



Annex 1: Terms of reference

A1.0 Introduction

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This evaluation of the linkage of relief, rehabilitation and development (LRRD) is part of a larger, international evaluation programme of tsunami disaster support, which is described below. A first, comprehensive report from the overall tsunami disaster evaluation will be published at the end of 2005.

The LRRD evaluation consists of three separate studies, one on policies and plans, one on interventions in Sri Lanka and one on interventions in Indonesia. The evaluation will be carried out by one policy-level team and two separately procured teams in Sri Lanka and Indonesia, respectively. The three studies will be summarised in a consolidated report, written by a separate consultant, who also has an advisory function for the LRRD evaluation.

The LRRD evaluation will have two phases, the first phase during Autumn 2005 and a second phase about one year later. The present terms of reference (ToR) cover only the first phase.

The ToR below have seven main sections:

- Sections A1.1 and A1.2 provide background and outline the general approach for the evaluation
- Sections A1.3, A1.4 and A1.5 describe specific questions for each of the three studies on Sri Lanka, Indonesia and Policies and Plans, respectively
- Section A1.6 summarises the tasks for the LRRD evaluation adviser
- Section A1.7 gives the time plan and requirements regarding reporting that are common to all three studies.

A1.1 Background

The tsunami disaster along the coasts of the Indian Ocean in December 2004 generated an unprecedented response from the international donor community, individuals and NGOs worldwide and private companies. Massive resources for immediate disaster relief were mobilised very fast and large amounts of money became available for recovery and reconstruction.

The number of organisations involved in the aftermath of the tsunami created problems of overview, coordination, follow-up and reporting to relevant receivers of information. At the initiative of OCHA and ALNAP, a number of organisations formed the Tsunami Evaluation Coalition (TEC) in order more effectively and on a joint basis to evaluate the tsunami response and the interventions carried out by the various actors.

The TEC evaluation programme will concentrate on five themes.¹⁹ One of these themes is the linkage between immediate relief interventions, rehabilitation or recovery and development efforts, often known as LRRD.

A1.1.2 The LRRD concept

The LRRD concept should in principle be applied in the planning and evaluation of all humanitarian and disaster relief operations. It builds on the assumptions that there is both a severe time constraint in the initial (life-saving) stage, which limits the range of possible activities, and a distinction between this initial and the subsequent stages. At a minimum, what is being done at the initial stage should not harm later efforts for recovery, or at least possible negative effects should be consciously diminished while still retaining the primary, operational objective of saving lives. If possible, humanitarian efforts should make a contribution to recovery and development processes and reduce the risk of future disasters.

The awareness of the importance of this linkage and how it affects the longer term outcome of interventions is widespread but the understanding of the concept of LRRD varies considerably. It is all too easy to see the linkage between immediate relief and rehabilitation or recovery as a simple operational sequence. In practice the different stages often take place in parallel and the linkage can be rather complicated seen from either the intended beneficiaries' point of view or from the perspective of the planner or the implementation agency. The understanding and explicit or implicit use of the LRRD concept may thus become an important factor for the long-term impact of humanitarian relief interventions.

A1.2 Purpose and scope of the evaluation

The objective of the evaluation of LRRD in the context of the tsunami disaster is to find out what ideas and practices regarding LRRD governed operations and roles of the various actors, and to assess what consequences those ideas, practices and subsequent actions have had or may in future have for the affected population. The scope of the evaluation is to investigate a limited number of possible linkages between various types of operations in the countries struck by the disaster, and to assess consequences from those.

The LRRD evaluation will have two parts. The first will be carried out during the latter half of 2005 in parallel with the other four TEC themes. The second will be made one year later as a follow-up to the first study. These ToR cover only the first part. The first part of the evaluation will serve two purposes. One is to provide information on the LRRD theme for the 'one year after' synthesis report planned for the end of 2005 (see Section A1.7 below). The other is to collect basic information and to establish points of reference, particularly regarding the intended beneficiaries' views, to be used in the second LRRD evaluation phase in 2006.

The LRRD evaluation will complement the other themes in the TEC evaluation in order to present a comprehensive assessment of essential elements of the response to the disaster.

¹⁹ The original ToR talked about six themes, the sixth theme constituting an impact assessment evaluation. In the event, this was not undertaken. Please see the TEC's Synthesis Report for more information.

Because of the size of the evaluation task and the number of evaluation issues related to the tsunami disaster response, and because of the problems in organising and financing a large evaluation in a short time, it was decided by the TEC members to split the evaluation into five themes. They will each constitute a separate evaluation of an issue that is important to investigate and at the same time be part of the overall evaluation of responses to the tsunami disaster by the international community and national and local authorities. A synthesis report of all five themes will be produced at the end of 2005 (see Section A1.7 below).

For the LRRD evaluation it is important to stress the learning aspect, which is very much about modes of planning and operation. It is desirable to have conclusions and lessons learned from the tsunami disaster that may be applied to similar situations in the future. Hopefully, studying this theme may also give insights to problems currently emerging in the tsunami countries and operations, and an opportunity to identify remedies if considered necessary.

The possibility of reporting on the results of interventions – the accountability aspect – is particularly important in view of the magnitude of the disaster and the massive response it created. This is a main reason for the TEC evaluation programme and the plan to produce a synthesis report before the end of 2005.

A1.2.1 Who is being evaluated?

Because linkages are the subject of this theme, all possible actors and their operations should in principle be included. Also, the immediately affected people are actors from the evaluation point of view and their roles both as beneficiaries and as actors – with their own ‘LRRD projects’ – should be given special consideration in the study.

The actions of the national and local governments will be analysed in the evaluation, including their domestic, political role. In the context of the tsunami disaster the bilateral and multilateral donors have multiple roles: as conventional development cooperation partners, as humanitarian actors both in the tsunami disaster and previously in connection with the internal conflicts in Sri Lanka and Indonesia, as donors to international and possibly local NGOs, and in varying degrees as responsible representatives for their own citizens hit by the wave or the earthquake. The international NGOs are important actors as well as the local NGOs or community organs, which have mixed roles as implementing agencies, beneficiaries and political lobby groups. Involvement by the national governments and by local evaluators in the planning and execution of the evaluation will be very important for this theme in order to capture this range of perspectives.

The LRRD evaluation will be limited to Sri Lanka and Indonesia, and possibly in the second stage will also include the Maldives. The obvious reason for including the first two countries is both the magnitude of the impact of the disaster and the number and range of actors involved. The reason for later including the Maldives is that the damage incurred there was substantial in relation to the size of the country and its vulnerability to natural disasters.

A1.2.2 Approach and methods

The evaluation will concentrate on five aspects of linkages between relief, rehabilitation and development.

- **Livelihoods:** Were actions taken relevant and effective for preserving and restoring livelihoods in the short and long run? To what extent have local people been consulted and involved in the rebuilding of livelihoods? Beyond the immediate rescue phase, how appropriate have their interventions been in rebuilding and strengthening sustainable livelihoods in the longer term? Were environmental aspects considered?
- **Human rights:** To what extent have agencies adopted a rights-based approach in their interventions? How have they supported different population groups (whether

socioeconomic, according to age and gender, ethnic group or religion) and how have they taken these into account in their design of relief and rehabilitation programmes after the tsunami? How have protection aspects been upheld during the period after the tsunami?

- Linkage to development and poverty reduction: Were actions explicitly planned or implemented in relation to development plans? Were immediate and medium-term actions taken which limit future options? To what extent have agencies explored and understood underlying patterns of vulnerability when designing their relief and rehabilitation programmes? How has the institutional set-up and organisational culture of agencies promoted or hampered their ability to adopt and integrate both short-term and long-term perspectives in their response to the tsunami?
- Risk reduction: To what extent are risk management and vulnerability reduction incorporated into rehabilitation plans and strategies? Are those measures commensurate with perceptions of risks and with changes in livelihood conditions?
- Conflicts: How have the ongoing conflicts in Indonesia and Sri Lanka influenced the design of the immediate and medium-term response? How have agencies dealt with the uncertainties these conflicts pose for development work? Has humanitarian assistance been provided impartially according to need?

The evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact, as well as appropriateness, coverage and coherence, shall be used. The applicability of these criteria may vary between the aspects mentioned above and should be discussed in the inception reports (see Section A1.7 below).

Information shall be collected through interviews and other forms of data gathering from individuals, families and communities belonging to the affected population, from national and local authorities, from local and international NGOs, and from bilateral and international donors. The inception reports shall propose ways to select sources and reasons for such proposals.

The various actors' selection of channels for interventions, including the private sector, for relief and rehabilitation as well as the forms for implementation shall be described and assessed regarding how they affect the linkage between relief, rehabilitation and development. Stakeholders, particularly local communities, shall be involved in the evaluation process when possible. Careful documentation of the fieldwork is needed in order to facilitate follow-up in the second part of the evaluation.

A1.2.3 Consultants

The evaluation shall be carried out by one policy-level team, and two separately procured teams in Sri Lanka and Indonesia respectively. The task for the policy-level team is to analyse documents and, if necessary, interview representatives from a selected number of donor and international NGOs at headquarters on the issues listed above and in Section A1.5. The task for the national teams is particularly to analyse the LRRD issue from the intended beneficiaries' point of view. Specific terms of reference for the three teams are given below. Both the policy-level team and the local teams shall produce reports from their specific studies.

A1.3 The Sri Lanka study

In addition to the aspects mentioned above, special attention in the Sri Lanka study shall be given to the following issues:

- the possible influences of ongoing conflict in the country on immediate relief and on subsequent rehabilitation plans and their implementation

- the emergence of the idea of the coastal protection zone and what effects the zone concept may have on subsequent rehabilitation plans and their implementation
- how the views of the immediately affected population may have been incorporated in the relief and recovery processes
- the interplay between national and local authorities and international aid organisations, and its possible effects.

A1.3.1 Consultants for the Sri Lanka study

The evaluation team in Sri Lanka will consist of three or four persons with experience from evaluation of or research on development projects or programmes. The team members shall have documented ability to collect and analyse qualitative and quantitative data from fieldwork and to present findings in a comprehensive report. The team shall have excellent knowledge of Sri Lanka, extensive experience of working in the country and the majority of the team members must be fluent in local language(s).

The team will have very good knowledge about livelihood, environment and human-rights issues, and be able to apply solid gender and poverty perspectives to the study. At least one of the team members will have good knowledge of humanitarian and disaster relief.

One of the members will be Team Leader and will be responsible for the report and for organising the fieldwork. The team will make all necessary contact with relevant authorities and organisations. The fieldwork will, whenever possible, be coordinated with other TEC evaluations.

A1.4 The Indonesia study

In addition to the aspects mentioned above, special attention in the Indonesia study shall be given to the following issues:

- the possible influences of ongoing conflict in the country on immediate relief and on subsequent rehabilitation plans and their implementation
- the problem of meeting immediate housing needs through a large number of temporary dwellings and the construction of permanent dwellings (the Master Plan says 100,00 new houses are needed)
- the emergence of the idea of the coastal protection zone and what effects the zone concept may have on subsequent rehabilitation plans and their implementation
- the obvious pressure from the affected population on donors and other actors to deliver support and its effect on plans and implementation
- how the views of the immediately affected population may have been incorporated in the relief and recovery processes
- the interplay between national and local authorities and international aid organisations and its possible effects
- the impact on plans of the area being one of the world's major earthquake-prone areas
- the effects on the rehabilitation process of the lack of skilled workers (many perished in the disaster) and the effects on the local economy of the relief and rehabilitation activities.

A1.4.1 Consultants for the Indonesia study

The evaluation team in Indonesia will consist of three or four persons with experience from evaluation of or research on development projects or programmes. The team members shall have documented ability to collect and analyse qualitative and quantitative data from fieldwork and to present findings in a comprehensive report. The team shall have excellent knowledge of Indonesia, extensive experience of working in the country and the majority of the team members must be fluent in local language(s).

The team will have very good knowledge about livelihood, environment and human-rights issues, and be able to apply solid gender and poverty perspectives to the study. At least one of the team members will have good knowledge of humanitarian and disaster relief.

One of the members will be Team Leader and will be responsible for the report and for organising the fieldwork. The team will make all necessary contact with relevant authorities and organisations. The fieldwork will, whenever possible, be coordinated with other TEC evaluations.

A1.5 The policy-level study

In addition to the aspects mentioned above, special attention in the policy-level study shall be given to the following questions.

- Are plans and policies regarding the tsunami disaster related to other plans and policies within the organisation and, in that case, which ones and how?
- Is reference in such policies and plans made to international agreed policies such as the Principles of Humanitarian Good Donorship and/or to documented experiences (eg, evaluations) from LRRD-related interventions?
- What possible effects in the short and long run are discussed in the planning documents and documented decisions on the tsunami interventions in the organisation?
- What conclusions may be drawn about the organisation's ways of handling the link between immediate relief and medium- to long-term development?
- In what way are needs for different kinds of support expressed in the documents?
- In what ways does the organisation normally collect information about needs and requirements from beneficiaries regarding relief interventions or development projects and programmes?

A1.5.1 Consultants for the policy-level study

The policy-level evaluation team will consist of three or four persons with experience from evaluation of or research on development projects or programmes. The team members will have documented ability to collect and analyse qualitative and quantitative data from documents and interviews and to present findings in a comprehensive report. Particularly important is the ability to analyse policies and plans with regard to their possible effects when implemented 'on the ground'.

The team will have very good knowledge of livelihood, environment and human-rights issues, and be able to apply solid gender and poverty perspectives to the study. At least two of the team members will have good knowledge of humanitarian and disaster relief. The Team Leader and preferably one of the other team members will have experience of working in South or Southeast Asia.

One of the members will be Team Leader and will be responsible for the report and for organising the fieldwork. The team will make all necessary contact with relevant authorities and organisations. The fieldwork will, whenever possible, be coordinated with other TEC evaluations.

A1.6 Adviser

In order to advise Sida's Department for Evaluation and Internal Audit on the LRRD evaluation, as well as to support the work of the three teams and to enhance communication between the teams, an adviser is contracted. The adviser will also summarise the team reports in a comprehensive report from the first stage of the LRRD evaluation.

The adviser will not have the role of overall team leader but will assist the teams when needed during preparations, fieldwork and report writing. The adviser will have extensive experience of both humanitarian relief and development cooperation, and solid knowledge from evaluations, particularly on LRRD. The services of the senior adviser will be procured separately.

A1.7 Timetable and reporting

The following timetable applies to the first part of the evaluation, which will be carried out during 2005.

- August Procurement of consultants
- September Inception reports, TEC workshops, preparatory work in countries included in the evaluation
- October Fieldwork
- November Draft report(s), dissemination of preliminary results
- December Input to the synthesis report, final report
- January–February 2006 Dissemination, preparations for the second part of the LRRD evaluation. Prior to the start of the fieldwork each team will submit a short inception report. The report will comment on the ToR, propose a detailed plan for the fieldwork and subsequent analysis of data and, if deemed necessary, propose amendments to the original ToR. The date for the respective inception report will be specified in the contract with each team.

The first part of the evaluation will be summarised in a report in English, not longer than 40 pages (excluding annexes), including an executive summary of maximum 1,000 words. Each team will produce a report of its own specific study. A draft of the report must be submitted before 25 November for use in the summary LRRD report and subsequently for the TEC key messages report to be written during December 2005. Further details about form and delivery of the teams' draft reports will be specified in the contract for each team. The teams are also required to propose a brief plan for dissemination of preliminary results, with due consideration to involvement of stakeholders.

The second part of the evaluation will take place in the latter half of 2006. Terms of reference for that part will be formulated during the first quarter of 2006.