportunities must be actively developed and seized quickly — it is an opportunistic and responsive process. An important ingredient is a motivated staff that can rise to the challenge. However, the pay scale, the lack of time off, the dearth of training opportunities, and the lack of non-financial incentives makes staff motivation very difficult.
- Given the overall lack of discretionary funds within DPPC, be opportunistic in adding a training component or other incentives to planned activities. Canvas DPPC staff on possible steps to be taken within existing budgets to increase staff motivation. Use the donors to get exposure for staff to new ideas and concepts. Use the Board of Trustees to develop further strategies to address this complex issue.



### 5.10. DONOR PROFILE FORMAT

<b>DONOR PROFILE</b>		
<b>Donor Name:</b>	<b>Information Last Updated:</b>	
<b>Contact Information</b>	<b>Key Personnel (and title)</b>	
<b>Financial Year</b>	<b>Current Contributions?</b>	
<b>Global Institutional Priorities</b>	<b>Geographical Priorities</b>	
	<b>Worldwide</b>	<b>Within Ethiopia</b>
<b>Ethiopian Programme Priorities</b>		
<b>Funding Mechanisms</b>	<b>DPPC Eligible?</b>	
Emergency:		
Development:		
<b>Decision Making Analysis</b> (where does it take place within the organization?)		
<b>Major Concerns of Donor</b>		
<b>DPPC Strategy with Donor</b>		