Asia: Earthquake and Tsunami operation
Real Time Evaluation, round 2
Terms of Reference

International Federation of the Red Cross and Red Crescent Societies
Monitoring and Evaluation Department

Background

On 26 December 2004, an earthquake measuring 9.0 on the Richter scale struck the area off the western coast of northern Sumatra, triggering massive tidal waves, or tsunamis, that inundated coastal areas in countries all around the Indian Ocean rim, from Indonesia to Somalia. As of 23 March 2005, over 2.4 million people are affected by the disaster, with over 273,000 dead, over 507,000 homeless, and over 1,590,000 displaced. Following the Asia Earthquake and Tsunami, the International Federation of Red Cross and Red Crescent Societies launched the largest-ever emergency, relief and recovery operation in its history. To date, combined resources of its members for the response exceed 2 billion CHF. Details of the appeal, updates of activities and budget are on the International Federation website www.ifrc.org.

The Monitoring and Evaluation Department has developed a systematic process of real time evaluations for the Asia Earthquake and Tsunami operation, in order to assist the Movement in ensuring high standards of accountability and good practices and to enable it to continuously improve the efficiency, effectiveness and impact of its work. The first round of real time evaluations was conducted in February 2005, and concentrated on Indonesia, Sri Lanka, and Geneva side of the operations. The evaluation has concluded that, while the overall performance of the Federation’s operations compare reasonably well with that of other organizations, there are many aspects of the operation management and leadership within the organization that need to be improved.

The reason for the Evaluation

Ensuring dignity and improving the lives of vulnerable people is central to the mission of the International Federation. This requires that the success of the operation is assessed and judged only by the support provided to the affected individuals, families and communities made vulnerable by the Tsunami – in terms of how the operation has helped affected people to survive; regain their livelihood; rebuild their homes, social life and physical infrastructure; cope with destruction and loss of family members, relatives and friends, and restore normality. Therefore, the criteria such as efficiency, effectiveness and impact will be measured or judged in this evaluation only in terms of these concerns of the affected communities.

This evaluation will therefore give a voice to the affected households and communities and look at the operation as if it is through their eyes.

Objectives

This real time evaluation will form the second round of the system of reviews of the Asia: Earthquake and Tsunami operation. The objectives of this round of the real time evaluations are to:

1) improve the lives of the affected people through generating lessons and providing input into the operation;
2) take stock of progress, provide an independent and objective basis to review performance of the Asia Earthquake and Tsunami operations, their processes and systems;
3) provide recommendations to the participating and host National Societies, Federation Secretariat and the donors for any necessary changes in management and coordination, the overall implementation of the operation, and the future work-programme of the operation;
4) bring all members of the International Federation participating in the Tsunami operation under a common purview of accountability and evaluations;

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1 See Asia Earthquake and Tsunami Evaluation Framework
5) address concerns of the victims and the affected communities;
6) ensure and demonstrate active accountability in the achievement of the objectives and utilisation of resources to our beneficiaries, public, partners and donors.

**Focus**

The second round of real time evaluations of the Asia Earthquake and Tsunami operation will focus on four key areas, namely:

1) Operation Management (PNSs, field and Secretariat); the central attention is to be given to the perspectives of the beneficiaries and affected populations, delivery, and quality/standards, while addressing the issues of how the management of the operation is organized to ensure that the needs of beneficiaries are met and their concerns taken into account;
2) Human resources;
3) Finance;
4) Advocacy and external relations.

The operation management review will centered on the Tsunami related activities of the International Federation members, Secretariat and the Delegation s; efforts will be put to place particular focus on the programs of the Federation members. While the operation management evaluation will be in the public domain, the sectoral reviews (HR, finance, and external relations) will be classified as internal reports.

**Scope**

The second round of evaluations of the Asia Earthquake and Tsunami will potentially encompass, but not be limited to, the following areas (scope is broken up by the specific evaluation exercises/reviews):

A) Operation management, both field and the Secretariat

The main objectives of the review of the operations management, both in the field and the Secretariat, are to determine strengths, weaknesses, and opportunities for improvement of the Asia Earthquake and Tsunami operation. Particular attention should be given to beneficiary perspectives, delivery, and quality/standards. Specifically, the review should address the following issues:

1) Adequacy of the planning and goal setting: the extent to which goals were adequate, appropriate, and clearly defined.
2) Speed of response: documenting the evolution of the response and commenting on decisions being made; examining whether the operations could be implemented faster without undue risk.
3) Identification of strengths and weaknesses in the International Federation operations and resource utilisation.
4) Relevance of the operations, including the:
   → degree to which the operations are focused on needs of most vulnerable in the affected countries, and on topics and problems assigned priority by the National Societies;
   → relevance of the operations to individual country’s demands and needs, including the extent to which they are supplementary/complementary to the support provided by other sources;
   → extent to which the operations represents the most appropriate response from International Federation and take advantage of RC/RC comparative advantages and strategic priorities.
5) Opportunities for improving the operations, especially in terms of management processes and effectiveness, coordination and relationships, and financial management, as per the following definitions:
   → Management processes and effectiveness: assessment of the operations management from Geneva and field, including decision making process;
   → coordination and relationships: the nature and extent of functional relationships, cooperation and exchange of information within the Secretariat, among the Movement components, and with external actors;
6) The responsiveness and efficiency of the disaster operation, including the:
   - extent to which Federation is able to draw on the areas of particular competence of its members;
   - cost-efficiency in producing the outputs;
   - balance of staff and non-staff resources;
   - The quality of disaster operation (benchmarked to a) Performance Indicators[^2], and b) other major active humanitarian organisations), including the:
   - participation of the beneficiaries and volunteers in programme planning and implementation at local level;
   - satisfaction of beneficiary needs in terms of factors such as appropriateness, relevance and implementation;
   - comprehensiveness - in particular, the extent to which concerns including children, gender, people with disabilities, and vulnerability and poverty implications have been adequately taken into account;
   - accountability, in terms of use of the resources entrusted, and effect they have on the beneficiaries.

7) Effectiveness and impact, including the extent to which:
   - health, basic welfare, and water and sanitation systems in affected communities are rebuilt;
   - assistance leads to sustainable capacity and livelihoods of the affected population;
   - affected communities receive appropriate support, complementary to government efforts, to reconstruct housing and social infrastructure in a manner which is consistent, in keeping with local standards and expectations, conducive to community cohesion, and resilient to possible future disasters.
   - livelihoods are re-established or improved to enable the affected population to become economically self-sufficient.
   - operations result in enhanced institutional capacity of National Society, in terms of: a) capability to implement relevant programming under the Tsunami operation, and reach or exceed the standards of institutional effectiveness embodied in the Well-Functioning National Society concept; b) ability to prepare for and respond to disasters in a timely, efficient, and coordinated manner clearly linked to international response mechanisms (e.g. Early warning systems); and c) ability to mobilize communities at risk to cope with future disasters.

Effectiveness and impact should be assessed taking into account what is achieved in relations to what could be achieved in a given time frame, and taking into account the planning process.

8) Coverage: The adequacy of planning to meet the needs in various geographical areas and sectors.

9) Coherence/complementarity of the programs of the International Federation members.

10) Compliance of all partners with related agreements, policies, and standards such as Sphere. Aspects related to adequacy of the agreements and relevance of the policy and standards should be commented upon.

11) Validity of assumptions made about inputs and outcome of the operation. More specifically, were important assumptions been left out or ignored? Did the operations have any unintended side effects, social or economic?

12) Red Cross/Red Crescent value-added in terms of principles and values, focus on most vulnerable, utilisation of local volunteers, etc.

13) The performance of the International Federation must be measured against the following indicators and, whenever possible, benchmarked to other major humanitarian actors:

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>Where we stand</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Fundamental principles and humanitarian values/advocacy</td>
<td>• RC/RC distinguished from other organizations by its values and principles • known to stand on the side of vulnerable people</td>
</tr>
<tr>
<td>2. Disaster preparedness</td>
<td>• did we have trained local volunteers and community based preparedness mechanism in place</td>
</tr>
</tbody>
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[^2]: See Annex 1
### 3. Disaster response

**did the response results in:**
- meeting basic needs of affected people (food/water/shelter)
- beneficiaries satisfied with service received
- no food riots or long lines for relief material in any of the affected areas.

### 4. Health

- no disease outbreak
- other organisations know with clarity: what we do, and how we operate in an emergency situation
- known for substantial work in health and care

### 5. National Society

- meets performance indicators in the areas listed above.
- is know as credible and effective
- partner of choice of governments / intern. organizations/ civil society/private sector

### 6. Working together effectively

- acting as one organization determined to maximize the full potential of our global reach and resources in order to achieve greatest impact for our beneficiaries and greatest influence on other actors
- all participating and host NSs feel equally valued and respected contributors
- Red Cross Red Crescent seen as the 'Heart Beat of Humanity' and is a welcoming space for all people who wants to help or be helped, regardless of nationality, race, religion, political affiliation or any such consideration.

14) Extent to which the recommendations from the previous round of evaluations have been addressed and incorporated in the operation.

### B) Human resources

The main objectives of the review of human resources are to determine whether designing the posts, hiring, training, and employment conditions for staff members in the Asia Earthquake and Tsunami operation are being done in an effective and fair manner, concurrent with the objectives of the operation. Specifically, it should address the following issues:

1) The ability of the HR system to ensure timely availability of skilled candidates in the emergency situation.
2) The extent to which human resource skills across the Red Cross/Red Crescent network are a) mapped and b) utilized in an efficient and effective manner.
3) Adequacy of staffing, including: a) decisions concerning how many staff members are needed, where, when, with what competences, at what levels, and how can they be made available; b) relation between the levels and the responsibilities of the posts; and c) decision chain regarding staffing.
4) Recruitment and retention of staff, including issues such as contracting, for both international and local staff members, and internal vs. external advertising for posts.
5) Issues relating to diversity and inclusiveness of staff members.
6) Adequacy and clarity of job designs and structures, roles and responsibilities, including job descriptions and organigrams.
7) Training: effectiveness of training programs in developing competences needed to work effectively and achieve continual improvement in performance.
8) Caring for staff, including a) the extent to which the needs of staff members are met within the framework of operational needs, and b) field accommodation and related issues.
9) Empowerment: the extent to which staff members are given freedom and encouragement to take decisions about the work for which they are accountable.
10) Performance management system: the adequacy of the system for planning work, evaluating people’s performance against agreed objectives, and recognising and rewarding their achievements.

11) Pay/reward, including a) adequacy of the salary levels, and b) equality of pay structure across gender, region of origin, and level.

12) Issues relating to recruitment, training, diversity, and management of volunteers.

13) Assessment of the issues arising through the evaluation in terms of whether they are operation specific or systemic.

14) Assessment of the inherent capacity of the human resource system to fulfil the needs of the organization and its beneficiaries.

C) Finance

The main objectives of the finance review are to determine what is the budgetary management structure for the Secretariat and the Delegations for the operation, whether the system provides for appropriate management of all funds, and whether there is sufficient transparency (quality of information) to determine how funds are spent or managed. The review will also attempt to cover these issues for the National Societies involved in the field. Specifically, it should address the following issues:

1) Examination of the expenditure breakdown, e.g. how much money went where, and during what period (relief/staffing/other cost).

2) Cost effectiveness of the operation: assessing the project’s outputs in relation to the inputs, costs, and implementing time.

3) Assessment of the extent to which a) the budgets reflect the needs of the beneficiaries; b) the budgets are implemented as passed, in particular, whether the funds are spent for the purposes set out in the budget, c) there are significant activities not covered by the budgets, and c) there is sufficient, reliable and timely information on budget execution.

4) Assessment as to whether the controls (including the requirement to ensure proper records) are adequate to ensure that funds are utilized as intended; in particular, whether the tracking system follows the money.

5) The degree of transparency of the financial system-in particular, public access of information regarding the financial management, including information on end beneficiaries.

6) Examination as to whether employees are provided with, and aware of, confidential means to report suspected financial impropriety and misuse of resources.

7) Assessment of the issues arising through the evaluation in terms of whether they are operation specific or systemic.

D) Advocacy and external relations

The main objectives of the advocacy and external relations review are to determine whether the needs of the affected populations and the activities of the organization were adequately represented to the public. Specifically, it should address the following issues:

1) Extent to which the needs of the affected populations were/are adequately represented to the public.

2) Extent to which advocacy for the victims of Asia Earthquake and Tsunami was/is adequate, appropriate, and successful in terms of advocating for what is needed most.

3) Extent to which the activities of the Red Cross and Red Crescent were adequately represented to the public.

4) The extent to which the Federation members used the information provided.

5) Speed and usefulness of the information dissemination.

6) Analysis of whether the resources, both human and material, on disposal of the External Relations/Advocacy Department were/are adequate to the task.

7) Examination of the relations with the media, particularly the extent to which these relations are proactive on the side of International Federation.

8) Reach of the advocacy and external relations efforts.

9) Assessment of success of the efforts to harmonize efforts with other organizations and ensure complementarity of actions taken.
Methodology

The real time evaluation will consist of four separate evaluation exercises and cover all affected countries either through field visits or by interviews. The evaluation design calls for field study by country teams in some of the major affected areas i.e. one evaluation exercise for Sri Lanka, one for Indonesia, one for Maldives, and India, and one for East Africa. In addition, there will be three sectoral reviews of finance, HR, and external relations/advocacy. The evaluation will be supplemented by case studies on specific programs of the International Federation and its members. The specific programs for the case studies will be selected by random sample; in addition National Societies will be given an opportunity to suggest a program to be reviewed. The Geneva team leader has the responsibility for preparing the final report from the country evaluations and the sectoral reviews.

The methods employed by the evaluators in gathering and assessing information should be as follows:

1. Review of key documented materials, including but not limited to:
   → Appeals
   → Operations updates
   → Briefing notes
   → MoU or Agreements between Federation and ICRC/National Societies
   → Minutes of the Task Force meetings in Geneva and field
   → Minutes of major meetings such as the Stockholm Meeting
   → Letters to Permanent Missions and National Societies
   → Framework agreement Federation and external organizations
   → Disaster Management Information System
   → Assessment documents
   → Reports from the previous rounds of real time evaluations
2. Interviews with beneficiaries (beneficiary perceptions regarding the extent to which the operations is fulfilling their needs, and their satisfaction with the quality of the support received);
3. Interviews with participating and host National Society Secretary Generals and their managers;
4. Interviews with key internal stakeholders within the Secretariat, Delegations, and the ICRC;
5. Interviews with other key stakeholders, such as relevant Ministries, International Organizations, NGOs, United Nations, media etc.
6. Case studies on the programs of the Federation members.

The country reports should be completed, to the extent possible, in the country and the findings and recommendations fully discussed with all concerned parties and wherever possible reached through consensus. The evaluation team should maintain close liaison with the delegations and the concerned National Societies. Although the team should feel free to discuss with the agencies and people concerned anything relevant to this assignment, it is not however, authorized to make any commitments on behalf of the National Society or the International Federation.

Evaluation Team(s)

Each evaluation exercise, as well as sectoral reviews, will be conducted by an external independent consultant. In addition, sector departments, donors and National Societies in the operational countries will be given an opportunity to nominate team members; however, the team leader will always be an independent consultant. The teams might be supplemented by local consultants, charged with producing case studies on both the Secretariat programs and those of the Federation members. The decisions regarding the composition of evaluation teams will be made by the Monitoring and Evaluation Department, through consultation with key stakeholders.

The consultancy positions will be openly advertised. In addition, the Monitoring and Evaluation Department will utilize its Consultant Register, containing the information on potential expertise available across different sectors. The consultants will be pre-selected on the basis of their relevant expertise and according to the requirements outlined in the Terms of Reference. The pre-selected consultants will be asked to submit a
bid, stating their availability and fee expectations, and may be invited to prepare a proposal, giving details of their suggested approach (in less than 500 words).

All applicants for the consultancy positions should have an extensive experience in evaluations and significant field experience; in addition, the applicants for the three sectoral exercises should have an expertise in those sectors (finance, human resources, and external relations/advocacy). Candidates should specify which of the specific exercises they are applying for.

Candidates from the Asia Pacific region are strongly encouraged to apply.

The evaluations will be managed independently by the Monitoring and Evaluation Department.

**Time Schedule**

The exercise will be divided in two parts. The sectoral reviews should commence on July 15, while the operation management reviews should start in mid-August. Precise dates are to be decided upon. The deadline for submitting the applications is May 20, 2005; the composition of the teams should be finalized by June 15, 2005.

The team will spend the initial three days in Geneva, studying the reports, planning the evaluation, briefing, and arranging interviews and the field visits. In total, the project should have the following time breakdown:

- **Team leader**, 40 days total: 20 days in Geneva, 10 days in East Africa, and 8 days for finalizing the operation management report and the synthesis report, 2 days for workshop (date to be decided upon).
- **External Consultant, Field operation management (Maldives, India)**, 30 days total: 3 days in Geneva; 23 days field visits, 4 days for report finalization.
- **External Consultant, Field operation management (Sri Lanka)**, 30 days total: 3 days in Geneva; 23 days field visits, 4 days for report finalization.
- **External Consultant, Field operation management (Indonesia)**, 30 days total: 3 days in Geneva; 23 days field visits, 4 days for report finalization.
- **External Consultant, Human resources**, 24 days total: 20 days, 4 days for report finalization.
- **External Consultant, Finance**, 20 days total: 16 days, 4 days for report finalization.
- **External Consultant, External Relations/Advocacy**, 20 days total: 16 days, 4 days for report finalization.

Field itineraries need not attempt to cover every operation site but rather to get a view of a sample of locations.

The country teams will ensure an in-country discussion of the report and incorporate comments arising from these meetings.

The Geneva based team leader bears responsibility for finalization of the overall report. He/she also has an oversight responsibility for coherence and quality for the work being done by country teams.

**Evaluation Audience**

The primary, internal audience for the real time evaluations of Asia Earthquake and Tsunami operations are the International Federation members, particularly the National Societies that have donated funds to the Tsunami operation and host National Societies, the Secretariat, and the ICRC.

The secondary, external, audience include donors, who have an interest from the viewpoint of assessing the accomplishment and the use of funds entrusted, and the public, which has donated funds to assist the people affected by the Tsunami. The partners of the Red Cross and Red Crescent Movement, such as national authorities and other institutions and International Organisations involved in humanitarian action may be interested too. The review has the potential to be circulated more widely and hence may afford a learning opportunity for the humanitarian community in general.
The audience for the internal sectoral reviews will be senior management of the Federation exclusively.

**Report Format**

The main text of each of the reports should be 20 to 25 pages in length. In addition, the reports should have an executive summary (2 to 4 pages), containing the main findings and conclusions.

The team leader is, in addition to compiling the report on general operation management, responsible for producing a synthesis report for this evaluation round. The report should not exceed 40 pages in length.

An introductory section of the reports should be devoted to the description of the object of the evaluation, its purpose, its intended audience, the questions asked, the methodology used, and the limitations.

Every section of the reports should consist of findings (and the arguments and criteria which led to the findings), conclusions, and recommendations. The annexes of the reports should contain (but not be limited to):

1) ToR for the evaluation
2) Evaluation Framework
3) List of reference documents
4) List of people interviewed, by affiliation

The reports should be written in Times New Roman font, size 11, line spacing single, 2 cm margins, and alignment justified. Paragraphs should be separated. To distinguish them from the rest of the text, conclusions should be italic and recommendations italic bold.

**Reporting, dissemination of results, and follow-up**

Once the first draft Evaluation reports are submitted by the consultants, they will be examined by the Monitoring and Evaluation Department for quality, fulfilment of the Terms of Reference, and any potential errors or omissions. On the basis of the comments from the Monitoring and Evaluation Department, the consultants will prepare the second draft of the reports. The second draft reports will be distributed to the senior management and the Head of the Asia Pacific Department for checking errors and omissions; this part of the process should not take longer than ten days. Once finalized, the third draft reports will be sent to the management and all stakeholders of the evaluations for comments. The comments will be collected and examined by the Monitoring and Evaluation Department and sent to the consultants, who would adjust the reports accordingly, subject to their agreement with the comments made, and send the final reports to the Monitoring and Evaluation Department.

The evaluation teams are fully responsible for their independent reports, which may not necessarily reflect the views of the International Federation. The Monitoring and Evaluation Department will coordinate the circulation, responses, transmission and preparation of the evaluation report and management memo for all evaluation exercises to all stakeholders, as per Asia Earthquake and Tsunami Evaluation Framework. Final evaluation reports will be made public through the website of the International Federation.